

MALI
Gourma Biodiversity Conservation Project

GEF Project Document

Africa Regional Office
AFTS4

Date: June 9, 2004 Sector Manager: Mary A. Barton-Dock Country Director: A. David Craig Project ID: P052402 Focal Area: B - Biodiversity	Team Leader: Jean-Michel G. Pavy Sector(s): Forestry (100%) Theme(s): Biodiversity (P), Land management (P)
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Project Financing Data

☐ Loan
 ☐ Credit
 ☒ Grant
 ☐ Guarantee
 ☐ Other:

For Loans/Credits/Others:

Amount (US\$m): \$5.50

Financing Plan (US\$m):	Source	Local	Foreign	Total
BORROWER/RECIPIENT		1.72	0.00	1.72
LOCAL COMMUNITIES		0.06	0.00	0.06
GLOBAL ENVIRONMENT FACILITY		4.50	1.00	5.50
FRANCE, GOV. OF (EXCEPT FOR MIN. OF FOREIGN AFFAIRS-MOFA)		1.52	0.28	1.80
Total:		7.80	1.28	9.08

Borrower/Recipient: GOVERNMENT OF MALI

Responsible agency: MINISTRY OF ENVIRONMENT

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Estimated Disbursements (Bank FY/US\$m):

FY	2005	2006	2007	2008	2009	2010			
Annual	0.49	0.76	1.08	1.27	1.14	0.76			
Cumulative	0.49	1.25	2.33	3.60	4.74	5.50			

Project implementation period: FY 2005-2010

Expected effectiveness date: 01/01/2005 **Expected closing date:** 12/31/2010

A. Project Development Objective

1. Project development objective: (see Annex 1)

Context and background

Biodiversity loss has taken on extreme proportions throughout West Africa. While some countries assisted by the donor community are addressing this loss in the Guinean Forest and Sudanian Savanna, the arid Sahel ecosystem across the West Africa landscape has not benefited from significant attention by decisionmakers or donors.

Mali, a landlocked Sahelian Country with extreme poverty and vulnerability, has requested donor assistance to implement its environmental and biodiversity strategies in several priority sites. Donors have responded favorably for the most important protected areas: Baoulé, Niger Delta and Adrar. For the Gourma, the priority Sahelian site, Mali's request to the Bank was formulated jointly with Burkina because of the transnational dimension of the ecosystem they seek to preserve. Burkina already has completed preparation and launched implementation of its project: the GEF-financed Partnership for Natural Ecosystem Management Project (French acronym PAGEN) on the Burkina side of the Gourma.

The Gourma spans 3 million hectares (ha) in Mali between the Niger River bend and the Burkina border. It possesses diverse landscape features--lakes, dunes, lowland forests and inselbergs--and unique biological features such as the continent's northernmost 350-strong elephant population. With the end of the Tuareg rebellion and increased human activities, the necessity to act is urgent. The Gourma is experiencing high degradation, including local extinction of animal and plant populations and overall desertification.

The current country policy and reforms present an opportunity to position in the Gourma a conservation model that responds to the community's perception of constraints and opportunities. Moving away from centralized management, the government has launched an ambitious decentralization and administrative deconcentration reform. This reform--widely recognized as genuine, participatory and democratic--provides the framework on which the proposed project can be designed and implemented. The project is registered with other donor projects in a decentralization program whose development objective is to ensure that "The rural populations have better access to public services, to socio-economic infrastructures and to productive natural resources."

In the Gourma, which spans part of 3 regions--Mopti, Timbuktu and Gao--the UN Capital Development Fund (UNCDF) and Agence Française de Développement (AFD) already are supporting the above program. They are strengthening commune capacities as well as helping them prepare and partially implement their Communal Development Plan. In addition, in the Gourma, several Bank operations are improving delivery of basic services in agriculture/livestock, rural equipment, health and education and, in the future, social infrastructures/natural resources management. The proposed GEF project would strengthen these efforts by further improving the commune capacity and maintaining the biological resources that are the basis of land productivity and thus long-term poverty alleviation.

Project Development Objectives

Within the framework of the program above, the GEF and FFEM (French GEF) provide incremental financing with the combined 6-year Global Objective and Development Objective that *Biodiversity degradation trends are stopped and, in some cases, reversed in key conservation areas and project sites in the Gourma*. The project targets the GEF Operational Program 1 (arid and semi-arid ecosystems).

The objective is sought via 4 operational outputs:

- O1. Conservation Areas are created & their management by the OGAC (French acronym for Conservation area management associations) is efficient.
- O2. Municipalities have improved their capacities to plan for & manage biological resources in their own development programs.
- O3. The Gourma communes have organized themselves to plan and better organize the management of their land and biological resources.
- O4. Public institutions are able to advise and help communes and communities in the management of their biological resources.

In essence, the project will help communes and communities better manage biodiversity. The 18 communes will jointly think their territorial space, its resources as well as options for regulations, planning and organization. From this process, and from a consolidation and homogenization of existing communal development plans, the 18 communes will produce and adopt a "scheme of territorial coherence". If they wish, this scheme and its regulations will be formalized in a Gourma territorial agreement. This large scale vision of the 18 communes territory will help define better the two main modes of investments proposed by the projects: local biodiversity initiatives and conservation area management.

- Where the preservation of natural ecosystem function must remain intact, strict protection will be proposed (approximately 1.6% of the land). Where ecosystem functions can be altered while remaining under production, a proactive management prescription will be proposed (approximately 2.4% of the land). Areas under the above prescriptions will be connected and called "conservation areas." Conservation areas will be managed by community associations--in this document called "Conservation Area Management Organizations" (french acronym OGAC, created by their main stakeholders).
- On the rest of the communal land, local initiatives favoring biodiversity by community members, community group or communes also will be supported. There, the project will rely on local knowledge, leadership and commitments of the Gourma population. Support will be provided through information, training, financing and advice for biodiversity local initiatives. It is expected that, as the entire community is presented with information, experiences and opportunities, behavior change in favor of less damaging modes of resource extraction will be stimulated and, in the long term, will spread over large portions of the Gourma.

2. Key performance indicators: (see Annex 1)

- Percentage of improvement of key wildlife-based indicators by year 6: 10% in Core Zone of four conservation areas and 5% in Multiple Use Zone of four conservation areas.
- Percentage of improvement of vegetation cover and vegetation composition by year 6: 10% in Core Zone of four conservation areas and 5% in Multiple Use Zone of four conservation areas.
- 4 conservation areas have acquired legal status and possess a management plan by year 6.
- 50% of participants in training/awareness modules actively involved in conservation area management by year 6.
- 50% biodiversity initiatives evaluated as successful in achieving agreed outcome and output by year 6.
- An incentive-based and result-oriented system for direct financing is designed by year 2, adopted by year 3, tested by year 5 and is functional by year 6.
- Incidence of rural poverty decreases by 5% in rural areas.

Indicator of outcome

Achieving outcomes set by the Project Development Objectives will be verified by (1) the percentage improvement of key wildlife-based abundance indicators within conservation areas : red-fronted gazelle, dorcas gazelle, Guinea fowl in terrestrial areas, raptors in inselbergs and crown crane and/or brown pelican in wetlands; (2) the percentage improvement of an indicator of vegetation cover and composition in conservation areas (e.g., incidence of perennial grass); (3) the weighted average of percentage improvement of bioindicators at local initiatives sites outside conservation areas and (4) the reduction of human--elephant conflict events.

Indicator of output

Success in improving Output 1 related to the establishment and management of conservation areas will be measured by the (1) number of square kilometers of conservation areas allocated and materialized, (2) number of conservation areas that have acquired a legal status and possess a management plan, (3) percentage of participants in training or awareness modules actively involved in conservation area management, and (4) number of OGACs legally responsible for the management of a conservation area.

Success in improving Output 2 related to the capacity of commune and communities to manage biodiversity outside conservation areas will be measured by the (1) number of communes effectively promoting and helping constituents implement measures in favor of biodiversity as measured by the number of (a) successful local initiatives having benefited from useful input from members of the municipal councils, (b) biological constraints expressed in participatory diagnostics recorded in Communal Development Plans, (c) rules in favor of biodiversity enforced by communes over their territory and (d) biodiversity-related initiatives implemented without GEF/FFEM funds; and (2) percentage of biodiversity local initiatives evaluated as successful in achieving agreed outcome and output.

Success in improving Output 3 related to national and local capacity building will be verified by (1) the degree of establishment of the AIG (French acronym for the Intercommunal Gourma Association).

Success in improving Output 4 related to national and local capacity building will be verified by (1) the percentage of stakeholders of Gourma range resources satisfied with the services provided by the project and the institutions it finances as measured by independent surveys; (2) at project end, the functionality of an incentive-based and results-oriented system to finance conservation; (3) the amount of financing earmarked for Gourma biodiversity secured in year 6 for the subsequent 5 years; and (4) the existence of 1 international conservation area managed jointly by community associations from Mali and Burkina.

Intermediary benchmarks

Because part of the project approach is innovative and because success relies on difficult decisions by communes and communities, the Bank has requested that intermediary benchmark indicators be proposed to demonstrate ongoing success and enable the Bank and the Government to draw lessons from early implementation. For the midterm review, i.e., before the end of year 3 of implementation, the following minimum benchmarks have been agreed (1) The Intercommunal Management Association (French acronym AIG) is formally created and receives the "maitrise d'ouvrage" of Gourma-based project activities (Components 1, 2 & 3); (2) 2 conservation areas (a) are clearly demarcated in the field, (b) possess users rules accepted by representatives of communes and primary and secondary users, (c) have a legally recognized OGAC actively involved in their management (minutes of meeting approving management rules, article of incorporation, work program) and (3) 9 local initiatives are satisfactorily completed (signed contract with promoters, site visit).

B. Strategic Context

1. Sector-related Country Assistance Strategy (CAS) goal supported by the project: (see Annex 1)

Document number: Report No. 25663 MLI

Date of latest CAS discussion: dated July 7, 2003.

The CAS is fully aligned with the PRSP and selectively focuses on three main themes which directly support the PRSP pillars: (i) promoting growth; (ii) developing human resources; and (iii) public finance management and governance. The CAS combines a mix of Bank instruments including: (i) programmatic support (through SWAPs and PRSCs); (ii) community driven development operations; (iii) specific lending operations that target the growth objective and support necessary infrastructure; and (iv) a wide-ranging applied research program which is focused on building the knowledge base for the three main themes. The Gourma Biodiversity Conservation Project is proposed in the baseline program to support "accelerated and redistributive growth" in the rural sector. The CAS recognizes that variable climatic conditions, which impede stable growth, are compounded by the degradation of natural resources, including vegetation cover and biodiversity.

The *Cadre Stratégique de Lutte contre la Pauvreté* (PRSP, May 2002) ranks natural disaster as the primary cause of poverty in rural areas and relates it to the fragility of the Malian ecosystems. The PRSP supports the Mali's Rural Development strategy, whose specific goal is (1) to seek food security in a manner that integrates the expansion, diversification, and optimum development of production in agriculture, livestock, fisheries and forestry, (2) increase the productivity and protection of the environment, within a sustainable natural resources management framework. The PRSP also supports the Mali's Environment strategy, whose basic challenge is to "protect the ecosystem from harm and manage natural resources...to ensure the survival of populations and boost output." The PRSP specifically states that the government will continue to implement projects in the field of biodiversity. Finally, the PRSP is clear that all sector strategies are to be implemented against the backdrop of decentralization and administrative deconcentration. Some of the objectives are to (1) rationalize use of forest and wildlife resources, (2) improve the dialogue among the stakeholders of agriculture, livestock and forest and (3) augment the production of wild products with high commercial value.

1a. Global Operational strategy/Program objective addressed by the project:

Mali has ratified the Biodiversity Convention (1992), the Convention on Migratory Species (1990) and the Desertification Convention (1996). The project is consistent with the GEF Operational Strategy for biodiversity, particularly OP1 (Arid/Semi-arid ecosystems) through support for activities in savanna grassland habitats of the Sahelian ecosystem. It is also consistent with the Objectives (Art. 2) and Principles (Art. 3) of the Desertification Convention.

The project is also consistent with Conference of the Parties (COP) guidance, because it focuses on the conservation of critical ecosystems and threatened species and supports local communities to be actively involved in management decisions and as beneficiaries of protected area management. It responds to COP3 guidance through promoting capacity building for conservation and sustainable use by improving management of natural resources. In line with COP4 guidance, the project takes an ecosystem approach to maximize biodiversity conservation in a range of ecosystems under different management regimes, involving a range of stakeholders including local communities as well as the private sector, NGOs and government agencies.

GEF and FFEM financing would be implemented in 18 communes of the Gourma and target the establishment of 7 new conservation areas as well as the improvement of natural resources and range

quality outside conservation areas. The conservation of the Gourma biodiversity is registered in the main international strategies (e.g., WB's Ecologically Sensitive Sites in Africa, IUCN's Conservation Strategy in the Afrotropical Realm, Bonn Convention's Strategy for Sahelo/Saharan Antelopes, Birdlife's Important Areas for Bird Conservation). The Gourma is also registered among the foremost priorities in the Mali NEAP and in the biodiversity strategy.

The Gourma lies between 200-400 mm isohyets. It appears early in the bibliography (e.g., IFAN 1955) as an area rich in wildlife and plant species. Such richness spawns from unusual landscape features: The Gourma represents a concentration of Sahel habitat diversity. It lies at the edge of the Niger delta and possesses numerous lakes, some permanent, that harbor a rich bird variety including many Palearctic migrants. Because the watershed is "inclusive," there is little drainage out of the Gourma. Water retention in its lowlands maintains rich acacia forests with species often threatened elsewhere in the Sahel. Permanent wetland and acacia forests provide water, forage and shelter for the survival, and actual development, of an estimated 350-rich elephant herd. The presence of this genetically isolated elephant herd, which is also the continent's northernmost population, adds to the uniqueness of the area. Inselbergs scattered in the Gourma have acted as isolated islands, in which rodent speciation has been documented. Many small carnivores or birds of prey find suitable shelter or nesting in their rocky formations or cliffs. The Gourma formerly harbored the widely distributed fauna of the Sahel including the dama, dorcas gazelle, oryx and red-neck ostrich--many of which today are near extinction. The International Livestock Center for Africa reports the existence of 824 plant species.

2. Main sector issues and Government strategy:

Main Sector Issue

Wildlife and natural habitat. After it acquired independence in 1960, Mali faced many development challenges and underwent periods of political turmoil. In such context, management of wildlife or conservation of protected areas rapidly became a low priority. Conservation was entrusted to the Forestry Department with command and control instructions. With the appropriation of land and wild resources first by the colonial power and then by the independent government, ancestral rules for conservation practically vanished, and a conflictual relationship settled in between forestry guards and communities. The situation worsened with the 1977-1992 national hunting ban. In 1995 past strategies were abandoned, but the country had to face their 35-year outcome: wildlife and natural habitat had nearly disappeared while protected areas were poached out and to a large extent invaded by farmers or herders. Remnant wildlife and patches of natural habitat remained only in the most inaccessible areas. This situation was worsened by the dire droughts of the 70's or 80's.

Low national capacity. Thirty-five years of top-down enforcement-based policy--to implement a mission considered by the then-government to be a low-priority--also had dire consequences on human resources. Forestry staff did not acquire professional skills for wildlife management, were not made aware of alternative approaches or were weakly committed to conservation. In addition, and until recently, unlike most countries of the region, the government was not ready to explore alternatives for its biodiversity management system and institutions. This stance also has changed, but many efforts are now required to assist the country in making its institutions and human resources more efficient and better adapted to the current country context. Conversely, empowerment of communes and communities presents the opportunity to build the capacity of new groups that are not influenced by conservation history, can actually provide sensitive and widely accepted solutions and have the legal and traditional authority to enforce them.

High poverty, low awareness and incentives for alternative behavior. Policy changes in Mali are

encouraging, but the basic forces against conservation of biodiversity remain. Poverty is high, and awareness of the national or global value of biodiversity is low, both locally and nationally. The country's development is strongly dependent on cotton and livestock. The expansion of both--at the expense of natural habitat--are the main pillars of economic growth. In such a context, it is understandable that government's or communities' incentives for conservation are limited. Therefore, all conservation projects must accept this context and propose alternatives that both are locally applicable and provide solutions and benefits rather than new constraints to much-needed development.

Government Strategy

The project supports implementation of the country's Biodiversity Strategy. The approach selected for natural ecosystem conservation is made possible by the legal framework of decentralization and deconcentration of administrative services.

Decentralization. Mali's adoption in 1993 of the Decentralization Law and the subsequent institutional structures put in place, with the establishment of local and regional authorities following local elections in 1999, are the culmination of a political process that started in 1990. This process is considered the centerpiece of reform of a highly centralized and inefficient public administration. Following enactment of the new law, a series of regulations for its implementation were drafted and approved. These regulations affected not only the territorial structure and the structure of power but also the way that resources and local development will be managed.

The Malian decentralization has genuinely emphasized local empowerment with a concern for building a participatory decentralization from the bottom up. Mali took concrete steps to ensure local empowerment, as demonstrated by the participatory process by which the communes were delimited, the provision in the law to improve the accountability of local elected officials to the people and the recognition of nomad people through the "Fraction."

A specialized ministry was created in early 2000, the Ministère de l'Administration Territoriale et des Collectivités Locales (MATCL), to lead and coordinate the implementation of the decentralization policy and more effectively address the needs of the decentralized institutional levels. Given the above, for the first time in its recent post-colonial history, Mali has the foundations for a more effective local government system and a more efficient territorial administration. However, while this significant progress has profoundly reshaped the country's territorial structures, they are not without difficult challenges, which explains why the implementation of the 1993 law has been so slow. The current clarification efforts of the regulatory framework will help remove some constraints to the Decentralization Law.

Mali has set up a 2-pronged mechanisms to provide support to municipalities: (1) a financial support mechanism, the Fund for Investment in Territorial Collectivity (French acronym FICT), managed by a parastatal, the Agency for National Investment in Territorial Collectivity (French acronym ANICT) and (2) a technical support mechanism, a network of Center for Communal Councils (CCC), charged with providing technical advise to communes that want to mobilize funds from the FICT.

The law establishes that a commune has a public and a private domain. Communes are responsible for managing and maintaining their domains that may comprise forests, waters, and wildlife. Implementation is not fully effective yet, but the government is identifying (1) the existing infrastructure and domains to be transferred to each commune, (2) transferable responsibilities for natural resource management and (3) identifying the modalities of such transfer. The Decentralization Mission is working with the Ministry of Rural Development according to a specific schedule: (1) study of the attributions and functions of the

ministry (2) discussion with a working group of the roles and functions that can be transferred to local governments, (3) identification of related resources to be transferred and (4) validation. Principles of subsidiarity and simultaneous transfer of resources are guiding the process. Obviously, the situation is in flux, and consecutive laws have created areas of confusion and even contradiction. However, the recent law on land management (Loi foncière et domaniale) and the draft law on livestock management (Charte Pastorale) indicate that local governments are being given increasing powers to organize and manage local development, either directly or through delegation to a variety of local associations and institutions.

Biodiversity. Following the 1993 Decentralization Law, in 1995 Mali adopted several orientation laws, including Law 95-004 on Management of Forest Resources and Law 95-031 on Management of Wildlife and Its Habitat. These laws were designed so that their regulations could be coherent with the decentralization process. In 1999 with the adoption of the National Environmental Action Plan (NEAP), the government strengthened its "policy for the environment" with 7 strategic axes, 4 of which were to strengthen national capacity, restore degraded areas, organize a permanent system of control and monitor the environment. The NEAP proposes 9 programs, including 1 to conserve natural ecosystems in 8 priority areas, parks and reserves. Gourma is 1 of the 8. The country's 2001 Biodiversity Strategy and Action Plan confirms its commitment to protect the 8 priority ecosystems. Consistent with decentralization, the strategy and action plan states that the management of natural ecosystems must (1) include sustainable use of resources, (2) empower communities and local government and (3) ensure equitable distribution of conservation benefits.

3. Sector issues to be addressed by the project and strategic choices:

Sector issues - biodiversity potential and threat (See matrix analysis in Annex 12)

Low (400 to 200 mm per year) and variable rainfall are normal but constraining dimensions to natural ecosystem management in the Sahel. The last 4 decades have known the paroxysms of dryness with unusual water deficits in 1968-70 and in 1984. Consequences on the ecosystem were everywhere dramatic: the vegetation cover regressed; "dead" forests and sand dunes appeared; soil erosion developed; and livestock and fauna competition increased.

Until the 1970s, the Gourma was relatively buffered from such occurrences. Because of the pre-existing relative absence of permanent surface water and scarcity or difficulty of access to groundwater, permanent human settlement always had been limited to its fringes. Due to their mobility, pastoral activities and hunting always had been the only traditional forms of human occupation. As a consequence, and in contrast to most of the Sahel, in the early 1970s, the Gourma remained biodiversity rich with a functioning ecosystem that resisted well the effect of climatic variations and low-intensity use. It is worth noting that, over the years, the elephant herd actually increased from about 50 animals in the 1950s to about 350 today. Meanwhile, all other populations of elephants in Mali have become extinct.

Over the 1980s and 1990s, biodiversity loss increased, with a temporary easing in the late 1980s. The Tuareg "Rebellion" prevented vehicle poaching and led to some reconstitution of wildlife, and several good years of rainfall led to substantial recovery of vegetation (primarily tree species). Today, the Gourma ecosystem is threatened as a consequence of the increase of the human populations and livestock combined with inadequate land-use practices imported by newcomers (e.g., tree looping for goat feeding), favored by developers (e.g., multiplication of water holes, farming of marginal land) and adopted by many. With the return of peace and the rush to grab land and with the arrival of outsiders and outsiders' herds (with no historical commitment to sustainable use of resources), the situation worsens. The number of human/elephant incidents also demonstrates the increased human pressure on water resources. Deaths of

herders from elephants are reported every year.

Thus, the underlying causes of natural habitat and grassland degradation and quasi-disappearance of wildlife are linked to the significant increase in livestock, inappropriate use of grazing potential, the drive to cultivate marginal land (often good natural habitat) and unregulated hunting practices. Losses of mammals and birds are attributed not only to habitat loss but also to the increase in poaching, particularly vehicle poaching by outsiders. This situation originates and continues because of lack of means, incentives, awareness, or knowledge for alternative practices at both the government and local levels. As long-term trends indicate, a serious drought is bound to occur again. A serious drought will exacerbate the current conditions for both people and biodiversity. The project can help plan for, and hopefully buffer, the effects of the next drought.

Strategic choice

The proposed project has opted for the following strategic options: (1) focus on conservation while coordinating and leveraging development, (2) build on the decentralization process and instrument to empower communities, (3) invest in local human resources and institutions, (4) identify and address the root causes of degradation by using a mix of holistic and territorial planning approach, (5) set up reserves, called conservation areas, to secure a representative sample of the Gourma natural biodiversity, (6) provide small-scale support to improve biological resources management off reserves, (7) coordinate and cooperate with conservation efforts in Burkina Faso and (8) prepare the post-project era through fund-raising and organizing a reward-based budget-support mechanism and (9) providing national technical assistance.

Cooperation and coordination. The GEF/FFEM Project intends to focus on conserving biodiversity on and off reserves. However, the project is not implemented in a vacuum. It already has established strong operational ties with 3 Communal Development Projects more able to address development concerns of the population that the GEF or FFEM cannot finance. The project also intends to take advantage of the expertise and commitment of existing government services, local NGOs and local groups (e.g., cooperatives) to implement activities for which they have a comparative advantage. By selecting the Communal Development Plan as the basis for all planning, activities and investments, the project intends to avoid duplication and to establish a trustworthy and transparent relationship with all other development partners (donors, NGOs, government services). The project also plans to leverage additional commitment from other donors and from the following IDA operations: Agriculture and Professional Organization Support Project (PASAOP) and Community-based Rural Development (CBRD). The Intercommunal Management Association (French acronym AIG), and their Centers for Communal Councils (CCCs) will constitute the fora by which all activities ultimately are coordinated.

Decentralization for community empowerment. The project plans to take full advantage of the 1993 decentralization reform, laws and subsequent regulations that call for the empowerment of communities, through communes, to manage land resources. The project is organized around municipalities and municipal councils, with investment in biological resources supporting local initiatives and leadership. Funds are provided directly to promoters of local initiatives once their Municipal Council has endorsed it. New regulations enable communes to set up associations to manage specific ventures or resources. The project will fully utilize this opportunity to assist in the creation of commune or intercommunal associations to manage conservation areas. The project also will help the government improve national regulations for the devolution of biological resources management to communes.

Investment in human resources. Awareness raising and capacity building at all levels is a central strategy of the project. Specially tailored training will be provided to staff of central and decentralized government

services of the Gourma, to members of project teams, to members of commune councils and to communities. Another central thrust of the project will be post-literacy training to ensure that the populations involved can benefit from simple reading material and carry out simple accounting. The project also will attempt to identify and build on traditional knowledge of biodiversity and build bridges with its holders.

Participatory territorial planning. With the objective of improving biodiversity management in communal and intercommunal development, an adapted variation of the holistic approach will be used. Their objectives are to ensure that (1) the participatory diagnostic focuses on the causes of biodiversity degradation rather than the symptoms and draws on traditional knowledge of alternative practices and (2) solutions to address the "causes" are discussed at the intercommunal level and registered in the Communal Development Plans, consolidated in Territorial coherence scheme, as well as in conservation area management plans. The communities will identify these "solutions" with assistance from technical and traditional experts. Because the area covers a huge pastoral space and works with mobile resources (livestock, wildlife), the diagnostic also will be carried out at the landscape level over a territory that reaches far beyond the boundaries of the project into Burkina and into the Niger delta.

Establishment of conservation areas. To minimize the probability of human-elephant conflicts and to preserve wildlife and natural habitat, the project will help communes identify and set up new conservation areas with a few on elephant migration paths. Once delimited, these areas will be gazetted as reserves or with a more appropriate status. The rules for management of these areas will be set and enforced by new communes and/or intercommunal associations with assistance from the relevant deconcentrated government service. These rules will be registered in Management Plans. Seven conservation areas are identified: 3 will target the dunal and interdunal system (Séno Mango, N'Tillit-Tessit and In Adiatafene, each approximately 100,000 ha); 3 will target inselbergs and immediate areas (Gandamia, Boni and Fatma Hand, each approximately 10,000 ha) and 1 will target part of Gossi Lake and adjacent wetland and terrestrial areas (approximately 10,000 ha).

Small-scale support to improve biological resources management outside conservation areas. Following the holistic diagnostic and preparation of the Communal Development Plan, the project will provide small-scale support to implement local initiatives *exclusively* to manage biodiversity. The scope of such ventures may actually cover huge pastoral lands and involve several municipalities. A list of eligible types of local initiatives is proposed in Annex 2. The list includes species protection, ecotourism and nature-based cultural heritage conservation; it excludes socioeconomic and other productive investments. To convince the pastoral communities that there are alternatives to current grazing practices that work and favor grass diversity, with PASAOP support, the project may stimulate a demonstration site in which the "pastoral perimeter" approach will be implemented. A test was initiated in a nearby area that caught the attention of the Boni community. Similarly, a new approach to organize the holistic management of natural wetlands has been tested in north Burkina; this approach will be proposed to communities in Mali and implemented where and if the demand emerges.

Transboundary coordination. Wildlife, particularly elephants, as well as livestock are roaming on each side of the Mali-Burkina border. In Burkina, the GEF National Natural Ecosystem Management Project (PAGEN) is designed along the same principles as the proposed project in Mali. Three proposed conservation areas in Burkina (Nassoumbou, Séno Mango and Beli) are adjacent to 2 proposed conservation areas in Mali (Séno Mango and Tessit). Both projects are allocating funds for transborder coordination and intend to implement joint activities, such as studies (e.g., elephant migration or pastoral tenure and users system), negotiation of conservation area limits and law enforcement.

Evolution toward direct payment of conservation performance. Communes will need additional and regular fiscal resources for their development. For this reason, the project will design and set up a mechanism that provides budget support to communes to reward success in conservation area management as demonstrated by a set of agreed bioindicators. This system will be designed by year 3 and tested on a small scale during the project. In addition, the project will analyze options to establish a foundation or trust for Mali biodiversity and help with such establishment and fund-raising. Other sources of revenues will be sought.

National technical assistance. The Burkina GEPRENAF independent evaluation pointed out the success of technical assistance. A culprit impeding participatory conservation in the region is the low initial capacity of intervillage associations to manage conservation areas. To alleviate this, small teams of national experts will provide technical assistance for project implementation, innovation, community approach and skills transfer. Because the success of the project depends on such innovation and on the effective adoption by communities of alternative behaviors, it is important that such assistance be available until all fundamental evolution occurs and until the communes and intercommunal associations have the capacity to fully assume their roles. Numerous capable NGOs or consulting firms in the project regions could provide the necessary initial capacity building.

C. Project Description Summary

1. Project components (see Annex 2 for a detailed description and Annex 3 for a detailed cost breakdown):

The project will be implemented through 4 components:

- Component 1. Support to intercommunal management of conservation areas
- Component 2. Support to community-based biodiversity initiatives
- Component 3. Capacity building for communal & intercommunal biological resources management
- Component 4. Capacity building for public support to decentralized biodiversity management

Component 1. Support to intercommunal management of conservation areas

Through this component, GEF/FFEM will finance (1) local capacity building including (a) communication, (b) creation of Conservation Area Management Organizations (French acronym OGACs) and (c) training; (2) studies including ecological diagnostic and applied research; (3) conservation area creation and management including (a) negotiation, delineation and gazetting conservation areas and core zones and (b) preparation of conservation area management plans and (4) implementation of conservation area management plans including (a) construction and maintenance of small infrastructure (deepening existing pond, watchtower, dirt road repairs), (b) surveillance of conservation areas, (c) use of conservation areas and (d) local wildlife surveys.

Component 2. Support to community-based biodiversity initiatives

Through this component, GEF/FFEM will finance (1) community awareness building; (2) community training; (3) complementary diagnostics on biological resources of communal land; (4) specific studies to explore options for (a) ecological restoration outside conservation areas and (b) tourism development and private sector involvement; and (5) biodiversity-related local initiatives. The following list of eligible local initiatives has been defined: (a) protection of threatened local biological resources, (b) improvement of natural pond, wetland, spring or watercourse management, (c) improvement of forest management, (d) improvement of pasture land management, (e) measures in favor of elephant conservation and cohabitation with populations, (f) bushfire control, (g) education on biodiversity, (h) support to conservation of cultural assets, (i) support to ecotourism development, and (j) support to sustainable use of secondary products. The project will not finance any socioeconomic local initiatives such as road, school, storage facility, dispensary, well, dam, tree plantation, agriculture, and livestock.

Component 3. Capacity building for communal & intercommunal biological resources management

Through this subcomponent, GEF/FFEM will finance (1) support to the Intercommunal Orientation Committee (CIO), Communal councils (CC) and Centers of Communal Councils (CCC) (animation, workshops, legal advice, travel), (2) contracting out design, creation and capacity building of the Intercommunal Management Association (french acronym AIG), and (3) studies and workshops including (a) study of rangeland users and tenure, (b) regional and local workshops on conservation and range use, and (c) with the assistance from the french federation of natural regional parks (french acronym FPNR) consolidation of communal development plans for territorial coherence as well as design and adoption of a territorial chart or equivalent.

Component 4. Capacity building for public support to decentralized biodiversity management

This component is divided into 3 subcomponents: (4.1.) Support to Gourma operation, (4.2) National supervision and stocktaking, and (4.3) Project management,

Subcomponent 4.1. Support to project operations in Gourma

Through this subcomponent, GEF/FFEM will finance (1) technical assistance to Commune and communities; (2) support to the Nature Conservation Services (French acronym SCNs) operating in the Gourma; (3) support to other public deconcentrated institutions or NGOs, (4) training, (5) designing and testing an incentive-based mechanism for financing conservation areas in Gourma; (6) monitoring Environmental and Social Analysis (ESA) and Process Framework; (7) contracting the Institute for Rural Economy (French acronym IER) to (a) conduct external ecological monitoring; (b) monitor vegetative cover and land use, and (c) set up and manage a local Geographical Information System (GIS) to monitor habitat and land use and produce maps, and (8) transfrontier coordination with Burkina.

Subcomponent 4.2. Support for national supervision and stocktaking

Through this subcomponent, GEF/FFEM will finance (1) incremental support to DNCN including (a) operational support, (b) training and awareness building, (c) documentation center and website; (2) studies and workshops including (a) national reforms of biodiversity management, (b) transfer of natural resources management to Communes, (c) wildlife inventories, and (d) feasibility study, establishment of, and fund-raising for a Malian foundation.

Subcomponent 4.3. Project management

Through this subcomponent, GEF/FFEM will finance (1) incremental support to steering and advising by the Steering Committee, (2) support to the Project Management Unit (french acronym: UGP) for procurement, financial management, planning & supervision and (3) audits.

Component	Indicative Costs (US\$M)	% of Total	Bank financing (US\$M)	% of Bank financing	GEF financing (US\$M)	% of GEF financing
1. Support to intercommunal management of conservation areas	1.97	21.7	0.00	0.0	1.29	23.5
2. Support to community-based biodiversity initiatives	1.49	16.4	0.00	0.0	1.06	19.3
3. Capacity building for communal & intercommunal biological resources management	3.12	34.4	0.00	0.0	1.61	29.3
4. Capacity building for public support to decentralized biodiversity management	2.50	27.5	0.00	0.0	1.54	28.0
Total Project Costs	9.08	100.0	0.00	0.0	5.50	100.0
Total Financing Required	9.08	100.0	0.00	0.0	5.50	100.0

2. Key policy and institutional reforms supported by the project:

The most important policy reforms for decentralized management of natural resources have already been enacted and are implemented. To improve efficiency and further adapt to the decentralization context, the project will help the central government implement existing policies as well as examine alternative structures for its biodiversity, wildlife and forests legislation and institutions. Project implementation is not expected to lead to substantial reforms, but to improve regulations governing allocation of resources, devolution of management rights, institutional status, internal organization and human resource management of the DNCN and sustainable financing of conservation.

3. Benefits and target population:

Target population

The project will focus implementation on nine priority communes of the Gourma. Nine additional communes also will benefit from project support for conservation activities registered in their Commune Development Plans. These 18 Communes span 4 *cercles*: Douentza (Region of Mopti), Rharous (Region of Timbuktu) and Gao, Ansongo (Region of Gao). Because of the population's mobility, it is difficult to provide accurate figures on the Gourma demography. By cross-referencing several documents, it is estimated that the 18-Commune population is in the order of 200,000 inhabitants. These are a subset of the total population of the *cercles* in which the Communes are located, which is estimated to be 150,000 for the Cercle of Douentza; 95,000 in the Cercle of Gourma-Rharous and fewer than 50,000 in the Cercle of N'Tillit. The population is divided among Tuaregs, Peuls, Songhai and Dogon. Each Commune covers a very large territory and encompasses several villages or fractions. Except for the Dogon and Songhai, who are mostly farmers, the bulk of the population is engaged in extensive pastoralism. Depending of the quality of the range in the Gourma and elsewhere, the area also receives seasonal herders from Burkina and Niger and from other regions of Mali.

Benefits

The project seeks to provide a range of local benefits from marginal but sustainable improvement of

living conditions to decreased vulnerability to climatic variations. These benefits originate from (1) better natural resource and grassland management and associated increases in productivity, (2) better local knowledge, awareness, capacity and empowerment of Communes for management of fragile land resources and (3) better national capacity, legislation and institutions for decentralized management of natural resources.

Global benefits will be generated through (1) increased ecological security of flora and fauna that are rare or threatened on a regional and global scale, including the northernmost populations of African elephants; (2) preservation of a representative area of the West Africa Sahelian natural ecosystems that are exceptional on a national, regional and global scale; and (3) preserving genetic diversity within ecologically, economically and culturally important species in natural populations within their historical ranges.

4. Institutional and implementation arrangements:

The structure proposed below is designed to ensure cost efficiency as well as adequacy with national institutions and municipalities, and availability of human resources.

Responsibility

The project would be under the general responsibility of the Ministry of Environment (ME).

National steering

The ME will establish a Steering Committee (French acronym CP). It will be presided over by the ME comprised of representatives of (a) the ministries in charge of finance, decentralization, agriculture, livestock and tourism; (c) DNCN; (d) the High Council of Territorial Collectivities; (d) the mayors of 3 Gourma Communes and (e) the presidents of the Regional Assemblies of Mopti, Timbuktu and Gao. The CP will approve possible project reorientations, annual reports and work programs while ensuring that implementation remains within the national strategies and policies.

National implementation (maitrise d'oeuvre)

The project is entrusted to DNCN which will set-up a Project Management Unit (French acronym UGP). The UGP will possess a national coordinator, a financial management specialist and an accountant. The UGP will directly implement Component 4 but will delegate implementation of Component 1, 2 & 3 to a private operator (see CMO below). Its role is to ensure the administration of project funds, budget monitoring, procurement, management of contracts and liaison with the CIO, DNCN and the CP. It also will supervise the CMO, technical teams or public entities contracted for services and advise in terms of activity planning, validation of proposals and management plans, coherence with safeguards and good practices, and contact with the international community.

The UGP will sign protocols with the SCNs of Douentza, Rharous, Ansongo and Gao as well, and as needed, with other relevant government deconcentrated services such as (1) livestock, (2) agriculture and (3) education. These protocols will be results-based and drafted on a needs basis during implementation. The most important of the protocols will involve SCNs: SCN staffs are deployed over the entire Gourma. They will provide long-term assistance to Communes and communities for conservation as well as carry out conservation law enforcement.

Steering in Gourma

From project onset, the ME will responsibilize the CIO, a group of representatives of the 18 Communes as well as the DRCNs and high commissioners of the Gao, Mopti and Timbuktu regions. The CIO will prefigure the Board of a future Association of the Gourma 18 municipalities (French acronym AIG.)

The CIO will review the Annual Work Programs and Reports of Gourma-based actions as well as approve training programs in favor of communities, all biodiversity initiatives and validate conservation area management plans. Through Component 3, the project will stimulate the creation and capacity building of the CIO, then the AIG.

Implementation of Components 1, 2 & 3 (maitrise d'oeuvre délégué)

Implementation of Components 1, 2 & 3 will be entrusted to a private operator (consulting firm, NGO or consortium) recruited through national bidding. The operator will set-up an Implementation Team (French acronym CMO). From years 1 to 3, the CMO is contracted by DNCN. If the AIG has acquired sufficient capacity, in years 4 to 6 DNCN will transfer the contract of the CMO to the AIG.

The CMO will be lead by a project manager assisted by a financial manager, an accountant and support staff. The CMO will also deploy a team of national experts (including at least 1 woman) and support staff located in Douentza. Expertise sought includes (1) wildlife management, (2) sociopastoralism, (3) local development/local government. The 9 priority Communes are regrouped in 5 clusters: Douentza, In Adiatefene, Mondoro, Gossi and N'Tillit or equivalent. In each cluster, the CMO will deploy 1 conservation specialist (Communal Counselor) as well as several field facilitators (the number will depend on the size of the cluster). Each cluster will receive 1 vehicle (primarily for group missions and for security reasons) and 1 motorbike (for the Counselor's work). The animators will spread out among villages and fractions and be equipped with camels. The CMO will have the same structure during both phases below. For components 1, 2 & 3, its role is to ensure the administration of project funds in a sub account, budget planning & monitoring, procurement, management of subcontracts and also liaison with the UGP, CIO or AIG. It will also supervise consultants or public entities contracted for services.

D. Project Rationale

1. Project alternatives considered and reasons for rejection:

Mali has identified 8 priority ecosystems and related sites for conservation. The Bank and GEF could have elected to cover several sites. It was decided that this project will focus solely on 1 site, albeit a very large one, and therefore 1 ecosystem. In addition to the biodiversity value of the Gourma, one of the compelling reasons to select this site is its transnational dimension, which initially justified the joint request by Burkina and Mali. The other reasons are the needs for emergency action and for land planning, following the rapid modification of the customary system following the end of the Tuareg rebellion. Other important sites are not targeted because other donors are involved and because the nature conservation agency of Mali does not have yet the capacity to handle the additional degree of complexity of multiple sites.

In the Gourma, under a "do no GEF project alternative," strengthening commune capacity and local development implemented by other projects is likely to improve living conditions in the short term. Natural resources management is planned under these projects; however, the proposed scale of intervention is not commensurate with the magnitude of the overall problem and does not target biodiversity. As a consequence, it is likely that current degradation trends will continue. They will include degradation of natural habitat, rangeland and further extinction of species. The human/elephant cohabitation is likely to increase perhaps leading to drastic actions to eliminate elephants.

Alternatives approaches were considered at project identification. Usual alternatives run from top-down planning and law enforcement to a hands-off approach based on awareness building. Mali does not currently have the capacity to implement the first alternative, nor would the population accept it and respect its rules. Conversely, given the extreme poverty of the population, its low level of literacy and the

long-standing perception that all spotted wildlife is to be harvested and all vegetation grazed, awareness building would have little chance to bear significant results. These alternatives were considered and rejected in favor of a participatory, incentive-based approach based on negotiation, technical assistance, demonstration of results and commune empowerment for conservation. Decentralization makes this approach legally feasible. Commune council and community members consulted are favorable to the approach.

Alternatives approaches were studied at preappraisal for channeling funds to promoters of local biodiversity initiatives. Four alternatives were analyzed (1) using the National Agency for Investment in Territorial Collectivity (ANICT); (2) using the Regional tax office, (3) direct payment of microproject-related transactions and (4) direct grant to communes and promoters. Alternatives 1 was not selected because of its (1) complexity of procedures, (2) cost (ANICT collects 5%), (3) expected lengthy delay in resource mobilization and (4) multiplicity of steps and actors, which increases the possibility of collusion. Alternatives 4 was adopted for private promoters because of their simplicity, coherence with World Bank CDD approach and participatory disbursement mechanisms as well as its capacity to induce better ownership by promoters and support innovations. This option is not legally feasible for municipalities which can only open accounts with the regional treasurer and not in private Banks. As a consequence, option 2 (for commune counterparts funds) and 3 (for GEF and FFEM funds) have been adopted for communal and intercommunal initiatives. This is coherent with the Malian policy for financing of municipalities.

2. Major related projects financed by the Bank and/or other development agencies (completed, ongoing and planned).

Sector Issue	Project	Latest Supervision (PSR) Ratings (Bank-financed projects only)	
Bank-financed		Implementation Progress (IP)	Development Objective (DO)
Natural resources management	PGRN (completed)	HS	HS
Rural infrastructure	PNIR (ongoing)	S	S
CDD/grassroots support to rural communities initiatives	PAIB (completed)	S	S
Agriculture services, research and farmers' organization	PASAOP (ongoing)	S	S
CDD/natural resources management	CBRD (planned)		
Other development agencies			
UNCDF - Capacity building and equipment for decentralized administration	PACR - Mopti		
UNCDF - Capacity building and equipment for decentralized administration	PACR - Timbuktu		
AFD - Capacity building and equipment for decentralized administration	PADL - Gao		
IFAD/GEF - Biodiversity conservation	Mopti Area Biodiversity		
ADB – Livestock	PADENEM (Nord-Est Phase II Gao-Ménaka)		

IP/DO Ratings: HS (Highly Satisfactory), S (Satisfactory), U (Unsatisfactory), HU (Highly Unsatisfactory)

3. Lessons learned and reflected in the project design:

ENV and QAG review of GEF-supported biodiversity projects in Africa

Several reviews were consulted: the 1998 QAG review of the Natural Resources Management Portfolio; 1997 QAG review of biodiversity projects in Africa and 1998 ENV Bank-wide review of biodiversity projects. As a general rule, these reviews call for better upstream design, strong commitment and capacity by government and other stakeholders, mainstreaming in the country portfolio, setting up realistic and consensual development objectives, coordination with NGOs and others as well as more intense than normal Bank supervision. Project design was lengthy and widely discussed. It received both commitment from the government and the Communes and endorsement from the conservation community, including NGOs. International and local NGOs participated in the preparation mission and workshops and endorse the project design; some will contribute to implementation. The project is coherent with the Bank portfolio in Mali, and the communities it seeks to help also will benefit from incremental support of several Bank operations: Agriculture and Professional Organization Support Project (PASAOP) and the Community-Based Rural Development Project (CBRD). The logframe was designed at Gourma-based workshops and revised at preappraisal. It seeks realistic, clear, simple and "monitorable" outcome and outputs.

An apparently more recent QAG diagnostic of a sample of GEF-supported projects says *"that future projects must [...]: (1) integrate the biodiversity conservation agenda into the broader national development agenda, (2) biodiversity projects need to focus more on methods for dealing with socio-economic pressure in perimeter zones where populations may be dependent on forest exploitation, (3) project design should take into account technical and stakeholders review of the final design, and (4) clearly defined goals and objectives are essential to focus on project efforts, monitor progress, and demonstrate impact."* The project accounts for the QAG recommendations as demonstrated by some of its strategic choices: (1) focus on conservation while coordinating with other development projects to foster social and economic development and alleviate socioeconomic pressure, (2) build on the national decentralization process and instrument to empower communities (the backbone of the project), (3) identify and address the root causes of degradation by using a holistic approach (i.e., account for local stakeholders' knowledge), (4) provide small-scale support to improve biological resources management off sanctuaries (i.e., further address socioeconomic pressure.)

Community-Driven Development

In many countries, limited government success in managing natural resources, providing basic infrastructure and ensuring primary social services has led to the search for alternatives. One of these options is participatory community-driven development (CDD). The substantial experience accumulated to date of what works and does not work has been drawn upon in designing the project. In particular, for the government and outsiders to induce CDD on a large scale requires agencies to invest in local organizational capacity and support community control in decisionmaking. In addition, experience shows that CDD does not automatically include marginalized groups, the poor, women and ethnic minorities unless their inclusion is highlighted as a goal. Finally, successful CDD is characterized by 5 main factors: (1) local organizational capacity or the existence of viable community-based organizations, (2) the appropriate fit of technology to community capacity, (3) effective outreach strategies, (4) client-responsive agencies and (5) enabling higher government policies and commitment. All these factors are built into the design of the approach. While some of the prerequisites, such as local organizational capacity, are weak, the project was

designed to be low-key and use means compatible with the communities. For example, many project staff and civil servants will live in the community and use camel for transport.

Pilot Pastoral Perimeter Program

The interface with the livestock sector is one of the most important dimensions of the project. The experience of the use of rangeland, with rules set up by the community on a spatial and temporal basis, can lead to range improvement and improve the relationship among pastoralists and others (farmers and traders). The holistic approach adopted in WAPPP will be taught to project teams to ensure that their analyses of the production and conservation system focus on the causes of degradation rather than on the symptoms. This approach will be particularly important in the definition of rules for the conservation areas' multiple-use zone and for training conservation area management committees.

Arid land ecology

Lessons from northern Africa (e.g., Morocco, Tunisia) indicate that, within an arid ecosystem, a 100,000-ha protected area can be adequate for proper conservation of most large arid land mammals. Northern Africa projects also show that significant habitat restoration, even with rainfall less than 150 mm/year, can be spectacular and lead not only to habitat recovery but also to the reappearance of locally extinct species. In Southern Africa, the compatibility of wildlife and livestock has been in use for many years. In Zimbabwe and Namibia, maintaining an important proportion of wildlife along with livestock proved a very profitable and sustainable land-use option, particularly in drought years when wildlife resisted dire climate variation much better than livestock.

Lessons from the Burkina GEF Pilot (GEPRENAF)

Since May 1996, CDD has been tested with its full biodiversity conservation dimension. The Diéfoula-Logoniégué area has received financial assistance from GEF/Belgium through the Pilot Community-Based Natural Resources and Wildlife Management Project (GEPRENAF). An independent evaluation of GEPRENAF was carried out that recognized the important achievement of GEPRENAF in term of local development and empowerment of local communities as well as building the foundations for adequate community-based conservation. The evaluation considers ecological achievement as limited (in term of wildlife recovery) but stressed that such recovery can result only from long-term commitment. It recommends (1) pursuing and expanding the scope of GEPRENAF but maintaining a similar level of national technical assistance; (2) focusing future financing on management of the "conservation area"; (3) limiting the institutional responsibility of the AGEREF to "concessionaires" of the gazetted forest but clarifying the role of the local forestry department and (4) diversifying sources of revenues by tackling the full range of potential benefits of wildland. While considering the limitations of replicability, such as differences in rainfall, production systems and people, the recommendations of the independent evaluation are worked into the project design.

4. Indications of borrower and recipient commitment and ownership:

For the past 40 years, it is clear that the successive policies have not supported wildlife conservation. As a consequence, wildlife and protected areas have been subjected to high degradation and little capacity was built in-country to reverse negative trends. Today, with the prominence of environment in the international debate as well as with the improved national understanding that Malian economic growth is highly dependent on its resource base, the government has begun to place the preservation of the environment among its important priorities. A NEAP and biodiversity strategy was prepared and the forestry service was reorganized to become more service oriented. Thus, ultimately, the new decentralization law should enable commune empowerment to manage wildlife and natural habitat outside parks and reserves.

Conservation of biodiversity in the proposed sites is a priority registered in national plans (NEAP, draft Biodiversity Strategy). Mali has ratified all the relevant conservation conventions: Biodiversity, CITES, Desertification, Migratory Species (Bonn Convention) and Wetlands (Ramsar). The Malian focal point for the biodiversity convention has endorsed the project.

5. Value added of Bank and Global support in this project:

GEF and FFEM assistance will supplement other donors' support to the Government Program for Conservation of Natural Ecosystems registered in the Malian Biodiversity Strategy and Action Plan (French GEF in Baoulé and Adrar, EU in Bafing area, UNDP/GEF in Baoulé, IFAD/GEF and The Netherlands in the Niger Delta). GEF funds also will complement operations to strengthen communes and their development financed by the government, IDA and other donors (AFD, UNCDF). The project will finance biodiversity conservation activities above and beyond activities targeted by other projects. It also will stimulate improvement with livestock, agriculture and natural resources management in relation with conservation areas.

By financing the incremental costs of improved biodiversity conservation, GEF participation in the project will help fulfill the Bank mission with respect to the Convention on Biological Diversity. It is expected to enhance the security of global biodiversity assets by (1) broadening participation of communes in stewardship of wildland, (2) ensuring that communities share in the economic and environmental benefits of improved biodiversity management and (3) leveraging additional financing from other donors for assistance after the project. In the absence of GEF financing, the government could not shoulder the incremental cost of improving management of biodiversity or providing incentives to communities and rural residents to adopt better stewardship practices.

The Bank and AFD have acquired developed significant experience in the preparation and implementation of participatory natural resources management operations, with CBRDP and the new generation of Community Action Programs (CAPs) and Community-Driven Development (CDD). The regional Bank and AFD teams are at the forefront of the approach and has been piloting it with a strong biodiversity and wildlife dimension in Benin, Burkina and Cote d'Ivoire.

E. Summary Project Analysis (Detailed assessments are in the project file, see Annex 8)

1. Economic (see Annex 4):

☐ Cost benefit NPV=US\$ million; ERR = % (see Annex 4)

☐ Cost effectiveness

☒ Incremental Cost

☐ Other (specify)

GEF and FFEM operations require an incremental cost analysis, which is attached in Annex 4. The total

project cost is estimated at \$11.62 million, with a baseline of \$5.32 million cofinanced by the Government of Mali, the 18 Communes and associated communities of the Gourma, IDA (through implementation of other operations), AFD and UNCDF. Incremental costs to achieve global conservation goal are shared between the French GEF for \$1.80 million and GEF for \$5.5 million.

2. Financial (see Annex 4 and Annex 5):

NPV=US\$ million; FRR = % (see Annex 4)

Not applicable.

Fiscal Impact:

Not applicable.

3. Technical:

Implementation will benefit from experience elsewhere in Africa, notably in West Africa Pilot Pastoral Perimeters Program (WAPPP), particularly the experience of GEPRENAF on which design the proposed project is based. However, there is no specific technical issue other than those related to ecosystem monitoring and information management. The conservation techniques that may be introduced will be simple and easy to master by the community members.

4. Institutional:

4.1 Executing agencies:

The National Directorate for Nature Protection (DNCN) and its deconcentrated services in the field have very low project implementation and technical capacity in conservation. DNCN is organized as an administrative service with human resources who have little incentive for improving behavior or producing results. Taking advantage of the decentralization and administrative deconcentration reforms, the project will need to help Mali rethink its nature protection administration to create an environment for results-based behavior.

4.2 Project management:

Project management is entrusted to a Project Management Unit (French acronym UGP) under the tutelage of DNCN. For implementation of Components 1, 2 & 3, the UGP will recruit a private operator. This operator will deploy a technical team (French acronym CMO) in Douentza at the edge of the Gourma. National technical assistance teams of the CMO will assist and advise all stakeholders. This structure is expected to create poles of expertise, which the project will seek to integrate sustainably in the municipalities. The project will provide an opportunity to reflect on Commune staffing for conservation and financing such staff. The project will also attempt to build an Inter-Commune Association (French acronym AIG) of all 18 Communes. Should the AIG's capacity and commitment prove adequate, the CMO's tutelage will be transferred to the AIG in year 4.

4.3 Procurement issues:

A manual of procedures was prepared; it was reviewed by the Bank. **In agreement with the May 2004 Procurement Guideline, procurement plans for the first 18 months have been prepared and reviewed by the Bank at negotiation.** Since the project is small and no serious procurement is envisioned, all procurement will be handled by the coordinator and financial administrator. However, if the case occurs, a procurement-proficient consultant may be hired for short-term missions. Except for the operator of the CMO, there will not be any large contract. Vehicles and motorbikes will be procured by UN services. Most

of the work and service will be procured locally within the communities. Some services will be sole sourced to community organization (e.g., fire management or surveillance). As with PAGEN in Burkina, IUCN will receive a sole-source contract estimated at US\$90,000 to stimulate transfrontier cooperation with Burkina. To minimize procurement risks, the coordinator and the financial administrator will receive relevant training to handle correctly the project's procurement issues. As stated in Annex 6, the Bank will review the first procurement documents (5 for works and 3 for goods).

4.4 Financial management issues:

A manual of procedures was prepared; it received comments from the Bank and was reviewed subsequently. Project and special accounts will be opened in Bamako for Mali, GEF and FFEM funds. The accounts will be managed by the UGP. The UGP will recruit a financial manager with experience in project finance management, and an accountant to handle all transactions, replenishment of the special accounts and accounting. A computerized financial management system will be purchased and set up prior to effectiveness. The UGP staff will be trained to operate such a system. The FMS building will follow the timetable in Annex 6. The project accounts and operations, as well as a sample of local biodiversity initiatives, will be audited twice a year. To assist with implementation of Components 1, 2 & 3, the CMO will open a subaccount (90-day account) in Mopti. To manage this subaccount the CMO will be staffed with a financial manager & an accountant. The computerized system will also be installed at the CMO and its staff will be trained to operate it.

5. Environmental: Environmental Category: B (Partial Assessment)

5.1 Summarize the steps undertaken for environmental assessment and EMP preparation (including consultation and disclosure) and the significant issues and their treatment emerging from this analysis.

The primary stakeholders of the project are the Commune Councils and the estimated 200,000 population of the 18 Communes of the Gourma, who are involved primarily in pastoralism. The project seeks to conserve and restore biodiversity, which is highly threatened by overhunting and overgrazing. Expected positive environmental benefits are (1) increased surface area maintained as natural habitat with associated increase in wildlife populations, including the Gourma elephants, and vegetation cover and (2) improved management of grazing areas with consequential decrease in soil erosion, stabilization of dunes and reappearance of perennial grass species. Little negative environmental impact is foreseen. Nevertheless, it is possible that improvement in the range's grazing quality will lead communities to increase further the number of livestock or attract herders from other areas. Both of these consequences may reverse the positive trends that the project seeks to establish. In addition, there are minor risks of local erosion or local degradation of vegetation that are associated with the restoration of siltated ponds and reparation of dirt trails, or with microprojects. Finally, the project seeks to provide elephants with sanctuaries (conservation areas) along their ancestral migration route to decrease the potential of human-elephant conflicts. However, it is possible that longer sojourns of elephants in some areas will increase local degradation of vegetation in lowland acacia forests. The ESA considers that the environment risks are marginal and are addressed by the project design and by a "Framework for screening and monitoring microprojects and work in conservation areas." Unexpected risks must be dealt with as they are detected during the project.

5.2 What are the main features of the EMP and are they adequate?

Consultants were instructed to build the EMP within the logframe as part of normal project implementation. The EA and proposed "Framework for screening and monitoring microprojects and work in conservation areas" reflect well that recommendation. **Because OP4.12 was also triggered (see E.7 below) a Framework Process was also prepared. These documents together form a 3-volume Environment and Social Management Plan (ESMP).** The National Directorate for Pollution and Nuisance (French acronym DNPN), which has authority to monitor EAs will ensure external control of the **ESMP** implementation; the project will finance training and operating costs to that agency. The project set aside provisional funds to

mitigate unexpected adverse environmental impact should materialize during implementation.

5.3 For Category A and B projects, timeline and status of EA:

Date of receipt of final draft: September 11, 2002

The TORs have been reviewed by ASPEN (the Bank Africa region safeguard group). A non-objection was given in May 2001. Several versions were proposed and modified following comments from ASPEN. ASPEN cleared the September 11, 2002 version of the ESMP. The ESMP was published and disclosed in-country and to the Bank Information desk (Infoshop.)

5.4 How have stakeholders been consulted at the stage of (a) environmental screening and (b) draft EA report on the environmental impacts and proposed environment management plan? Describe mechanisms of consultation that were used and which groups were consulted?

The Communes and communities have already been extensively consulted and informed by the project preparation team and by consultants (see also Local Population and Partners Consultation Mission, B. Hassane, June 1999 and Project Partners Information Mission, BICD, December 1999). Commune mayors and counsels participated in the project planning workshop (November 2000). The consultant in charge of the EA traveled extensively throughout the project area to interview the local communities and Commune Councils. In October 2002, the ESMP was disclosed to Government services in Bamako, Mopti, and Timbuctu and Gao. The three-volume document was also distributed to, and discussed with, each of the 18 Communes.

5.5 What mechanisms have been established to monitor and evaluate the impact of the project on the environment? Do the indicators reflect the objectives and results of the EMP?

Since the project's objective is to conserve biodiversity, the entire monitoring system is geared at measuring environmental indicators. They will be measured using satellite images (vegetation cover), ground surveys (wildlife and livestock abundance and distribution), and local participatory monitoring techniques, which will be developed as part of implementation. Monitoring will be coordinated by IER as part of its mandate with the Gourma Ecological Observatory. Other interesting dimensions for the project, such as land tenure, will also be monitored by IER, although not financed by the project.

6. Social:

6.1 Summarize key social issues relevant to the project objectives, and specify the project's social development outcomes.

The project targets community development outcomes through benefits derived from improved management of rangeland and establishment of conservation areas. Communes, which are the main program beneficiaries, regroup all villages and fractions of the Gourma. As such they are representative of the entire community and will be helped to ensure that financial benefits are equitably shared. Still, little financial benefit is expected during the first 6 years of implementation. Outcomes are related to the restoration of grassland quality for grazing; traditional rights over land areas; maintenance of natural patrimony; and preservation of hunting grounds and natural areas to collect medicinal plants, honey, firewood as well as numerous wild resources that enter the traditional diet or economy (baobab leaves, cram cram.). The ability to continue the above practices is an important social dimension of this mainly pastoral community.

A number of social risks are linked to the fact these traditional societies are very hierarchical and that both decentralization and the project could empower an already all-powerful elite and enable less powerful tribes to be displaced by "royal" tribes. Women are an issue in all groups. Mitigation measures will include participatory diagnosis so that vulnerable groups are identified. As part of the EA, a Social Assessment looked at the potential impacts of the project and of decentralization on these groups and at the social

feasibility of what the project is proposing. The SA provides guidance for the diagnostics and guidelines to be registered in the manual of procedures and proposed a Process Framework to mitigate the potentially negative social impacts.

6.2 Participatory Approach: How are key stakeholders participating in the project?

Implementation will follow a participatory process, which will begin by updating existing participatory diagnostics and Communal Development Plans. This exercise will be carried out at the communal and intercommunal levels to ensure homogeneity and coherence between each communal territory plan and associated development plan. The output will be a Communal Development Plan that positions each Commune within the greater landscape of 18 Communes and plans activities to organize the protection and use of grassland and investments to restore biological resources. In addition, the limits of conservation areas will be negotiated, and the rules for their protection and use elaborated, through a participatory process between Communes and their communities. At each step of the process, there will be possibility to reopen issues to ensure that rules are agreeable, accepted and understood by the communities. This exercise will be fed by an in-depth transnational study of the pastoral system and its users to ensure that the solutions that emerge from the participatory process are compatible with current traditions and practices. Ecological studies will also be used as inputs to the negotiation process.

6.3 How does the project involve consultations or collaboration with NGOs or other civil society organizations?

NGOs have been involved at all stages of the process. Both IUCN and WWF participated in the formal identification mission. IUCN is a member of the Steering Committee created to monitor project preparation. The Government team and the Bank have met regularly with other NGOs active in Mali such as AMCFE (Association Malienne pour la Conservation de la Faune et de L'Environnement). In the Gourma, several NGOs that are active in the region were invited to contribute to the planning workshop: NEF (North East Foundation), Wetland International, Elwan, IUCN, AFVP and Association des Amis des Elephants. The preparation team carried out a short study to identify all local NGOs that are active in the Gourma and assess their strength and weaknesses.

6.4 What institutional arrangements have been provided to ensure the project achieves its social development outcomes?

The technical team recruited by the CMO will include a sociologist (probably a woman) and a sociopastoralist. All animators, forestry agents and other team members will be trained in participatory techniques.

6.5 How will the project monitor performance in terms of social development outcomes?

Since its baseline operations specifically target poverty reduction outcomes, the Project will rely on these operations to monitor these outcomes. The Process Framework suggests several social indicators to monitor. The project will finance an independent consultant who will carry a mission in years 3 and 6 of the project to monitor the social outcome and implementation of the Process Framework. The national office in charge of EA will also monitor the Process Framework; a protocol will ensure that financing for this office is available.

7. Safeguard Policies:

7.1 Are any of the following safeguard policies triggered by the project?

Policy	Triggered
Environmental Assessment (OP 4.01, BP 4.01, GP 4.01)	<input checked="" type="radio"/> Yes <input type="radio"/> No
Natural Habitats (OP 4.04, BP 4.04, GP 4.04)	<input checked="" type="radio"/> Yes <input type="radio"/> No
Forestry (OP 4.36, GP 4.36)	<input type="radio"/> Yes <input checked="" type="radio"/> No

Pest Management (OP 4.09)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Cultural Property (OPN 11.03)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Indigenous Peoples (OD 4.20)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Involuntary Resettlement (OP/BP 4.12)	<input checked="" type="radio"/> Yes <input type="radio"/> No
Safety of Dams (OP 4.37, BP 4.37)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Projects in International Waters (OP 7.50, BP 7.50, GP 7.50)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Projects in Disputed Areas (OP 7.60, BP 7.60, GP 7.60)*	<input type="radio"/> Yes <input checked="" type="radio"/> No

7.2 Describe provisions made by the project to ensure compliance with applicable safeguard policies.

The project seeks to conserve and restore biodiversity, which is highly threatened by overhunting and overgrazing. Expected positive environmental benefits are (1) increased area maintained as natural habitat with associated increases in wildlife populations, including elephants, and in vegetation cover and (2) improved management of grazing areas with resulting decrease in soil erosion, stabilization of dunes and reappearance of perennial grass-species. Little negative environmental impact is foreseen.

OP 4.01 is triggered for several reasons. It is possible that an improvement of the range's grazing quality will convince communities to increase further the number of livestock or attract herders from other areas. Both of these consequences may reverse the positive trends that the project seeks to establish. In addition, there are minor risks of local erosion or local degradation of vegetation associated with the deepening of existing ponds that may prove necessary. Finally, to decrease the potential of human-elephant conflicts, the project seeks to provide elephants with sanctuaries (conservation areas) along their ancestral migration route. However, it is possible that longer sojourns of elephants in some areas increases local degradation of vegetation, particularly in lowland acacia forests.

OP 4.04 on natural habitat is relevant not in terms of threat mitigation but in term of conformity with the program's global objective, which is to improve the long-term standing of biodiversity within natural ecosystems.

Not triggered, OP/BP/GP 7.60 on projects in disputed areas, is still relevant because the project works with mobile resources (elephant and livestock) that travel across the Mali/Burkina boundary in an area that was once disputed. (Settlement was reached at the International Tribunal of La Haye in the late 1980s.)

OP 4.12 is triggered even though involuntary resettlement of settlement is an option excluded by the approach itself. The limit of conservation areas as well as the rules of their management will be negotiated with all communities to ensure that no involuntary resettlement occurs. However, even if the communities define the rules, collective management of communal resources could restrict certain users' access to conservation area resources. The project intends to be careful to balance the good of the common herders and farmers with the will of the powerful traditional elite. Because there is a potential risk within conservation areas, it was decided that OP 4.12 will be triggered, a Framework Process has been prepared and cleared by ASPEN. Local biodiversity initiatives outside protected areas do not require land acquisition or any "involuntary taking of land." Consequently, no Resettlement Plan nor Policy Framework is required.

F. Sustainability and Risks

1. Sustainability:

Sustainability is linked to the project's ability to provide incentives and capacities to beneficiaries to improve (1) communes', communities' and Government's long-term commitment to conservation, (2) short- and long-term benefits, financial or otherwise, that balance conservation costs and (3) cost-effectiveness, quality and realism of activities and investments. These depend on (1) the initial commitment of the Government and communities, (2) the project's ability to achieve results to strengthen existing local commitment and improve the human resources and biological potential and (3) a realistic post-project strategy.

Government and commune commitment and capacity

Government: The success of the project depends on the current national legal and institutional frameworks for conservation and on the Government's willingness to apply its framework and/or improve it. The recent reforms (Decentralization, Code forestier, Charte pastorale) demonstrate the Government's overall commitment to sustainable natural resources management by the rural communes and its willingness to proceed with reforms. To build national capacity, the GEF and other donors will assist the Ministry of Environment to revise the national legal and institutional framework to facilitate further decentralization of natural resources and protected area management as well as improve the ministry's human resources capacity in the field.

Commune: Community consultations held in each of the 18 communes indicate that the people have a serious understanding of and concern for natural resources degradation. At the project-planning workshop, they showed commitment to both improved range resources management and nature conservation. The communes and communities have defined the 7 conservation areas proposed. GEF/FFEM and other donors will strengthen the communes' and communities' legal rights over natural resources and help them acquire knowledge and capacity through advice, sensitization and training.

Incentives to communes and communities

Community rules, and the willingness to respect them, are the essence of the proposed design. Thus, sustainability depends also on the perception by the communities at large of the project's benefits to their daily lives, social comfort and capacity to produce.

Low opportunity costs: Except for biomonitoring and surveillance, the maintenance of conservation areas is mostly a non-activity whose only cost is the opportunity cost of no hunting, no farming and, in the sanctuaries, no grazing. The opportunity cost of “no grazing” is low because the areas under total protection are very small, only about 1.6% of the Gourma and because livestock could not access them in any case (e.g., in Seno Mango). The opportunity cost of diminished hunting is also considered very low. Already, most mammal wildlife has been either extirpated or reduced to remnant level. Because wildlife is so scarce, hunting is now restricted to well-off recreational poachers who use vehicles to search and shoot game. The opportunity cost of forsaking such hunting is not borne by the local communities.

Improvement of the pastoral production system: Range resources improvement in the multiple-use areas and biodiversity initiative locale areas is the main driver to community incentives for alternative modes of resource use and respect of conservation area rules. Only better grass and healthier livestock can convince users that proactive management of rangeland is good for the productivity of the land and ultimately for

themselves. Biodiversity initiative locale are productive in nature. Promoters will not initiate these ventures, for which they must bear 10% of the costs, if they do not perceive improvement of their economic assets. Since the range of eligible initiative locale covers a wide spectrum of biological resources and themes, it is expected that, by being successful, these initiative locale will bear in themselves the seeds of sustainability. They may lead to more readily available medicinal plants, better fisheries and hunting, more tourists or increased availability of firewood. All these are direct and indirect benefits, but some may take a long time to materialize. These results will be strengthened by other operations such as the Local Government Support Project (PACL), the North-East Mali Development Support Project (PADENEM), the PASAOP and the CBRD.

Direct payment for conservation performance: To supplement the above incentives and defray the management costs to communes and communities of conservation areas, in year 3, a direct-payment facility will be established. The idea is to provision directly the annual budget of either the AIG, Commune Councils or OGACs with pre-agreed amounts on the basis of independently measured conservation performances. This mechanism will be tested during years 3 to 6 and, if successful and credible, will be used as an argument for fund-raising, including perhaps provision of a trust fund. This mechanism is expected to increase sustainability since it empowers even more local stakeholders, and it is likely to be cost-efficient since it does not finance activities but rewards performance.

Other sources of incentives: A 2001 review by the International Institute of Economic Development (IIED) of community-based wildlife management indicated that *"there are a few cases where financial benefits unequivocally exceed financial costs but communities themselves appear in some cases to have decided that the other benefits (livelihood security, biomass, employment etc) are worth the costs (labor, time, resource use restrictions...)"*. This was the case in Burkina, where GEPRENAF communities appreciate even more such externalities as intercommunity relationships, restoration of traditional land-use rights and values, community outreach and maintenance of natural "patrimony." In the Gourma context, with resource degradation, "destruction" of Tuareg factions and increased population, the project may cement communities' cohesion and peaceful cohabitation.

Financial sustainability

By the end of its proposed implementation period, it is not expected that benefits will fully balance the financial costs of managing conservation areas and the opportunity cost of non-activity. Fund-raising for subsequent phases, or for perennial financial support, therefore is an integral aspect of the proposed project.

Low recurrent costs for maintenance of conservation assets: The project focuses on capacity building, not on physical investments. It will not create an infrastructure expensive to maintain or a management system expensive to run. As a consequence, funds needed for future operations will remain reasonable and commensurate with fund-raising possibilities.

Diversification of income-generating activities: The project will stimulate and facilitate tourism and small game hunting, but these activities are likely to remain low for several years until wildlife restoration is significant. Nevertheless, these revenues, however marginal, will contribute to the incentive framework. Financial benefits originating from such activities are likely to directly profit entrepreneurial individuals. In the most attractive conservation areas -- where up to 1000 visitors can be expected -- tourism entry fees will help finance surveillance and monitoring by local patrols.

Establishment of trust fund and fund-raising: Additional sources of long-term financing -- estimated at

about \$200,000 per year -- are needed for subsequent phases. In an attempt to secure perennial financing, the project will finance the design and establishment of a foundation (either national or at the level of the Gourma) and a trust. These will be supplemented by fund-raising activities on behalf of either the proposed foundation, the AIG or a subsequent project.

Financing government services' recurrent costs: By empowering municipalities, the project also minimizes the traditional role of Government services. The project will cofinance part of 4 Government services recurrent costs (2.3% of total costs) for activities carried out toward project objectives. This practice is common in Mali because Government revenues are not sufficient to allocate an adequate budget to conservation. Nonetheless, the level of financing is below the Government's "after-tax" counterpart funding of 5.1%. The level of counterpart funding -- estimated at \$75,000 per year -- if maintained in the national budget after project end, will be sufficient for the Government Conservation Services to continue assistance to Communes. This is commensurate with the country's commitment to maintain biodiversity in the Gourma.

1a. Replicability:

This is a pilot project in Mali but it is fully aligned with all strategies whether for biodiversity, local development and decentralisation. Should the project succeed, it will have far reaching implication in the transfer of natural resources management to communes in Mali and on the organization of intercommunal space and resource management. Field lessons will be capitalized by DNCN and IER through component 4 and, if relevant replicated at other sites in country. Already municipal management of conservation areas is being explored for the Bafing, the Niger delta near Mopti. In addition, by supporting a "national component", the Project will help lift barrier to national reform and feed field results in the country regulations. Finally, by empowering community institutions for conservation area management and not create costly national management structure, the project can help register protected areas that can be managed without little national budget support.

2. Critical Risks (reflecting the failure of critical assumptions found in the fourth column of Annex 1):

Risk	Risk Rating	Risk Mitigation Measure
From Outputs to Objective Project results and commune commitments are not sufficient incentives for donors to commit funds to sustainable financing after the project end.	S	The project will make a special effort to draw lessons from implementation, publicize its successes, link other donors with Commune Councils and witness results and approaches. The project will also work on setting a transparent results-based financial mechanism that enables and encourages direct budget support to commune-based achievement of conservation indicators.
Municipal councils prove not to be sensitive to their constituencies' social needs or committed to development and minimal governance.	M	From consultations held during preparation and workshops/meetings with municipal officials, their commitment to development is apparently genuine. Nonetheless, the project will work with 18 communes, assist with information that stimulates management quality and monitor closely commitment and governance. Municipalities that fail to show adequate

<p>Early demonstration of range improvement is not sufficient incentive for communities to improve behavior toward conservation and actively engage in conservation activities.</p>	S	<p>commitment or governance after year 3 will not receive project support in subsequent years. The project will work with other operations to ensure that the most basic needs of the communes (capacity building and social investments) are addressed as part of the baseline activities. Awareness building and study tours will be a permanent activity to help the communities perceive the potential benefits of improved range management. Most work will be contracted out locally and, if necessary, training will be provided to set up local private service providers.</p>
<p>The Burkina Faso PAGEN is not successfully implemented with good field collaboration among countries.</p>	M	<p>PAGEN will be launched in January 2003. Transborder studies and activities are built into PAGEN. Two conservation areas identified are on the Malian border and are connected to Mali's Seno-Mango and Tessit conservation areas. The Burkina site where the elephant herd stations in summer is also selected as a conservation area. IUCN is to be contracted by both countries to coordinate transfrontier cooperation.</p>
<p>From Components to Outputs</p> <p>Public service institutions and providers are able to improve their capacities to deliver services in conservation, agriculture, livestock to the community.</p>	M	<p>Public services are weak in Mali. However, several Bank operations are helping broad-based reforms that seek to restore capacity and quality of services. In the Gourma, the most relevant of these reforms are those in agriculture and livestock supported by the PASAOP. In addition, the project intends to help refocus the conservation services on essential tasks as well as provide training.</p>
<p>Sufficiently skilled national technical assistance is not available for recruitment to provide professional advice to commune council on wildlife and habitat conservation and management.</p>	M	<p>Mali has few human resources in the wildlife and conservation sectors, although with the commitment of some NGOs (e.g., Wetland, IUCN) and donors (e.g., The Netherlands), this has improved in the past 10 years. Required skills are activity planning and community relations, more than wildlife management. As a result of the numerous participatory projects in the region (PADL, PAIB), such skills have now been acquired by local NGOs or consulting firms. If necessary, the project will initiate recruitment of wildlife specialists in other countries of the region. Study tours and training will be organized for all staff.</p>
<p>The transfer of funds from special</p>	M	<p>The CMO will be stationed in Douentza (200</p>

accounts in Mopti to local initiative promoters proves to induce delays and inefficiencies.		km from a commercial bank); phone communication is available. Direct grants, in several tranches, to local initiatives holders has worked in places even more remote than Gourma. However, after 2 years, the mechanisms will be evaluated and modified if necessary. Annual audits will provide information for such evaluation.
Overall Risk Rating	S	Biodiversity is in a downward spiral in the entire Sahel. Already many wildlife and perennial grass species have disappeared from the Gourma. Taking advantage of real decentralization, participatory conservation approach (e.g., GEPRENAF) and approaches piloted elsewhere (e.g., WAPPP and French PNR) have a good chance to succeed in the Malian context. Still, the management process is complex and behavior changes in the fragile and precarious pastoral environment is difficult. Because of this, the project risk is rated as Substantial. Intermediary benchmarks have been set along with an exit strategy should these not be attained. Nonetheless, the project is the only venture in the Sahel in which conservation is attempted at the required scale (landscape). It is worthwhile piloting.

Risk Rating - H (High Risk), S (Substantial Risk), M (Modest Risk), N (Negligible or Low Risk)

3. Possible Controversial Aspects:

None envisioned

G. Main Conditions

1. Effectiveness Conditions:

- (1) The Recipient has opened a Project account and paid therein an initial deposit of FCFA 85,000,000;
- (2) The Recipient has legally created an UGP and a Steering Committee satisfactory to the Bank;
- (3) the Recipient has concluded contracts of employment with: (A) the project auditors, (B) the staff of the UGP, (C) a private operators for the CMO satisfactory to the Bank;
- (4) the Recipient has established a functional financial management system satisfactory to the Bank.

2. Other [classify according to covenant types used in the Legal Agreements.]

Negotiations conditions:

- (1) The Recipient has prepared a (A) Manual of implementation, including (i) TORs for the

UGP & CMO, auditor and furniture, installation and training for a financial management software, (ii) year 1 annual work program and procurement plan, (B) Manual of administrative and financial management procedures, both satisfactory to the Bank.

(2) The Recipient has prepared a (A) Request for Proposal for the recruitment of (i) the project auditors, (ii) the firm charged to install the computerized financial management system, (iii) a private operators for the CMO, all satisfactory to the Bank

H. Readiness for Implementation

- ☐ 1. a) The engineering design documents for the first year's activities are complete and ready for the start of project implementation.
- ☒ 1. b) Not applicable.
- ☒ 2. The procurement documents for the first year's activities are complete and ready for the start of project implementation.
- ☒ 3. The Project Implementation Plan has been appraised and found to be realistic and of satisfactory quality.
- ☐ 4. The following items are lacking and are discussed under loan conditions (Section G):

I. Compliance with Bank Policies

- ☒ 1. This project complies with all applicable Bank policies.
- ☐ 2. The following exceptions to Bank policies are recommended for approval. The project complies with all other applicable Bank policies.

Jean-Michel G. Pavy
Team Leader

Mary A. Barton-Dock
Sector Manager

A. David Craig
Country Director

Annex 1: Project Design Summary
MALI: Gourma Biodiversity Conservation Project

Hierarchy of Objectives	Key Performance Indicators	Data Collection Strategy	Critical Assumptions
Sector-related CAS Goal: Support competitive or broad-based growth in the rural sector. Improve the well-being of the stakeholders of the Gourma range resources.	Sector Indicators: Incidence of rural poverty decreases by 5% in rural areas. Human development indicator in the 18 communes concerned.	Sector/ country reports: PRSP Monitoring System. Annual UNDP Report.	(from Goal to Bank Mission)
GEF Operational Program: OP1 -Arid & Semi-Arid Ecosystems.	Outcome / Impact Indicators:		
Global Objective: Project Development & Global Objective: Biodiversity degradation trends are stopped & sometimes reversed in key conservation areas & project sites in the Gourma.	Outcome / Impact Indicators: % improvement of key wildlife-based indicators between Year 1 & 6* = - 10% in Core Zone of four conservation areas - 5% in Multiple Use Zone of four conservation areas. <i>* Indicator species: dorcas & red-fronted gazelle & guinea fowl (rangeland/woodland); tbd raptors (inselbergs); crown crane; tbd migratory anatisdae (wetlands).</i> % improvement of vegetation cover & vegetation composition* for mean Y1,2,3 vs. mean Y4,5,6 of project = - 10% in Core Zone of four conservation areas - 5% in Multiple Use Zone of four conservation areas. <i>* Indicators monitored in suitably located quadrates w/in conservation areas with data collected 2 times a yr (min/max biomass).</i> Weighted average of % improvement of local initiatives bioindicators in = 5 (Y3); 20 (Y6). <i>* Each local initiative will monitor a specific impact indicator</i>	Project reports: Reports from camel transect (rangeland) or observation points (wetlands & inselbergs). Scientific monitoring reports of Gourma Ecological Observatory (as coordinated by IER). Reports from participatory monitoring by owners of local initiatives.	(from Objective to Goal) No long-lasting drought occurs before conservation systems are seasoned. Other planned operations* to support decentralization & to strengthen commune capacity & investments are successfully implemented. <i>* These operations include the PACR-Timbuctu & PACR-Mopti (UNCDF), PADL-Gao (AFD) as well as CBRD & PASAOP (IDA).</i>

	% decrease of human-elephant conflictual events Y2 to Y6 = 20.	SCN annual report from conflict ledger records.																									
Output from each Component: O1. Conservation Areas are created & their management by the OGAC is efficient.	Output Indicators: 1.1. km2 allocated & physically demarcated = <table><tr><td></td><td>CA</td><td>CZ</td></tr><tr><td>Séno-Mongo</td><td>1000</td><td>400</td></tr><tr><td>N'Tillit-Tessit</td><td>1000</td><td>400</td></tr><tr><td>Benzena</td><td>1000</td><td>400</td></tr><tr><td>Gandamia</td><td>300</td><td>50</td></tr><tr><td>Gossi</td><td>100</td><td>na</td></tr><tr><td>Main Fatma</td><td>100</td><td>10</td></tr><tr><td>Boni</td><td>100</td><td>10</td></tr></table> * CA = Conservation area, CZ = Core zone 1.2. % of participants in training /awareness modules actively involved in conservation area management in Y6 = 50 <i>* Actively involved = spending > 10% of time on work related to conservation area mgt.</i> 1.3. # of conservation areas which have acquired legal status & possess management plan = 1 (Y3) & 4 (Y6) 1.4. # of OGAC legally responsible for the management of a conservation area = 1 (Y3) & 4 (Y6)		CA	CZ	Séno-Mongo	1000	400	N'Tillit-Tessit	1000	400	Benzena	1000	400	Gandamia	300	50	Gossi	100	na	Main Fatma	100	10	Boni	100	10	Project reports: Minutes of negotiations; report of physical demarcation; supervision aide memoire. Report of training follow-up; monitoring of trainees. Legal document (arrêté communal, or national decree); management plans OGAC proof of existence; concession contract.	(from Outputs to Objective) Early demonstration of range improvement is sufficient incentive for communities to modify practices of range resources utilization. The Burkina Faso PAGEN is successfully implemented with good field collaboration between countries
	CA	CZ																									
Séno-Mongo	1000	400																									
N'Tillit-Tessit	1000	400																									
Benzena	1000	400																									
Gandamia	300	50																									
Gossi	100	na																									
Main Fatma	100	10																									
Boni	100	10																									
O2. Municipalities have improved their capacities to plan for & manage biological resources in their own development programs.	2.1. # of communes rated effective at promoting & helping constituents implement measures in favor of biodiversity, i.e., having grade >10 * = 3 (Y3) & 10 (Y6) . <i>* Grade= 1 for each initiative that reaches its objectives, 1 for 1 successful initiative having benefited from useful input from members of the municipal councils, 1 for biological constraints expressed in participatory diagnostics recorded in Communal Development Plans, 3 for rules in favor of biodiversity enforced by communes over their territory, & 3 for</i>	Commune Development Plans (PDC); Annual report of communes & TSU; Supervision aide memoire.	Municipal councils are sensitive to their constituencies' social needs & committed to development & minimal governance.																								

	<p><i>biodiversity-related initiatives implemented without GEF/FFEM funds.</i></p> <p>2.2. % biodiversity initiatives evaluated as successful in achieving agreed outcome & output = 25 (Y3) & 50 (Y6).</p>	<p>Participatory monitoring reports by project owner; local initiative completion report by project team; supervision aide memoire.</p>	
<p>O3. The Gourma communes are organized themselves to plan and organize better the management of their land and biological resources</p>	<p>3.1. Capacity of the AIG as measured by point system = 8 (y3) & 14 (Y6)</p> <p><i>* Grade= Constitution (1pt), Annual general assembly (1/2pt/yr), get mandate by communes on intercommunal NRM (2pt), appraised a competent enough to contract the CMO by independent evaluation (3pt), contract CMO (1pt), adopt formal RN management rules (2pt), obtain consensus on its role as long-term RN planner/regulator of Gourma (2pt).</i></p> <p>3.2. % of stakeholders of Gourma range resources satisfied of the services provided by CMO, OGAC & AIG = 30 (Y4); 50 (Y6).</p>	<p>SPN, Annual reports, independent evaluations</p> <p>Independent survey of carefully sampled stakeholders by IER.</p>	<p>The country decentralization process continues and enable empowerment of communes on full management of natural resources</p>
<p>O4. Public institutions are able to advise & help communes & communities in their management of biological resources.</p>	<p>4.1. % of stakeholders of Gourma range resources satisfied of the services provided by SCN, IER, IUCN = 30 (Y4); 50 (Y6).</p> <p>4.2. An incentive-based & result-oriented system for direct financing is designed (Y2), adopted (Y3), tested (Y5), functional (Y6).</p> <p>4.3. Amount CFA earmarked for Gourma biodiversity secured in Y6 for each of the subsequent 5 years = 300 million.</p> <p>4.4. # international conservation area jointly planned by OGACs from Mali & Burkina = 1.</p>	<p>Independent survey of carefully sampled stakeholders</p> <p>Minutes of project steering committee, municipal council &/or intercommunal association adopting report; appraisal report by potential donor(s).</p> <p>Grant or Credit Agreements or Letter of Commitment from reputable donor.</p> <p>International protocol; joint management plan; minutes of adoption of management plans by each country's CP & nature conservation.</p>	<p>Project results & commune commitments are sufficient incentives for donors to commit funds after the end of the project.</p>

<p>building for communal & intercommunal biological resources management</p> <ul style="list-style-type: none"> - Implementation of components 1, 2 & 3 by private operator (CMO) - Provide financial support to the CIO &, once created, the board of AIG (animation, workshops, legal advice, travel) - Provide financial support to CC & CCC - Contract out design & capacity building of AIG - Train & monitor training of members of CIO, & once created, of AIG - Support studies relevant to the Gourma territory (a) regional workshops on conservation & land use, (b) rangeland users and tenure, (c) ecotourisms development / elephant management, (d) territorial coherence scheme. 	(GEF 1.61 millions)	<p>financial management reports; bank statements, SOEs, Audits Procurement files (TORs & contracts) Supervision aide memoire Monitoring reports Maps</p>	<p>workforce is available in-country for recruitment to provide professional advice to Commune Council on wildlife & habitat conservation & management.</p>
<p>Component 4. Capacity building for public support to decentralized biodiversity management</p>			
<p><u>Sub-component 4.1. Project operations in Gourma</u></p> <ul style="list-style-type: none"> - Contract technical assistance to commune & communities (service equipment & operating costs) - Support SCN Douentza, N'Tillit & Rharous to provide conservation service in the Gourma (equipment, training, awareness building & operating costs) - Through results-based protocols, provide minimal operations support to other services as needed (education, agriculture, livestock) - Contract studies on the design & test of a mechanism for incentive-based financing of conservation areas in Gourma - Monitor EA & process framework - Contract IUCN for transfrontier coordination with Burkina - Contract IER/Gourma 	<p>\$ 0.92 million (GEF 0.53 million)</p>	<p>Annual report & work programs of SCNs, Other services bound by protocols Study reports Training & training follow-up reports Proceedings of workshops Minutes of meetings</p>	<p>Public institutions & service providers are able to improve their capacity to deliver services the community & the Government of Mali appoints sufficient staff to the SCNs of N'Tillit (4), Rharous (18), Douentza (6).</p>

Observatory to (a) conduct external ecological monitoring, (b) monitor vegetation cover & land-use, (c) set up & manage a local GIS to monitor habitat & use & produce maps				
<u>Sub-component 1.3. National supervision & stocktaking</u> - Sign protocol with DNCN to supervise & capitalize on project (minimal equipment & operational support) - Provide training & build awareness of DNCN staff - Contribute to the design & establishment of a documentation center & web - Contribute to studies & workshops for national reforms of biodiversity management - Conduct studies on the transfer of natural resources management to communes. - Conduct wildlife inventories in other protected areas of Mali - Conduct feasibility study & facilitate establishment of a Malian foundation	\$ 0.65 million (GEF 0.51 million)	Project Annual Report Annual Report of DNCN Study reports Training & training follow-up Supervision aide memoire Proceedings of workshops International protocols		
<u>Sub-component 1.1. Project management</u> - Support Project Steering Committee (animation, workshops, legal advice, travel) - Recruit, equip & provide operation costs to staff of CMO - Coordinate project activities (planning, advising, supervision) - Ensure availability & management of funds - Procure timely good work & services - Coordinate activities with other projects in region - Carry out audits of project funds	\$ 0.93 million (GEF 0.50 million)	Annual report & work programs of PCU, Audit reports, Financial reports	Counterpart funds available	

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Annex 2: Detailed Project Description

MALI: Gourma Biodiversity Conservation Project

The project is cofinanced by the Government of Mali, the GEF and the French GEF (FFEM). It is organized in 4 components:

- Component 1. Support to intercommunal management of conservation areas
- Component 2. Support to community-based biodiversity initiatives
- Component 3. Capacity building for communal & intercommunal biological resources management
- Component 4. Capacity building for public support to decentralized biodiversity management

Financing rules are as follow.

Component 1. All contracts for studies, design of management plans, emergence of OGAC, technical monitoring and all training are financed by either GEF or FFEM. All activities related to the physical management of conservation areas themselves are financed by GEF.

Component 2. All contracts for preliminary studies, technical monitoring and all training are financed by GEF. When studies or training pertain to tourism or concern elephants they will be financed by FFEM. Local initiatives in favor of elephants or ecotourism will be cofinanced 90% FFEM, 10% Communities. Other local initiatives will be cofinanced 90% GEF, 10% Communities.

Component 3. The contract of the CMO is cofinanced 50% by GEF & 30% by FFEM. Its equipment is financed by the GEF. All contracts for preliminary studies, technical monitoring and all training in favor of the CIO, AIG or intercommunal planning issues are financed by FFEM. All environment awareness activities are funded by GEF

Component 4. Capacity building for public support to decentralized biodiversity management: Except allocation for FFEM supervision and for the Gourma ecological observatory--including the Geographic information system--which are financed 100% by FFEM, all other activities under this component are financed by GEF.

By Component:

Project Component 1 - US\$1.97 million

Creation & management of conservation areas

Local capacity building

Communication for conservation area creation & management

As indicated earlier, the approach derived from lessons of the WAPPP is a guide for working with communities. This approach requires that the communities and range users are informed of the methodology and have the opportunity to discuss it, exchange points of view and make decisions based on the Gourma-specific context. Workshops at the village, communal and intercommunal levels that are available to the entire Gourma population are already planned under Component 3. Further and deeper exposure to the approach will be made available to the primary and secondary users of areas identified to become “conservation areas.” This deeper familiarity will reinforce their knowledge and help them make

choices about land allocation as well as rules for the access of resources in multiple-use zones. In addition, the project will finance information campaigns, most likely using rural radio, to ensure that information on conservation areas' locations and access rules is available to the entire Gourma population. The project will finance consultant contracts to design the communication/information strategy. Project stakeholders and community members will then prepare and deliver messages on rural radio; associated costs will be financed by the project.

Creation of Conservation Area Management Organizations (French acronym OGAC)

The project seeks to stimulate the creation of as many OGACs as there are conservation areas, i.e., 7. The creation of an OGAC requires specific assistance to the communities in the form of advice, workshops and legal assistance. The project will finance short consultations to assist communities through the process of creating associations, organizing assemblies, drafting bylaws and registration. Once an OGAC is officially created, it will need assistance for its internal organization to negotiate "local convention" with the Government, contract out work and services as needed and eventually recruit private operators for tourism operations. The project will finance such assistance case by case.

Training in conservation area management

In addition to training geared at Communes and local biodiversity initiative holders in Component 2, the project will finance specific training for the OGAC members/staff and stakeholders involved in Conservation area management. A specific training strategy and action plan will be prepared. Training is expected to include structured training in keeping records, accessing financial resources and executing activities (contracting, cash management, record keeping, monitoring); and providing technical skills training (wildlife surveys, antipoaching, fire management, tourist guiding, building and maintaining temporary roads). Training will be contracted out to consulting firms or NGOs.

Ecological diagnostic and applied research

All studies will normally be coordinated by IER as part of its responsibility for the *Gourma Environmental Surveillance Observatory*. Research or studies generally will be outsourced to universities, and university students, and sometimes to consultants or consulting firms. IER staff and French researchers most often will be financed from sources other than the GEF or FFEM. IER also will closely collaborate and coordinate with the FFEM-financed team working on the conservation of Sahelo-Saharan antelopes in Mali.

To help the community with accuracy, new scientific knowledge on the proposed conservation areas may be necessary. The project will fund, as needed, small studies geared at increasing such knowledge. All will be coordinated by the IER and are likely to be carried out by graduate or doctoral students. Subjects of possible studies include the design of better indicators for grassland restoration, elephant diet and forage availability in proposed conservation areas, water requirement and feasibility/impact of creation of small ponds, human/elephant conflicts, population and distribution of rare species (dama and dorcas gazelle, ostrich.) and red-fronted gazelle ecology.

Conservation area creation and management

Negotiate, delineate and legalize status of conservation areas and core zones

The technical teams first will negotiate with villagers and subsequently help them delineate conservation

areas and their core protection zone. The goal is to set aside for conservation several areas of sufficient size to enable natural ecological recovery. Seven areas are already targeted: N'Tillit/Tessit, Séno Mango, Benzena, Gossi Lake, Fatma Hand, Gandamia and the area around Boni. The project will finance the operating costs associated with this work not already included in the technical team TORs or SCNs' protocols: village meetings and identifying and simple marking/posting of limits in the field.

Preparation of conservation area management plans

Within 2 to 3 years, the OGACs and technical teams will prepare a management plan for each conservation area. A management plan establishes the long-term vision, records its biological and physical assets and defines its conservation and development goals. The plan also identifies investments and the implementation schedule. The management plan is built from (1) information and data gathered from the ecological diagnostics, (2) studies, (3) early results of ecological monitoring, (4) maps, (5) field investigations and (6) rules defined by the community. Investments and activities to be recorded in management plans and eligible for GEF/FFEM financing could range from tracing conservation area limits, maintaining existing rural roads or trails for surveillance and small-scale tourism, to water management schemes such as deepening existing ponds, mitigation of crop-raiding elephants, antipoaching and participatory ecological monitoring, to construction of small tourism infrastructure such as miradors or tented camps. Activities registered in a management plan are not restricted to the conservation area itself. The plan can also include activities outside the area whose objectives are to alleviate external pressure. Examples of such activities are establishment of livestock corridors and awareness raising in primary school.

Implementation of conservation areas management plans

Construction and maintenance of small infrastructure

To implement a management plan, each OGAC will hire community enterprises, or intermediaries, for related services or works and collaborate with relevant Government services and private operators. The most ambitious work (restoring existing ponds, repairing track, pillaring limits or watchtower) will be contracted out to entrepreneurs, but community enterprises, work cooperatives or OGAC subcommittees will carry out most of the work. In the project's 6 years, it is expected that activities planned in the management plans will be only partially implemented.

Surveillance of conservation areas

The management plan will define the surveillance strategy. Most likely, joint teams of the SCNs' foresters and community members organized by the OGAC (e.g., in surveillance subcommittees) will carry out surveillance. The project will finance equipment (e.g., camels, minor camping gear) and operating costs for such teams. Continuation of financing or maintenance of surveillance contracts will be based on performance defined in the contractual agreements or protocols.

Use of conservation areas

Traditional and local markets will be brought into the process through the sustainable exploitation and commercialization of renewable resources such as firewood, honey, medicinal plants, fish and pasturage. The OGAC will organize such use with local merchants, community associations or members of the community. If registered in the management plan, this use may involve regulated access by community members to certain resources that are important to the community's traditional diet. The project will help

OGAC identify, organize and monitor such commercial contracts.

If the tourism market study is positive, the OGAC will attempt to attract foreign tourists interested in landscape, wildlife viewing and adventure tours. They will contract out internationally marketable commercial activity to private operators. These operators will be expected to invest in tourism facilities (camps and small infrastructure), participate in recurrent costs of maintaining investments as well as attract and take care of international clients. To attract suitable professionals and curtail the investment risks, the project may partially subsidize private businesses by matching their investments.

Local ecosystem monitoring

Data will be collected by community members contracted out by OGAC through both ground wildlife transect and vegetation surveys. The CMO will help with simple processing (e.g., calculation of rate of encounters index). When involving sophisticated techniques, further processing will be entrusted to IER. The project will finance acquisition of minor equipment (such as camel and compasses), operating costs for monthly and annual data collection and data processing.

Project Component 2 - US\$1.49 million

Support to community-based biodiversity initiatives

Community training

The GEF will finance training modules for community members with special focus on the municipal council members and staff/members of community enterprises or associations. A training strategy and action plan will be prepared. Training is expected to include structured training in keeping records, accessing financial resources, and mobilizing community contributions; executing activities (contracting, cash management, record-keeping, monitoring) and providing technical skills training (holistic management, wildlife surveys, antipoaching, fire management, tourist guiding, building and maintaining temporary trails). The GEF will also finance study tours. Training will be contracted out to suitable individual specialists, consulting firms or NGOs.

Studies

Complementary diagnostics on biological resources of communal land

While the past and current local development projects (PACR, PADR, PGRN) have already helped communities with the diagnostic, such diagnostics usually are short on analysis of constraints, potentiality and options for improving management of biological resources. The GEF will finance consultants who will join with the CMO to complete the diagnostics. These diagnostics will be carried out after some of the conservation awareness and range resources management workshops have been completed. The diagnostics will normally be consolidated at the Commune level and registered in Communal Development Plans (CDP).

Specific studies to explore options for ecological restoration

While the diagnostics will provide substantial information about the community perception of constraints and opportunities, some specific constraints will require deeper scientific knowledge and analysis. When this is the case, the project will finance specific scientific studies. Normally, these studies will be coordinated by the Institut d'Economie Rurale (IER) to ensure no duplication of studies and coordination

with the Observatoire du Gourma managed by IER. The GEF will finance a protocol with IER to cover its operating expenditures. A manual of "Fiches techniques" for possible solutions to themes eligible as local initiatives will be prepared on an ongoing basis by the CMO as well as by consultants.

Studies on ecotourism development and elephants

The FFEM will finance studies to understand better 2 themes relevant to the Gourma whose financing requires deeper understanding: elephants (range use, conflict resolution) as well as tourism. Tourism is increasing in northern Mali with Mopti, Djenne, Timbuctu and the Dogon Country as focal locations. The Gourma possesses majestic landscapes, interesting traditional architecture, a welcoming culture and ecological features such as the elephants. Currently, very few tourists visit the Gourma. A short study was carried out as part of preparation. More study is needed including the coordination with private tour operators to stimulate ecologically and culturally sound tourism. The FFEM will finance studies pertaining to the development of this dimension. The strategy is to stimulate the gradual development of tourism that will bring additional revenues to Communes and communities while remaining socially and culturally acceptable. Support will range from a better analysis of the potential in term of assets and capacity to attract tour operators and tourists, to cofinancing of private operators for small camp building in conservation areas to assistance to local initiatives and training of local guides.

Biodiversity-related local initiatives

Biodiversity conservation outside conservation areas will depend mostly on the leadership of interested stakeholders (individuals, cooperatives, associations or Commune Councils). The project therefore will finance biodiversity-related local biodiversity initiatives as presented and defended by their owners according to a process defined in the Implementation Manual and recapped below.

Selection and screening

A local biodiversity initiative promoter can be an individual, a formal or informal community association, a Commune or several Communes. The list of eligible themes is provided below. The idea for an initiative will be solely that of its promoter. The selection process is provided in a "local biodiversity initiative" guide that outlines all steps of preparation and implementation. The developing and screening process will follow these steps:

Step 1. Once a promoter expresses the idea, that promoter develops it according to the "canvas" provided by the project; Promoters whose proposals are eligible according to the CMO technical teams receive their assistance to finalize their proposals and meet all review requirements (social, environmental, financial, sustainability).

Step 2. The CIO meet once a semester to review all proposals on the basis of eligibility criteria.

Step 3. Once endorsed, an animator is appointed to assist and monitor the local biodiversity initiative. The initiative is sent to the CMO for financing. The CMO will verify conformity with the criteria and proceed with the payment following procedures outline in the Procedure manual.

Implementation

A promoter is fully responsible for implementation of his/her local biodiversity initiative. An animator will advise promoters and monitor local biodiversity initiative implementation. Further assistance will be provided by the relevant public services working in the area (forestry, livestock, education). Subsequent tranche release by the Commune will be carried out on the basis of progress reports cosigned by a

representative of the Commune Council and the animators. The promoters and their animators jointly will produce a completion report. Communes with more than 3 stalled local biodiversity initiatives, i.e., with unmet intermediary benchmarks or without completion reports, will not be eligible for further support. Twice a year, auditors will audit a sample of promoters. In addition, the National Office of Environmental Impact Assessment will carry out independent evaluations of the screening process and of implementation of a sample of local biodiversity initiatives. The following list of eligible themes for local biodiversity initiatives has been defined:

1. Protection of a threatened or remarkable local biological resource: Organization of local association, professional organization, community, or Commune for protection of a specific biological resource that is threatened by local extinction. This resource can be a fauna, fish or flora species, or community or a land area.
2. Improvement of natural pond, wetland, spring or watercourse management: Often, around a water location, fauna/flora is abundant and diverse. Often also, user pressure and access-related conflicts are strong. The project will support initiatives that seek to define and implement new management/access rules that include all users (including nonhuman), while maintaining the availability of water and related ecological processes.
3. Improvement of management of a forest: In the Gourma, forests are fragile and subjected to high rain variation and strong human/livestock pressure. Such forests, often lowland acacia forests, possess rich plant and wildlife communities; these are dramatically threatened. The project will support local initiatives that aim to ensure that natural processes can continue in managed or protected private, community or communal forests as decided by those who control and need access to their resources.
4. Improvement of pasture land management: The Gourma's overall land vocation is primarily that of pasture; all inhabitants are more or less involved in livestock. However, inferring from the degradation of range resources, current management may not be sustainable. Lessons on WAPPP can be applied locally, or over large areas, to enhance productivity while restoring the diversity and vegetation cover of grassland. Therefore, the project will support local initiatives to ensure that natural processes can continue in managed or protected private, community or communal rangeland as decided by those who control and need access to their resources.
5. Measures in favor of elephant conservation and cohabitation with populations: The Gourma elephant herd is the last of Mali; it also is unique because of some of its behavior patterns and dryland adaptation. Conserving it is a national/global option. However, with the increase in human population and settlements, the human/elephant relationship is growing sour. Consequently, one of the project strategies is to assist sound local initiatives that will foster more pacific cohabitation.
6. Bushfire control: Bushfire are the worst enemy of biodiversity and livestock in the Sahel, which has less than 400 mm of rainfall annually. The primarily annual species grassland does not recover for 1 year. The project will support initiatives to educate the population about, and protect areas against, bushfire.
7. Education on biodiversity: Even though the Gourma population appears aware of resource degradation and the need to modify resource use patterns, very few spontaneously adopt new behavior. Conservation awareness messages and information on alternatives remain necessary to reinforce current knowledge. The project will help enlightened and willing local people to define and build their own education strategy and tools and lead awareness building of their peers.
8. Support to conservation of cultural assets: In the Gourma, there exists a strong tradition of poems, songs, stories and dances that praise the richness and beauty of nature. Such cultural assets can play a role in the maintenance of traditional values and generate sensitivity, ideas and awareness about the need to maintain such patrimony. The project will support initiatives to maintain the Gourma's cultural capital, contextualize it and promote its diffusion.

9. Support to ecotourism development: Tourism can help diversify the Gourma's economy and provide economic incentives for conservation. The project will help promoters develop and promote tourism product by providing funds, technical assistance and network of contacts with potential private investors.
10. Support to sustainable use of secondary products: In the Gourma, resources such as wild fonio, medicinal plants and firewood play an important role in the local economy and function as safety net during difficult times. The project will support sound local initiatives to improve the sustainability of such use.

Project Component 3 - US\$ 3.12 million

Capacity building for communal & intercommunal biological resources management

Technical assistance and advising to communes and communities

Technical assistance to Communes and communities will be entrusted to a private operator (consulting firm, NGO, or consortium) contracted to this effect. The operator will deploy a technical team (French acronym CMO) with a manager, a specialist in wildlife management, a socio pastoralist and a specialist in local development/local government; 5 municipal biodiversity advisors and 20 animators. The CMO will implement component 1, 2 & 3. It will contract out most of the studies, training, surveys to other firms, NGOs, enterprises, Communes, community associations and public institutions. Local costs for this contract are financed 50% by GEF and 30% by FFEM & foreign costs 62.5% and 37.5% respectively. The contract will be performance based. It will include the costs of all salaries, equipment, and all operating costs of the CMO.

Community awareness building

Conservation education is necessary to increase general awareness of conservation and to mobilize the interests and participation of villagers and their traditional authorities. The GEF will finance awareness raising of the community members with a special focus on resource users. Past experiences have shown that community sensitivity about natural resources issues is best increased through regular discussions, demonstrations, and visits to other locations, where the people can witness and learn from others' successes and mistakes. As a first step, the CMO staff will initiate contact with villagers through discussions and meetings. As second step, awareness building will be coupled with the participatory and ecological diagnostics. Thereafter, a more ambitious program will be designed according to the result of the diagnostics. It is expected that the following awareness raising tools will be used and financed by the project: teacher training, posters, theater presentations, field visits, local radio programs and contests.

Incremental support to steering and advising

The FFEM will finance incremental costs of semester meetings of the Intercommunal Orientation Committee (French acronym CIO) and then of the board of the Intercommunal Gourma Association (AIG), including expenses for travel and meetings.

Support to Communal Councils and Center for Communal Council (CCC)

For Commune Councils and for the CCC--a role often played by NGOs such as AFVP and NEF--to participate in project meetings and other project activities, the FFEM will provide each Commune Council with a fixed amount--as decided by the CIO--that it is free to manage and use as required. This system will

be evaluated after 2 years to verify that members of Commune Councils and the CCC are indeed participating in the decisionmaking and adding value to project implementation.

Design and stimulation of Intercommunal Gourma Association

After 3 years, it is expected that the coordination of conservation and natural resources management activities promoted by the project will be continued by an association of the 18 Communes of the Gourma: the AIG. Financed by FFEM, an independent consultant will be recruited to assist Communes in the design, incorporation and capacity building of this association. The intended result is that this association is perceived as well representing the interests of the Gourma resources stakeholders and as having adequate capacity to take over responsibility for the CMO and the project at the end of year 3 or 4. If its capacity is deemed sufficient & the AIG request management of the project, in years 4 to 6, it will become responsible for the coordination and administration of the project operations in the Gourma. AIG will then contract the CMO staff if their performance is satisfactory.

Capacity building of the CIO and of AIG

It is essential that the capacity of the CIO and then AIG be adapted to the approach and to the role they must fulfill in the Gourma. The FFEM will finance training modules and awareness building modules as well as study tours for all staff of the CIO and AIG. The project will work with the Federation of Natural Regional Parks of France to foster exchanges of ideas and knowledge to stimulate a sense of ownership by the Communes for a more integrated development of their entire 18-Commune territory. From the onset, the CIO will design its own training/capacity building program and monitor its own capacity and readiness to take over the CMO and the project.

Studies and workshops on Gourma-wide themes for coherence of territorial planning

Regional and local workshops on conservation and range use

The approach derived from lessons of the WAPPP has produced a guide for working with communities. The approach requires that the all primary and secondary range users are informed of the methodology and have the opportunity to discuss it, exchange points of view and make decisions based on the Gourma-specific context. To foster such exchange, the project will finance a series of workshops at the village, communal and intercommunal levels. The financing includes consultant contracts (for the first workshops) and travel expenses for participants.

Study of rangeland users and tenure

A project on-set, a pastoral tenure and users' study will be carried out in coordination with team from Burkina. Research teams will work closely with the TSU. The objective, at the scale of the two countries, but with a focus on proposed conservation areas, is to understand better the current rules for occupying and exploiting the spatially distributed resources by herders and farmer-herders. The study will attempt to reach out to the user community (primarily Peul, Bêla, and Tuareg) to establish trust and identify the constraints that the current management mode implies. This study would target the following outcome: (1) spatio-temporal maps of the use of space by herders, (2) spatio-temporal map of resources (forests, rangeland, and water); (3) identification of, and establishment of a dialog with, the current primary users, those who possess traditional rights to resources or land, or those who either are traditional decision makers or have appeared as decision makers (if any); (4) identification of local or tribal hierarchy and of the decision making process that regulates use of the range and water (if any); (5) evaluation of the herders'

perception of qualitative and quantitative trends in natural resources ; (6) identification of possible zoning, and/or improved rules for using the land and its resources, in agreement with the current demographic trends, herders' vision of their future, and biodiversity conservation.

Territorial coherence scheme

With help from the French Federation of regional natural parks (French acronym FPNR) financed by the FFEM, the CMO will help communes consolidate their Communal development plans in such a way that they become altogether coherent at the scale of the 18-commune territory. First a Territorial coherence scheme will be produced and adopted by the 18 communes (either the CIO of the AIG). Then, if a legal documents will be prepared--using the model of the French Charte de Territoire--to set the rules, the governance, etc. of the territory.

Project Component 4 - US\$2.50 million

Capacity building for public support to decentralized biodiversity management

Subcomponent 4.1. Support to project operation in Gourma

Support to the Douentza, Rharous and N'Tillit Nature Conservation Services (SCNs)

SCNs are permanently positioned in the Gourma to deliver public services to the communities on forestry/natural resources management as well as enforce national conservation laws and local rules. GEF/FFEM jointly will finance results-based annual protocols with SCN Douentza, N'Tillit and Rharous to provide conservation service in the Gourma whereby the SCNs agree to annual results such as number of days of patrols, number of trainings delivered to community members for which the project provides vehicles, field equipment and operating costs.

Support to other public deconcentrated institutions or NGOs

Because they will work closely with CMO staff, promoters of local biodiversity initiatives and managers of conservation areas, service agents and NGO staff already posted in the 18 project Communes will have part their operating costs paid by the project. Examples of such service agents are those for education, agriculture, and livestock. Examples of such NGOs are those that ensure Communal Council Centers' (CCC) roles, e.g., North East Foundation (NEF). These agents will operate under protocols with the CMO and an agreed work program that will pertain only to activities that alleviate the threats to biodiversity and conservation areas, such as helping freeze the agriculture front or finding solutions for livestock-wildlife conflicts.

Monitoring of Environmental and Social Analysis (ESA) and Process Framework

From the Environmental and Social Analysis (EA), a Process Framework was adopted to ensure that potentially negative social impacts are mitigated. The project will fund operation costs of the National Office responsible for Environmental Assessment -- the National Directorate for Sanitation and Pollution Control or equivalent -- to oversee adequate implementation of such framework. This implies screening all management plans prior to official adoption and implementation, review of EA for each infrastructure with potential impact on the environment, as well as regular field missions to verify that the project is implemented according to the framework provisions. The project also will finance the contract of an independent sociologist to carry assessment of the framework implementation in year 3 and year 6.

Suivi externe des impacts

IER via the Gourma ecological observatory will coordinate the scientific ecological and social monitoring of the Gourma territory and of the conservation areas.

External monitoring of impact over the Gourma

As part of its support to the ROSELT Network, FFEM and other source of financing from France will help IER (1) continue and expand ongoing monitoring of vegetation and (2) set up and manage a GIS of the Gourma. The GIS will provide important information to all project stakeholders by monitoring habitat and land-use patterns as well as produce maps.

Perception survey of rangeland users

In years 2, 4 and 6, the GEF will finance a Gourma-wide perception survey to be carried out by a specialized and independent firm. The objective is 2-fold: (1) to ensure that the project and project implementers, contractors, Government services and Communes provide a service perceived as valuable and worthwhile to the communities and (2) to measure the extent to which the community perception about rangeland management and biodiversity is changing.

Transfrontier coordination with Burkina

The GEF will finance the services of a partner (most likely IUCN's regional office) contracted to provide technical support to the project, primarily to promote and ensure adequate coordination with Burkina Faso and its projects on the other side of the border. The role of this partner will be to organize meetings with the teams of all countries, promote the exchange of information and experience and ensure that management and zoning decisions on each side of the borders are mutually beneficial. They also will verify that zoning and rules that pertain to pastoralism and movement of animals, including wildlife, especially elephants, from one country to the other are compatible. It was agreed that IUCN will receive a similar contract with PAGEN in Burkina Faso.

Subcomponent 4.2. National supervision and stocktaking

Incremental support to DNCN

Operational support

DNCN is in charge of nature protection and biodiversity conservation over the entire territory. To ensure that it provides adequate supervision and advice and that the lessons from implementation are indeed factored into country policy, the GEF will finance a vehicle and computer equipment as well as some operating costs for services related to project implementation.

Training and awareness building

DNCN staffs need to improve their overall capacity to implement their core mission and strengthen their capacity to enforce regulations and carry out conservation planning and services. GEF will cover some training costs for DNCN staff (in strategic planning, antipoaching, community-based development, wildlife surveys). Training will be contracted to either the National Forestry School of Katibougou, consulting firms or NGOs.

Documentation center and website

GEF will finance a short consultation to design and set up a documentation center and website for DNCN including bibliographical research. It also will fund purchase of furniture and books and the cost of duplicating and referencing documents and reports.

Studies and workshops

National reforms of biodiversity management

With decentralization, the Government needs to adapt the way it delivers conservation services and plan nationally for biodiversity. A national biodiversity strategy exists, but it is short on action and does not sufficiently identify the legal and institutional reforms. The GEF will finance a consultation as well as national workshops geared at helping Mali better define its biodiversity action plan and reforms.

Transfer of natural resources management to Communes

With decentralization, an array of laws is attempting to define the sectors and resources that will be devolved to Communes and communities. Unfortunately, no decision has been taken for lack of information on who is in charge of conservation areas, wildlife, rangeland (see also Charte Pastorale) and biodiversity in general. Clearly, the issue is difficult because of the multiple dimensions and stakeholders interests of such resources. The GEF will contribute funds to a series of consultations and workshops to consolidate the current policies, trends and propositions and stimulate discussions at the national level. Other donors and projects will finance this process.

Wildlife inventories

Wildlife has suffered greatly in Mali and is all but extinct in most locations. Because it lacks funds, the country must focus on the areas that harbor the greatest potential. Unfortunately, little data is available. The GEF will finance aerial or foot surveys in existing and proposed protected areas. Eligible areas are Nienedougou, Bafing, Kongosanbougou, Ansogo-Menaka, Adrar and Tilemsi.

Feasibility study and establishment of a foundation to finance biodiversity in Mali

To achieve conservation area auto-financing as well as continue support to biodiversity initiatives after project end, a sustainable source of external financing needs to be secured. GEF/FFEM jointly will finance an NGO or consulting firm to analyze the Mali-based or international alternative to set up such a perennial source of funds. In other countries, this has taken the form of a trust fund or a foundation. The study also will identify alternative disbursement mechanisms to channel donors' funds to the various institutions in charge of biodiversity conservation. These mechanisms can take the form of direct support to the national budget and local budget, or capital to a trust fund. Should feasibility be positive, the project will finance a participatory process to stimulate the establishment of a foundation as well as the design of its instruments and fund-raising activities. The study also will assess the donors' willingness to contribute to such funds and their conditions for such support. A proposal, including the detailed steps to set up such mechanisms, will be discussed at a workshop and adopted prior to year 4. The suitability and capacity of the foundation to do additional financing of conservation in the Gourma will be analyzed during implementation.

Design of an incentive-based financing of conservation areas in Gourma

The project will finance a study whose objective is to design and test a mechanism that rewards conservation-oriented behavior by range users and conservation results by OGAC and therefore generates conservation incentives. The study will take into consideration that (1) the mechanisms must reward all those whose behavior lead to conservation results: Communes, conservation area managers (OGAC) and conservation area primary and secondary users, (2) a permanent source of external funding is being established in parallel to these efforts and (3) a sustainable and independent way to measure success and trigger payments must accompany the direct-payment mechanism. The system will be designed in year 2, adopted in year 3 at the mid-term review and tested in years 4 to 6. If necessary, an amendment to the grant agreements will be sought.

Subcomponent 4.3. Project Management

Incremental support to steering and advising

The project will finance incremental costs of annual meetings of the National Steering Committees (French acronym CP), which include travel expenses.

Support to Project Management Unit (French acronym UGP)

The UGP will be responsible for coordination and administration of the project. A coordinator agreeable to the Bank and SCAC/AFD will be recruited by DNCN. GEF will finance a financial management expert, an accountant as well as support staff (secretary, driver, keepers), a vehicle, computer and office equipment and operating expenditures. The UGP will be responsible to (1) coordinate project activities (planning, advising, supervision), (2) ensure availability and management of funds, (3) procure timely good work and services, (4) coordinate activities with other projects in the region and (5) research financing for subsequent phases. The UGP is responsible for implementation of Component 4. It is also responsible to recruit the CMO and supervise it until the contract is transferred to the AIG.

Training of staff

It is essential that the existing capacities of the UGP, CMO, and SCNs be adapted to the project approach and to the posts they occupy. GEF/FFEM will finance training modules (project approach, community animation, habitat management, wildlife survey, antipoaching) and awareness building modules as well as study tours to the all staff positioned in the Gourma. Each staff of the CMO, technical teams and some staff of the SCN and other services will receive training to understand better the approach itself and to moderate community workshops on the subject (see also components 2 and 3).

Audits

GEF/FFEM jointly will finance audits of accounts, performance and physical implementation; full audits will be carried out on a semester basis.

Annex 3: Estimated Project Costs
MALI: Gourma Biodiversity Conservation Project

Project Cost By Component	Local US \$million	Foreign US \$million	Total US \$million
1. Support to intercommunal management of conservation areas	1.75	0.08	1.83
2. Support to community-based biodiversity initiatives	1.38	0.02	1.40
3. Capacity building for communal & intercommunal biological resources management	2.12	0.73	2.85
4. Capacity building for public support to decentralized biodiversity management	1.99	0.36	2.35
Total Baseline Cost	7.24	1.19	8.43
Physical Contingencies	0.18	0.03	0.21
Price Contingencies	0.38	0.06	0.44
Total Project Costs¹	7.80	1.28	9.08
Total Financing Required	7.80	1.28	9.08

Project Cost By Category	Local US \$million	Foreign US \$million	Total US \$million
Work	1.17	0.00	1.17
Equipment	0.33	0.67	1.00
Consultant services, training & workshops	4.01	0.61	4.62
Subprojects (local biodiversity initiatives)	1.24	0.00	1.24
Operation costs	1.05	0.00	1.05
Total Project Costs¹	7.80	1.28	9.08
Total Financing Required	7.80	1.28	9.08

¹ Identifiable taxes and duties are 1.08 (US\$m) and the total project cost, net of taxes, is 8 (US\$m). Therefore, the project cost sharing ratio is 68.75% of total project cost net of taxes.

Annex 4: Incremental Cost Analysis

MALI: Gourma Biodiversity Conservation Project

National efforts for conservation and local development

The GEF/FFEM "Gourma Project" implements a component of the National Natural Ecosystem Management Program. This program, as registered in the NEAP and Biodiversity Action Plan, targets the conservation of biodiversity in 8 priority sites of Mali. The Gourma is 1 of these 8 priority sites. Other donors have targeted other sites: European Union and Germany: Bafing area; France SCAC and UNDP and UNDP/GEF: Baoulé National Park; France AFD, SCAC and FFEM: Adrar des Ifoghas; and The Netherlands and IFAD/GEF: Ramsar sites in the Niger Delta. These operations are estimated to amount to more than US\$10 million and are mentioned here for information only. They are not tallied as baseline to the proposed GEF/FFEM Project.

Numerous donors are committed or intend to support the country decentralization process. These projects range from institution and capacity building to support to design and implementation of Municipal Development Plans. Some projects focus on the grassroots or social infrastructure, others on natural resources management. The list is too complex to compute. The number of operations and donors committed as well as the amounts planned serve as demonstration that the decentralization process is likely to continue, to improve and to remain under the scrutiny and assistance of the international community. In turn, the above provides a level of confidence that the proposed GEF/FFEM project has adopted an approach solidly anchored in the country's development.

Gourma-specific efforts for conservation and local development

In the Gourma, regular Government efforts as well as other projects will strengthen the Communes' capacity or deconcentrated Government services capacity, and/or improve livestock or farming practices for better land resources management or help finance local infrastructure, such as the Grassroots Initiatives Support Project (PAIB), IDA Agriculture and Professional Organization Support Project (PASAOP) and IDA Rural Equipment Project (PNIR). Because these operations are independent of the proposed GEF/FFEM Project, they are not tallied within the baseline.

Also in the Gourma, the GEF/FFEM Project is fully integrated within a series of other projects. Because the Gourma encompasses a portion of 3 regions, it has developed privileged relationships with 3 projects that directly support decentralization and local investment in the 18 Communes of the Gourma targeted by the GEF/FFEM Project. These projects are the AFD PADL-Gao (Gao Region Local Development Project); the UNCDF PACR-Timbuctu (Timbuktu Region Rural Commune Support Project) and the UNCDF PACR-Mopti (Mopti Region Rural Commune Support Project). These 3 projects are tallied as baseline, because (1) they will have daily field operation ties with the GEF/FFEM Project and (2) they provide the necessary foundation in terms of Commune capacity and communal planning on which to build new awareness, commitment, capacity and technology for wildland management and conservation.

Baseline

Together with the 3 above-mentioned projects, the project is registered in a decentralization cluster whose development objective is to ensure that *"The rural populations have better access to public services, to socioeconomic infrastructures and to productive natural resources."* The 3 baseline

projects seek 4 main outputs: (1) to set up and operationalize new transparent and participatory mechanisms and procedures for planning and programming local development, (2) to ensure that Communes have access to internal and external financial resources and manage them according to good governance principles, (3) to strengthen local capacity for implementation and monitoring of development actions and (4) to ensure that local initiatives for protection and use of natural resources are planned by local Government and managed by village communities.

Costs

For purposes of the Incremental Cost Matrix, the baseline costs include "direct" cofinancing (Government, communities) and "associated" financing (AFD, UNCDF, IDA, communities). The total amounts to \$5.32 million, or 42% of total project costs. It should be noted that "associated financing" is mobilized whether or not the GEF/FFEM Project is implemented. On the contrary, direct cofinancing is not mobilized unless the GEF/FFEM Project is implemented.

Associated financing

The PACR-Mopti, PACR-Timbuctu and PADL-Gao are expected to mobilize \$2.5 million for the 18 Gourma Communes targeted by the GEF/FFEM Project. In addition, it is expected that through either the CBRD will provision the FICT (Investment Fund for Local Governments) (or other instruments) to support implementation of these 18 Communes' development plans. The amount is estimated at \$1.0 million (approximately \$1.00 per habitant per year). The community is expected to contribute \$388,000, or approximately \$3,600 per Commune per year.

Direct cofinancing

Government cofinancing for the GEF/FFEM Project will be in the order of \$1.72 million, which includes \$1.08 million in customs and taxes. This contribution does not include the salary of civil servants who will be working toward the project objective or the facilities/equipment that the Government will provide to its staff for operation. Government financing, including taxes, is 14.6% of project costs, or, excluding taxes, 5.1%. This is a significant amount for Mali, which is one of the poorest countries in the world. The community is expected to contribute \$60,000, or approximately \$600 per Commune per year.

Benefits

In the absence of GEF/FFEM funding, the 3 baseline projects are expected to deliver benefits in the form of improved well-being, improved productivity of land resources, and improved capacity of Commune Councils and populations to mobilize and manage financing.

1. Improved well-being of the population

Increased income can be expected from a broad range of activities (small-scale irrigation, gardening, cattle and sheep fattening, food product processing, fuelwood, seedling production, fishing). Less direct income impact will come from yield increases resulting from soil fertility interventions. Clean water will lessen the impact of waterborne diseases. Communal health centers built in response to public demand will improve access to basic health. Village schools, also built in response to public demand, will lead to increased child enrollment. Contracting local artisans and small-scale entrepreneurs will generate local employment opportunities.

2. Impact on local capacities

The 3 baseline projects aim to strengthen the capacity of elected Commune officials, Commune staff and local stakeholders of development (teachers, health agents, veterinarians) in planning and running communal affairs. Well-governed and organized municipalities with sound budget allocation can have far-reaching impacts on community well-being. Capacity building includes the ability to prepare Communal Development Plans, to contract out the construction of infrastructure or the delivery of services, to interact with the ANICT and CCC for mobilization of financing and to organize and collect local taxes. Literacy programs will be an essential ingredient in the capacity building effort. Technical and organizational skills will be provided to ensure the maintenance of project-funded investments (e.g., maintenance of pumps and mills).

3. Impact on natural resources

Better management for long-term sustainable use of the natural resources is an objective of the baseline projects. Eligible activities include improving the productivity of agriculture and livestock (e.g., through soil conservation), supporting agroforestry initiatives, assisting fishermen for better management of fish stock and preventing conflicts over land tenure and grazing rights. These initiatives are triggered only on demand. Consequently, because the population is likely to focus on immediate needs such as water, health and schools, the impact of the baseline projects on natural resources is expected to be marginal.

Global environment objective

Within the framework of the program above, the GEF and FFEM (French GEF) provide incremental financing with the combined 6-year Global Objective and Development Objective that Biodiversity degradation trends are stopped and, in some cases, reversed in key conservation areas and project sites in the Gourma. The project targets the GEF Operational Program 1 (arid and semi-arid ecosystems).

The objective is sought via 4 operational outputs:

- O1. Conservation Areas are created & their management by the OGAC (French acronym for Conservation area management associations) is efficient
- O2. Municipalities have improved their capacities to plan for & manage biological resources in their own development programs.
- O3. The Gourma communes are organized themselves to plan and organize better the management of their land and biological resources
- O4. Public institutions are able to advise & help communes & communities in their management of biological resources.

The value of the Gourma biodiversity for the global environment is well documented. Its conservation is registered in the main international environmental strategies (e.g., World Bank's Ecologically Sensitive Sites in Africa, IUCN's Conservation Strategy in the Afrotropical Realm, Bonn Convention for Migratory Species Strategy for Sahelo/Saharan Antelopes). The Gourma's biodiversity also is registered among the foremost priorities in the Mali NEAP and biodiversity strategy. The Gourma lies between 250-550 mm isohyets. It appears early in the bibliography as an area rich in wildlife and plant species ((e.g., International Federation of Standards Users (IFAN) 1955)).

Such richness spawns from unusual landscape features. The Gourma lies at the edge of the Niger Delta and possesses numerous lakes, some permanent, that harbor rich bird variety, including many palearctic migrants. Because the watershed is "inclusive," there is little drainage out of the Gourma; this water retention in lowland areas maintains rich acacia forests including species often threatened elsewhere in the Sahel. Permanent wetlands and acacia forests provide water, forage and shelter for the survival, and actual development, of an estimated 375-rich herd. Inselbergs scattered throughout the Gourma have acted as isolated islands on which rodent speciation has been documented. Many small carnivores or birds of prey find suitable shelter or nesting in the inselbergs' rocky formations or cliffs. The Gourma used to harbor the widely distributed fauna of the Sahel including the dama, dorcas gazelle, oryx and redneck ostrich; many of these species are near extinction today in the Gourma. The International Livestock Center for Africa (ILCA) reports the existence of 824 plant species in the Gourma.

GEF Alternative

Without GEF or FFEM support, the baseline projects are likely to focus solely on capacity building of the newly established Communes and investments for their priority needs. Such needs are likely to be social in nature or productive with immediate return. Land planning and use or natural resources management may receive attention but not to a significant degree. The GEF/FFEM project presents a suitable alternative, because it enables Communal planning to include land-use planning and conservation of biodiversity from the early stage of municipal development. By also working at the intercommunal level, the project also will attempt to register communal planning within the greater ecosystem or landscape and "pastoral space" level.

The project will be implemented through 4 components:

- Component 1. Support to intercommunal management of conservation areas
- Component 2. Support to community-based biodiversity initiatives
- Component 3. Capacity building for communal & intercommunal biological resources management
- Component 4. Capacity building for public support to decentralized biodiversity management

Component 1. Support to intercommunal management of conservation areas

Through this component GEF/FFEM will finance (1) local capacity building including (a) communication, (b) creation of Conservation Area Management Organizations (French acronym OGACs) and (c) training; (2) studies including ecological diagnostic and applied research; (3) conservation area creation and management including (a) negotiation, delineation and gazetting conservation areas and core zones and (b) preparation of conservation area management plans and (4) implementation of conservation area management plans including (a) construction and maintenance of small infrastructure (deepening existing pond, watchtower, dirt road repairs), (b) surveillance of conservation areas, (c) use of conservation areas and (d) local wildlife surveys.

Component 2. Support to community-based biodiversity initiatives

Through this component, GEF/FFEM will finance (1) community awareness building; (2) community training; (3) complementary diagnostics on biological resources of communal land; (4) specific studies to explore options for (a) ecological restoration outside conservation areas and (b) tourism development and private sector involvement; and (5) biodiversity-related local initiatives. The following list of eligible local initiatives has been defined: (a) protection of a threatened local biological resources, (b) improvement of natural pond, wetland, spring or watercourse management, (c) improvement of management of a forest, (d) improvement of pasture land management, (e) measures in favor of elephant conservation and cohabitation with populations, (f) bushfire control, (g) education on biodiversity, (h) support to conservation of cultural assets, (i) support to ecotourism development, and (j) support to sustainable use of secondary products. The project will not finance any socioeconomic local initiatives such as road, school, storage facility, dispensary, well, dam, tree plantation, agriculture, and livestock.

Component 3. Capacity building for communal & intercommunal biological resources management

Through this subcomponent, GEF/FFEM will finance (1) support to the Intercommunal Orientation Committee (CIO), Communal councils (CC) and Centers of Communal Councils (CCC) (animation, workshops, legal advice, travel), (2) contracting out design, creation and capacity building of the Intercommunal Management Structure (AIS), and (3) studies and workshops including (a) study of rangeland users and tenure, (b) regional and local workshops on conservation and range use, and (c) with assistance from the French Federation of natural regional Parks consolidation of Communal development plans for territorial coherence as well as design and adoption of a Territorial chart or equivalent.

Component 4. Capacity building for public support to decentralized biodiversity management

This component is divided into 3 subcomponents: (1.1) Project management, (1.2.) Support to Gourma operation, and (1.3) National supervision and stocktaking.

Subcomponent 1.1. Project management

Through this subcomponent, GEF/FFEM will finance (1) incremental support to steering and advising by the Steering Committee, (2) support to the Project Management Unit (French acronym UGP) for procurement, financial management, planning & supervision and (4) audits

Subcomponent 1.2. Support to project operations in Gourma

Through this subcomponent, GEF/FFEM will finance (1) technical assistance to Commune and communities; (2) support to the Douentza, Rharous and N'Tillit Nature Conservation Services (French acronym SCNs); (3) support to other public deconcentrated institutions or NGOs, (4) training, (5) designing and testing an incentive-based mechanism for financing conservation areas in Gourma; (6) monitoring Environmental and Social Analysis (ESA) and Process Framework; (7) contracting the Institute for Rural Economy (French acronym IER) to (a) conduct external ecological monitoring; (b) monitor vegetative cover and land use, and (c) set up and manage a local Geographical Information System (GIS) to monitor habitat and land use and produce maps, and (8) transfrontier coordination with Burkina.

Subcomponent 1.3. Support for national supervision and stocktaking

Through this subcomponent, GEF/FFEM will finance (1) incremental support to DNCN including (a) operational support, (b) training and awareness building, (c) documentation center and website; (2) studies and workshops including (a) national reforms of biodiversity management, (b) transfer of natural resources management to Communes, (c) wildlife inventories, and (d) feasibility, establishment of, and fund-raising for a Malian foundation.

Costs

The GEF/FFEM alternative is estimated to cost \$12.98 millions, divided as follows:

GEF	\$5.50 million
FFEM	\$1.80 million
AFD/UNCDF/IDA	\$3.50 million
Communes	\$0.46 million
Government of Mali	\$1.72 million (customs/taxes \$1.08 million plus counterpart financing \$0.63 million)

Direct cofinancing, or \$9.08 millions from GOM, FEM & FFEM, is managed by the project's UGP and CMO. In the Gourma, various other sources of cofinancing (baseline or not) will be ultimately coordinated by the CIO and the AIG. Until this, each project has agreed to respect and support the communes' development plans.

Benefits

Additional improvement of well-being

A marginal increase in community members' income is expected from new or alternative activities (tourism, waterfowl hunting, pharmacopoeia, better natural resource use). Overall, the project's additional impacts on living conditions will not be direct but related to the lesser vulnerability of a healthy ecosystem that enables sustainable access to grassland throughout the year, use of conservation areas as forage-insurance in dry years and diminished conflicts over grazing areas and access to water. Additional benefits include diversification of income to the communities during the project (work generated by project implementation) and after (work generated to handle tourists, monitor wildlife and protect conservation areas).

Additional impacts on national and local capacities and awareness

At the national level, the GEF/FFEM Project will improve the institutional framework and human resource capacity for better nature protection. Better coordination of conservation efforts by the Government and other donors at the international, national and local levels will contribute to improving the overall capacity of the Government institutions and Communes. In the Gourma, staff of Government services, elected Commune officials, members of intercommunes associations, municipal staff and members of the community at large will acquire skills in conservation planning, surveillance and management as well as technical skills such as fire management, wildlife protection and animal census. Organized when necessary, alphabetization will enable otherwise illiterate community members to better participate in the management of intervillage associations or present conservation proposals of their own. Because they are coupled with actions and demonstrations, conservation education

campaigns will improve the environmental awareness and behavior of the populations and elected officials.

Additional impacts on natural resources

Communal and intercommunal planning for the management of land resources and subsequent adoption of new user access rules and implementation of microprojects or microservices are expected to have positive impact on the ecosystem resources. Expected natural resource outcomes include improvement of rangeland quality (with long-term effects on livestock production and plant restoration), increased wildlife populations (with long-term effects on food security and tourism income), regeneration of woodland cover (with long-term effects on woodfuel security and access to potable water through aquifer replenishment), healthier wetlands (with long-term effects on surface water, supplemental bourgou forage, fishing potential and bird resting and nesting security).

Additional impacts on biodiversity conservation

Expected benefits for global biodiversity include (1) increasing the ecological security of Sahelian flora and fauna including the northernmost population of African elephants; (2) restoration and preservation of a representative area of the West Africa Sahelian ecosystem and habitats, which are exceptional on a national and global scale; (3) preservation of genetic diversity within ecologically, economically and culturally important species in natural populations within their historical ranges and (4) integration of sound ecological management practices of water resources, livestock and agriculture in the framework of communal land management and wildland conservation. It is expected that, over its initial 5 years, GEF support to the project will help secure natural habitat and wildlife in about 300,000 ha divided into 7 conservation areas, including several hundred ha of wetlands and inselbergs. The project also will reap global benefits linked to slowed desertification.

Incremental costs

The direct cost of the baseline scenario is calculated to be \$5.32 million. The GEF Alternative is estimated to cost \$12.62 million, resulting in an incremental cost of \$7.30 million. Therefore, the GEF is asked to fund \$5.50 million of the incremental cost while the FFEM is asked to finance \$1.80 million (Euro 1.56 million).

Comp- onent sector	Cost category	m US\$	Domestic benefit	Global benefit
<u>National dimens- ions</u>	Baseline: Govt: 0.14	0.14	Day to day continuation of DNCN's activities at national level. They may have positive impact on wildlife and ecosystem conservation locally.	None or marginal. <u>Note:</u> Other donors are supporting conservation efforts in Mali. These are not tallied but will have significant positive impact on biodiversity and on country's capacity to manage biodiversity.
	With GEF Alternative	0.65	Improvement of country capacity for conservation	Global benefits are reaped when (a) legal and institutional reform

	GEF: 0.51		<p>through an institutional reform, new regulations, provision of minor equipment and training of staff.</p> <p>International coordination and experience sharing, improves decisionmaking, with attendant conservation of more habitat and wildlife.</p>	<p>and (b) forester's vision, incentive and capacity lead to improvement of protected area management with global biodiversity value.</p> <p>Global benefits are also generated when the proposed mechanisms for sustainable results-based financing of conservation through Communes is implemented in other areas important for global biodiversity.</p>
	Incremental	0.51		
<u>Gourma</u>	<p>Baseline:</p> <p>Govt: 1.25 IDA: 1.01 AFD: 0.49 UNCDF: 2.00 Com: 0.40 ind. Com: 0.06 dir.</p>	5.18	<p>Municipalities benefit from having a participatory diagnostic, Commune Development Plan and some of their most pressing priorities financed.</p> <p>Commune councils have improved their capacity for democratic and efficient management of municipal affairs</p> <p>Conservation law enforcement in the reserve carried out with very low intensity on a low-budget basis with marginal impact on the Gourma resources.</p>	<p>Baseline programs are environmentally friendly. They are likely to have local positive impact on biodiversity.</p> <p>However, unless there is a strong public demand for biodiversity management, the negative trend is unlikely to be reversed.</p>
	<p>With GEF Alternative</p> <p>GEF: 4.99 FFEM: 1.80</p>	11.97	<p>Commune and Inter-Commune Development Plans include land use planning as well as natural resources and rangeland management.</p> <p>Implementation of such plans improves the sustainability of the production system and decreases the vulnerability of the population.</p> <p>Pastoralists have gained new technology for conflict resolution but also for rangeland and water resources</p>	<p>The Gourma management is approached at the ecosystem/landscape level for issues such as conservation and pastoralism.</p> <p>Biodiversity conservation becomes a more important dimension of the region's development.</p> <p>Several conservation areas are created by Communes in globally important sites (Séno Mango; In Adiatefene; N'Tillit; Gossi; Boni; Hombori).</p>

			management. DRCN units are better aware of the potential of community conservation and have the capacity to deliver services and law enforcement throughout the Gourma. Communes are organized, and their capacity for management of natural resources or biodiversity is created.	Communes have set up user rules and Management Plans for the management of globally important conservation areas. Initial implementation of new user rules and management plans has initiated habitat restoration, wildlife recovery and improved security for the elephant herd.
	Incremental	6.79		
TOTAL	<i>Baseline</i>	<i>5.32</i>		
	<i>With GEF Alternative</i>	<i>12.62</i>		
	<i>Incremental costs</i>	<i>7.30</i>		

Annex 5: Financial Summary
MALI: Gourma Biodiversity Conservation Project
Years Ending

	IMPLEMENTATION PERIOD						
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
Total Financing Required							
Project Costs							
Investment Costs	0.7	1.1	1.6	1.9	1.7	1.1	0.0
Recurrent Costs	0.1	0.2	0.2	0.2	0.2	0.2	0.0
Total Project Costs	0.8	1.3	1.8	2.1	1.9	1.3	0.0
Total Financing	0.8	1.3	1.8	2.1	1.9	1.3	0.0
Financing							
IBRD/IDA	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Government	0.2	0.2	0.3	0.4	0.4	0.2	0.0
Central	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Provincial	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Co-financiers FFEM	0.2	0.3	0.4	0.4	0.4	0.3	0.0
User Fees/Beneficiaries	0.0	0.0	0.0	1.0	0.0	0.0	0.0
Other	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GEF	0.5	0.8	1.1	1.3	1.1	0.8	0.0
Total Project Financing	0.9	1.3	1.8	3.1	1.9	1.3	0.0

Main assumptions:

Annex 6(A): Procurement Arrangements

MALI: Gourma Biodiversity Conservation Project

Procurement

The last Country Procurement Assessment Review (CPAR) of Mali was carried out in 1998. The Malian Procurement Code, revised in 1995, and in 1999 with IDA assistance, is generally sound. No special exemption, permit or license needs to be specified in credit documents, as Mali allows Bank procedures to take precedence over any contrary local regulations or practices. National Competitive Bidding (NCB) advertised locally will be carried out in accordance with procedures acceptable to IDA, which are: (a) any bidders are given sufficient time to submit bids (4 weeks for contracts exceeding US\$100,000 equivalent); (b) bid evaluation and bidder qualification are clearly specified; (c) no preference margin is granted to domestic contractors or manufacturers; (d) eligible foreign firms are not precluded from participation; (e) contracts provide for security in amounts sufficient to protect the Borrower in case of breach of contract (without distinction or exception); (f) prior to issuing the first call for bids, draft standard bidding documents if any, or the first 5 bidding documents for works and the first 3 bidding document for goods, are submitted to IDA and found acceptable; (g) no bid is rejected during bid opening provided the bids are received prior to the limit deposit time and (h) award will be made to the lowest evaluated bidder, (i) the procedure also include public opening of bids, publication of results of evaluation and of the award of contract and provisions for bidders to protest. Table A summarizes the project elements, their estimated costs and the proposed methods of procurement.

No special exceptions need to be specified in the Grant Agreement since, in all cases, IDA's guidelines take precedence over any contrary local regulations. However, since there are practices that are in conflict with the Bank's guidelines, the Grant Agreement should specify the conditions listed below that have to be met under NCB.

All GEF-financed contracts for works and goods or contracts financed by other donors, but for whom the Bank serves as administrator, will be procured in accordance with the World Bank guidelines on procurement of goods, works and services: "Guidelines for Procurement under IBRD Loans and IDA Credits, May 2004," hereafter called the Goods and Works Guidelines; and "Guidelines for the Selection and Employment of Consultants by World Bank Borrowers, May 2004," hereafter called the Consultant Guidelines. No International Competitive Bidding (ICB) procedure is planned.

The Bank's standard bid documents will be used for the procurement of all goods and works, except for local works or services implemented by community associations or committees. In the latter case, the Bank's standard documents have been simplified and are included in the Project Implementation Manual (PIM). For all consulting assignments, the Bank's standard Request for Proposal will be used to recruit consulting firms. Simplified contracts will be used for short-term, time-based or simple assignments not exceeding 6 months and carried out by individual consultants or firms. Project staff were briefed on the 2004 Guidelines during negotiation.

Goods, works and consulting and nonconsulting services to be financed under this Grant may not be supplied from nationals of the following countries: The Bahamas, Bahrain, Barbados, Brunei, Dar-es-Salaam, Cyprus, Oman, Qatar, Singapore and the United Arab Emirates. In all other respects, procurement eligibility will follow the current version of the guidelines.

Advertising

No ICB for goods or major consulting is expected. A General Procurement Notice (GPN) is mandatory and

normally is prepared before negotiations and issued in the "United Nations Development Business" (UNDB), as well as in the local newspapers to advertise for any ICB for goods and for major consulting assignments to obtain expressions of interest. The GPN also is normally issued in the national press for contracts to be let under NCB. If ICB is envisioned at a later stage, a detailed GPN for the subsequent years will be prepared for the project and published in UNDB. It will be updated annually for all outstanding procurement. Specific Procurement Notices (SPN) and Expressions of Interest (EOI) for large contracts for consultant services (above US\$100,000 equivalent) also will be advertised in "Development Business" and sufficient time will be allowed for responses to such specific notices (minimum 30 days) before preparing the short list.

Procurement implementation arrangements

Procurement of all goods, works and services will be the responsibility of the Project Management Unit (French acronym UGP). The project envelope is too small to justify 2 administrative staff. Procurement therefore will be handled by the financial manager familiar with the Bank's procurement procedures, who will receive training in procurement. The situation will be closely monitored during project implementation to ensure that sufficient safeguards are in place to (1) ensure transparency and efficiency, (2) ensure that filing and tracking are adequate and (3) aggregate procurement by procedure or monitor unit prices. Such a system will be put in place before project effectiveness.

Monitoring and filing

In preparation for the project, the UGP will set up monitoring and filing procedures. To achieve compliance, procurement planning and monitoring (procurement progress, unit costs) will become an integral part of the annual work program and reporting cycle. The annual work programs and progress reports will include the updated procurement plan, an overview of all procurement to date and by procurement method, and an evaluation of procurement problems encountered during the year under review.

Procurement capacity and procurement plan

Since the project staff has not yet been recruited, it was not possible to carry out an assessment of the UGP's procurement capacity before appraisal. This assessment will be done before Grant effectiveness and will verify whether the UGP will be able to handle the project's procurement workload. The assessment also will determine whether the UGP can agree on an action plan to correct any management deficiency in the implementation agency's capacity to administer procurement efficiently and transparently. As part of this action plan and as a condition of effectiveness, a financial manager qualified in procurement will be recruited. The assessment also will help review parameters for prior review limits and the frequency of procurement supervision. A computerized procurement system will be developed, and all project-related procurement documents will be kept accordingly.

The procurement plan for the first year is being reviewed by the Bank and will be finalized prior to negotiations. The plan is based on the initial needs of the project and the work programs submitted in January 2002. The exact mix of procurement will be determined on an annual basis during the annual joint reviews between the DNCN, AFD and the Bank, during which a draft procurement plan for the following financial year will be presented and agreed. During the first 12 months of project operations, the detailed procurement plans for the following years will be developed and submitted to the Bank for review and approval. These plans will include relevant information on works, goods, and consulting services under the project as well as the timing of each milestone in the procurement process. The procurement schedule will

be updated every quarter and reviewed by the Bank during each supervision mission. The procurement plan will be part of the PIM. Among other things, the UGP should solicit the participation of all stakeholders, set out the procurement plans, assess the local counterpart fund requirements, specify responsibilities for commitment and implementation and identify the risks that need to be controlled.

Manuals

A PIM has been prepared and reviewed during preparation and appraisal. It consists of a main manual with references to other manuals for specific procedures (e.g., Administrative and Financial Procedures, Monitoring and Evaluation). The manuals clearly detail (1) eligibility criteria; (2) procedures for calling for bids, selection of contractors, service providers and vendors and contract award; (3) supervision procedures; (4) financial management and disbursement procedures and (5) procedures for receiving and handing over completed works.

Assurances sought at negotiations

The following assurances will be sought during negotiations: (1) use of the standard bidding documents and standard evaluation reports approved by the Bank; (2) application of the procurement procedures as outlined above and detailed in the PIM; (3) adherence to a target processing schedule as outlined in the table below; (4) annual review of the procurement plan and procurement arrangements as part of the annual reports; (5) quarterly updates of the procurement plan and submission to the Bank and (6) procurement information, which will be collected as follows: (a) prompt recording of contract information by the Borrower and (b) annual and semiannual progress reports to the Bank by the Borrower showing revised cost estimates for individual contracts and the program as a whole, updated procurement timetable, compliance with aggregate limits on specified methods of procurement, and review of procurement issues during the preceding year with proposals on how to address these. In addition, at negotiations, the Government will give assurances that the action plan developed by the Bank to correct any deficiency in the implementing agency's capacity to administer procurement in an efficient and transparent manner will be implemented according to the timetable indicated in the action plan.

Procurement phase	Time delay (in weeks)
Preparation of bidding documents	4 (6 weeks for large contracts)
Preparation of bids by bidders	4 (6-10 for ICB)
Bid evaluation	2 (3 for large contracts)
Signature of contracts	2
Payment	3

Procurement methods (Table A)

The project elements by disbursement category and procurement methods are summarized in Table A below. Consultant selection methods and thresholds for procurement methods are summarized in Table B

below.

Civil works (US\$1.16 million)

Civil works are project-financed works related to the construction of small infrastructure in conservation areas (water holes, tracks, watch tower, dirt roads, fence) and to the rehabilitation of Government-owned buildings that will be made available to the project. The cost for approximately one-half of the contracts is expected to be less than US\$30,000 each and for the other half is expected to exceed US\$30,000.

It is very unlikely that any contract for civil works will exceed US\$200,000. In the event this should occur, the contract will be subject to ICB procedures. Works exceeding US\$30,000 and less than US\$200,000 will be procured in accordance with NCB procedures. About half of the work concerns small infrastructure costing less than US\$30,000 each, which will be procured under lump-sum, fixed-price contracts awarded on the basis of quotations obtained from at least 3 qualified domestic contractors on the basis of specifications prepared by the UGP, CMO, OGAP or subprojects beneficiaries. They will use a list of qualified construction companies and engineers with agreed rates that can be accessed by project beneficiaries. This list will be updated at least once a year. Works with high labor and low technical input, such as maintenance of tracks and fire breaks, costing less than \$10,000 will be sole sourced to community members, informal groups, village enterprises or local associations.

Goods (US\$1.00 million)

It is very unlikely that any contract for goods will exceed US\$150,000. In the event this should occur, the contract will be subject to ICB procedures. The Grant will finance the procurement of vehicles, motorcycles, office equipment (including computers) and field equipment. To the extent practicable, goods will be lumped into lots. Goods that are expected to cost no less than US\$30,000 per contract and are available locally can be procured using NCB procedures. Procurement for readily available off-the-shelf goods and/or standard commodities that cannot be grouped in lots of sufficient size, and not exceeding US\$30,000 per contract, will be procured through prudent local shopping, on the basis of a comparison of quotations from at least 3 reputable suppliers. In the event that these goods are not available in the country, international shopping procedures will be followed. Ninety percent of the vehicles, motorcycles and computer equipment will be procured from UN agencies (UNIPAC or IAPSO).

Community-based procurement

The Africa Guidelines for Simplified Procurement and Disbursement for Community-Based Investments (February 1998) will be used in the design of procurement under this aspect of the project; nevertheless, cognizance of local practices and the capacity of communities to manage the process will be important considerations. The CMO will be responsible for ensuring compliance with these guidelines, and ex-post reviews of random subprojects will be conducted periodically by the Bank and independent consultants appointed by the UGP. Simplified procurement and disbursement procedures for community-based programs, including the positive list of items qualifying under this component are included in the PIM.

Table A: Project Costs by Procurement Arrangements
(US\$ million equivalent)

Expenditure Category	Procurement Method ¹				Total Cost
	ICB	NCB	Other ²	N.B.F.	
1. Works	0.00	0.43	0.73	0.00	1.16

	(0.00)	(0.28)	(0.48)	(0.00)	(0.76)
2. Goods	0.00 (0.00)	0.16 (0.09)	0.84 (0.73)	0.00 (0.00)	1.00 (0.82)
3. Services	0.00 (0.00)	0.00 (0.00)	3.65 (1.93)	0.18 (0.00)	3.83 (1.93)
4. Training & workshops	0.00 (0.00)	0.00 (0.00)	0.79 (0.55)	0.00 (0.00)	0.79 (0.55)
5. Microprojects	0.00 (0.00)	0.00 (0.00)	1.24 (0.86)	0.00 (0.00)	1.24 (0.86)
6. Operating costs	0.00 (0.00)	0.43 (0.24)	0.62 (0.34)	0.00 (0.00)	1.05 (0.58)
Total	0.00 (0.00)	1.02 (0.61)	7.87 (4.89)	0.18 (0.00)	9.07 (5.50)

^{1/} Figures in parentheses are the amounts to be financed by the Bank Grant. All costs include contingencies.

^{2/} Includes civil works and goods to be procured through national shopping, consulting services, services of contracted staff of the project management office, training, technical assistance services and incremental operating costs related to (a) managing the project and (b) relending project funds to local government units.

Consultant services, training and audits (US\$4.60 million)

Consulting services financed by the GEF will be for (1) technical assistance; studies, architectural design, civil works supervision, preparation of bidding documents, financial management support and financial and technical audits; and (2) technical matters (environmental impact, technical assistance to communities) and training (skills gap analysis, skills development and training of staff and local communities).

Quality and Cost-Based Selection

Consultant services will normally be procured through the selection of shortlisted firms on the basis of Quality and Cost-Based Selection (QCBS), except as noted below. All consultant assignments estimated to cost the equivalent of US\$100,000 or more will seek an EOI through an advertisement in at least 1 national newspaper with wide circulation. In addition, all such consulting assignments will be listed in the annual GPN.

The following other methods also will apply:

Selection under a Fixed Budget (SFB)

The service of the CMO is well identified but fundamental to the project success. For this contract only, the SFB method will be used. The firm with the best technical proposal that also receives at least the minimum qualifying score, will be selected if its financial offer is less than the allocated budget.

Least-cost selection (LCS)

For audits and other services of a standard nature estimated to cost less than US\$100,000, the LCS method will be used. The firm with the lowest price will be selected, provided its technical proposal receives at least the minimum qualifying score.

Consultant's qualifications (CQ)

Consulting services for architectural design and training, estimated to cost less than US\$50,000 per contract will be based on the consultant's qualifications (CQ), i.e., based on work experience and competence relevant to the assignment.

Single-source selection (SSS)

SSS will be used for (1) the FFEM-financed contract with the Institute of Rural Economy (IER), which is already mandated to manage the Gourma Environmental Observatory; (2) the NGO, IUCN, which is positioned internationally for assistance to transfrontier coordination and activities (results-based, 3-year contract renewable for 3 years, to include staff and consultant salaries, travel, subsistence and operational and maintenance costs related to the service).

Individual consultants

Services for tasks such as project staffing and the organization of training or seminars and small studies--which generally are low cost (usually less than US\$20,000), can be delivered by individuals and do not need teamwork or back-up support services--will be selected through comparison of qualifications among individual consultants expressing interest in the assignment or approached directly. These services

shall be procured under contracts awarded to individual consultants.

Shortlists of consultants for contracts estimated to cost less than US\$100,000 may be comprised entirely of national consultants, provided at least 3 qualified firms are locally available at competitive costs. However, if foreign firms have expressed an interest in those contracts, they will not be excluded from consideration.

The training program is geared toward strengthening the managerial and technical capacities of the UGP, DNCN, DRCN, SCN, CMO as well as local communities and communes & their partners. The project's training program will be reviewed annually and will be subject to the Bank's prior review and approval, as will all participation in workshops and seminars.

To establish a roster of consultants to carry out studies, provide technical assistance to communities, prepare bidding documents and supervise construction, each year the UGP will publicize procurement notices in the local press to get expressions of interest from consultants. Based on the criteria detailed in the PIM, the UGP will maintain and update the roster of consultants, which will be used to establish shortlists or select firms with the required qualifications.

Table A1: Consultant Selection Arrangements (optional)
(US\$ million equivalent)

Consultant Services Expenditure Category	Selection Method							Total Cost ¹
	QCBS	QBS	SFB	LCS	CQ	Other	N.B.F.	
A. Firms	1.36 (0.64)	0.00 (0.00)	1.82 (0.91)	0.10 (0.08)	0.50 (0.40)	0.21 (0.07)	0.10 (0.00)	4.09 (2.10)
B. Individuals	0.00 (0.00)	0.00 (0.00)	0.00 (0.00)	0.00 (0.00)	0.00 (0.00)	0.45 (0.38)	0.08 (0.00)	0.53 (0.38)
Total	1.36 (0.64)	0.00 (0.00)	1.82 (0.91)	0.10 (0.08)	0.50 (0.40)	0.66 (0.45)	0.18 (0.00)	4.62 (2.48)

^{1/} Including contingencies

Note: QCBS = Quality- and Cost-Based Selection

QBS = Quality-based Selection

SFB = Selection under a Fixed Budget

LCS = Least-Cost Selection

CQ = Selection Based on Consultants' Qualifications

Other = Selection of individual consultants (per Section V of Consultants Guidelines), Commercial Practices

N.B.F. = Not Bank-financed

Figures in parentheses are the amounts to be financed by the Bank Grant.

Prior review thresholds (Table B)

Prior review

All goods contracts estimated to cost US\$150,000 or more and all works contracts estimated to cost US\$200,000 or more will be subject to the Bank's prior review procedures. Prior Bank review also will be required for contracts for consulting services valued at US\$50,000 or more for firms and US\$25,000 or more for individuals. In these cases, the draft Request for Proposals and the shortlist of consultants must be cleared with the Bank prior to inviting proposals from the shortlisted consultants. With respect to each contract for the employment of individual consultants estimated to cost the equivalent of US\$25,000 or more, the qualifications, experience, terms of reference and terms of employment of the consultants shall be furnished to the Association for its prior review and approval. The terms of reference for consulting assignments and training, single-source recruitment, and assignments of a critical nature as determined by the Bank, as well as amendments to contracts raising them above the above-mentioned prior review thresholds, will be subject to the Bank prior review regardless of contract amount. All the procedures in appendix 1 of the Consultant Guidelines will apply.

Modification or waiver of the scope and conditions of contracts

Before agreeing to any material extension, or any modification or waiver of the conditions of contracts that will increase the aggregate cost by more than 15% of the original price, the UGP or CMO need to specify the reasons thereof and seek the Bank's prior no-objection for the proposed modification.

Post review

All contracts not subject to the thresholds listed in the preceding paragraph will be subject to a post review. Once a year, a procurement specialist or procurement-accredited staff will accompany a supervision mission and conduct an ex-post review of a sample of contracts not subject to prior review. All documents related to procurement below the prior review threshold will be maintained by the Borrower for such an ex-post review and for a review by project auditors for up to 1 year after project completion. The project will hire engineers to perform technical audits of a random sample of subprojects. The technical audit will focus on quality of execution and adequacy of procurement procedures followed. The results of the technical audit will be included in the annual reports.

Table B: Thresholds for Procurement Methods and Prior Review¹

Expenditure Category	Contract Value Threshold (US\$ thousands)	Procurement Method	Contracts Subject to Prior Review (US\$ millions)
1. Works	US\$250,000 & above	ICB	0.00
	US\$30,000-250,000	NCB	0.43
	Less than US\$30,000	Comparison of quotes from 3 established local contractors	0.53
2. Goods	US\$150,000+	ICB	0.00
	US\$30,000-150,000	NCB	0.15
	Less than US\$30,000	Other (local shopping)	0.20
	NA	UN agency	0.64
3. Services	US\$100,000 & above	SFB (international advertized/shortlist)	1.82

		QCBS (international advertised/shortlist)	0.00
	US\$50,000-100,000	QCBS (international / national shortlist)	1.36
	Less than US\$50,000	CQ/LCS	0.60
		SSS (for IER & IUCN)	0.21
	US\$50,000+	Comparison of 3 CVs	0.48
4. Incremental operating costs	US\$100,000 or below	NCB, direct contracting, local shopping	1.05
5. Community work	Less than US\$10,000	Small works with sole source to communities	0.20
6. Micro-projects	US\$100,000 or below	Community-based procurement	1.21

Total value of contracts subject to prior review: 3.80

Overall Procurement Risk Assessment: Average

Frequency of procurement supervision missions proposed: One every 12 months
(includes special procurement supervision for post-review/audits)

¹⁾ Thresholds generally differ by country and project. Consult "Assessment of Agency's Capacity to Implement Procurement" and contact the Regional Procurement Adviser for guidance.

Annex 6(B): Financial Management and Disbursement Arrangements

MALI: Gourma Biodiversity Conservation Project

Financial Management

1. Summary of the Financial Management Assessment

Accounting

The Project Management Unit (French acronym UGP) will set up a financial management system. Finalization of the administrative manual is a condition of effectiveness. The UGP will maintain project accounts in accordance with International Accounting Standards (IAS) to reflect their operations and financial positions and will have all accounts audited in accordance with the IAS by an external and independent audit firm with terms of reference acceptable to the Bank. An audit firm will be recruited as a condition of effectiveness. The contract can be renewed up to a maximum of 3 years provided performance of the auditor is adjudged satisfactory. Assurances will be sought at negotiations that the auditor's report, including the Management Letter and a statement as to whether or not Bank funds have been used for their intended purpose, will be submitted to the Bank no later than June 30 of each year. In addition, the function of internal auditor will be reinforced; an independent accounting firm will be retained for this purpose. Renewal of the contract with the internal auditor will be contingent on the conclusions and recommendations of the external auditors.

No later than September 30 of each year, the UGP will submit to the Steering Committee, with a copy to the Bank, the proposed Annual Work Programs and Financial Report. The report format will detail activities, associated unit costs and an implementation timetable. It also will include monitorable progress indicators for each proposed activity.

In addition, the UGP will produce quarterly Financial Management Reports (FMRs) showing budgeted and actual expenditures, source of funds used, statements of progress achieved on the basis of the agreed indicators and the (revised) objectives and financial reports for the upcoming 6 months.

Assurances sought at negotiations

The following assurances will be sought during negotiations: (a) the standard clauses related to appropriate financial management (keeping separate accounts by source of funds, maintaining information, implementing biannual audits) and (b) a detailed statement on the use of funds at the village level, with an action plan to combat fraud.

Monitoring and reporting

The World Bank has introduced Financial Management Reporting for World Bank Group-financed projects. This initiative assists projects to put in place sound financial management, procurement and output monitoring systems. When these systems are in place, the borrower may elect FMR-based disbursements rather than disbursements based on individual invoices or statements of expenditure.

Significant progress on the establishment of the program financial management system (Administrative, Accounting and Financial Manual of Procedures, recruitment of key accounting staff, initial training, system test) is required prior to Grant effectiveness. The action plan below discloses the actions running to June 2005 and the dates that they are due to be completed by the parties mentioned below:

	Action	Date	Responsible
--	--------	------	-------------

	Intermediary phases		
1	- Firm design the Manual of administrative, accounting & financial management describing the systems & accounting procedures, internal control, fund movements - Donors comments the first draft - Second draft Manual is prepared	Done Done Done	Project Donors Project
2	- Agreement on TORs of external auditors; - Agreement on TORs of design & installation of a computerized financial management system (PFMS) on the basis of the approved procedure manual	Done Done	Project/Donors Project/Donors
3	Le FMS de la Banque entreprend une évaluation provisoire du cadre de gestion financière et fait des recommandations pour l'observation de l'OP/BP 10.02	Done	FMS WB
4	Recruitment of external auditors: - Finalisation of AO; - Donors agreement ; - Publication AO ; - Selection of auditor ; - Non-objection of donors ; - Signature of contract.	Done Done 05/2004 06/2004 06/2004 07/2004	Project Donors Projec Project Donors Project
5	Recruitment of a firm for conception & installation of a computerized financial management system : - Finalisation of AO; - Donors agreement ; - Publication AO ; - Selection of auditor ; - Non-objection of donors ; - Signature of contract.	Done Done Done 08/2004 09/2004 10/2004	Project Donors Project Project Donors Project
6	Recruitment of UGP staff including the project head & person responsible for financial & administration management & the accountant - Donors agreement on TORs - Selection of UGP key staff - Donors agreement on UGP staff - Signature of contract	Done Done Done 06/2004	Donors Project Donors Project
7	Opening Bank accounts (CS, CP) & deposit counterpart in CP	09/2004	Project
8	Effectiveness	10/2004	Donors/Project
9	Installation of the computerized system of financial management (operationalisation of the manual) - Finalisation of accounting system ; - Parametrage of the software & agreement on financial reports format ; - Test of financial management system & production of initial financial report ; - Train project staff ; - Continue test over one semester & produce monthly reports.	07/2004 to 12/2005	Project/Consulting firm
10	Auditors analyse the financial management system to ensure quality & accountability.	09/2004	Project/cabinet auditeur
11	Implementation of auditors recommendations	10/2004	Project
12	WB FMS appraise the financial management system	10/2004	FMS Banque
	Final Phase		
13	Financial Report	12/2005	Project

2. Audit Arrangements

To ensure proper accountability of funds managed by beneficiaries, sample technical and financial audits will be carried out. These audits will focus on the technical execution of the works (technical quality and progress), whether systems are in place to ensure appropriate maintenance, and that basic information is available to track the use of the funds (receipts, contracts, comparison of prices/bids). Where funds are inappropriately used, the project will cease supporting activities until all funds have been accounted for. When fraud is suspected, local authorities will be notified.

3. Disbursement Arrangements

The amounts to be financed through the GEF Grant are detailed in Table C below. Disbursement percentages will apply to invoices for local expenditures, including all taxes. The GEF Grant will be disbursed over 6 years (January 1 2005-December 31, 2010.)

Allocation of grant proceeds (Table C)

Table C: Allocation of Grant Proceeds

Expenditure Category	Amount in US\$million	Financing Percentage
Goods (equipment & vehicles)	0.80	100% of foreign expenditures & 65% of local expenditures
Works	0.70	65%
Consultant services and audits	1.90	100% of foreign expenditures & 80% of local expenditures
Training & workshops	0.50	100%
Subprojects (local biodiversity initiatives)	0.80	100% of amount disbursed
Operating costs	0.50	65%
Non allocated	0.30	
Total Project Costs with Bank Financing	5.50	
Total	5.50	

Use of statements of expenditures (SOEs):

Statement of Expenditures (SOEs)

Disbursements for all expenditures should be made against full documentation, except for (1) consulting firms under contracts in an amount equivalent or inferior to US\$100,000; (2) goods and works under contracts in an amount equivalent or inferior to **US\$100,000**; individual consultants in an amount equivalent or inferior to **US\$50,000** (4) as well as training, studies and operating costs. All supporting documentation for SOEs will be retained at the UGP and readily accessible for review by periodic Bank supervision missions and external auditors.

Special account:

Special Accounts

To facilitate project implementation and reduce the volume of withdrawal applications, the Government will open a Special Account (SA) in FCFA in a commercial bank on terms and conditions acceptable to the Bank for GEF's share of eligible expenditures. The authorized allocation will be FCFA 300,000,000, representing approximately 4 months of eligible expenditures. Upon effectiveness, GEF will deposit FCFA 150,000,000, representing 50 % of the authorized allocation, in the SA. The balance will be made available, when the aggregate withdrawals from the credit account **plus the total amount of all outstanding special commitments entered into by the Association** shall be equal to or exceed **the equivalent of US\$2 million**. The SA will be used for all payments inferior to 20% of the deposited amount, and replenishment applications will be submitted at least once a month. **Additional deposits by IDA into the SA will be made against withdrawal applications supported by appropriate documents. The Special Account will be audited annually by external auditors acceptable to IDA, as part of the overall project audit.**

To facilitate operation in the Gourma, the CMO will open a 90-day advance account in a commercial Bank in Mopti. This account will be provisioned by the SA on a monthly basis according to a three-month rolling budget. It will be mainly used by the CMO to finance operating expenditures in the Gourma, small work and local biodiversity initiatives.

Counterpart funds, project account

The CMO will open a project account in a financial institution in which the Government's counterpart contribution will be deposited. The initial deposit will be in the amount of FCFA 85 million, which is equivalent to 6 months of expenditures. Replenishments will be made semiannually on the basis of forecasts included in the annual work programs and semiannual progress reports. The establishment of this account and the first deposit into it will be a condition of effectiveness.

Annex 7: Project Processing Schedule
MALI: Gourma Biodiversity Conservation Project

Project Schedule	Planned	Actual
Time taken to prepare the project (months)	24	60
First Bank mission (identification)	10/01/1997	10/01/1997
Appraisal mission departure	05/01/2002	10/21/2002
Negotiations	06/01/2002	
Planned Date of Effectiveness	06/01/2003	

Prepared by:

Hamid Ag Mohamed Lamine, Coordinator of Preparation; Namory Traoré (ecologist); Nomba Ganamé (sociologist)

Tel. Coordination Unit at PGRN (223) 24 36 03 (Note: This unit has been dismantled)

Preparation assistance:

GEF PDF B \$175,000; DANISH CTF \$25,000;

Bank staff who worked on the project included:

Name	Speciality
Jean-Michel Pavy	Biodiversity Specialist, TTL
Agadiou Dama	Agriculture Services
Emmanuel Nikiema	Natural Ressources
Noel Chabeuf	Livestock
Luc Lecuit	Information Management
Sydney Mons	Community-based Development
Francois Le Gall	Livestock
Suzanne Piriou-Sall	Decentralization
Cheick Traore	Procurement
Nestor Coffi	Financial Management
Hans-Werner Wabnitz	Country Lawyer
Daniel Moreau	Agriculture Research
Renee Desclaux	Disbursement
Lucie Poirier	Procurement
Caroline Guazzo	Language Program Assistant
Virginie Vasselopoulos	Language Program Assistant

Annex 8: Documents in the Project File*
MALI: Gourma Biodiversity Conservation Project

A. Project Implementation Plan

- Manuel d'Execution du Projet, version finale Avril 2004
- Manuel des Procédure administratives et financières, version finale Avril 2004
- Etude d'Impact Environnementale et Sociale, 3 Volumes, August 2002
- Document de Projet, August 2001, (original document submitted for pre-appraisal)
-

B. Bank Staff Assessments

- Aide memoire, post appraisal mission, January 2004
- Aide memoire appraisal mission, November 2002
- Aide memoire pre-appraisal mission, November 2001
- Project Concept Document & Minutes of PCD Review meeting, September 2001
- Aide memoire identification, October 1997

C. Other

- Project Brief to GEF, November 2002
- Report presenting the project to the French GEF, January 2004 (in French)

*Including electronic files

Annex 9: Statement of Loans and Credits
MALI: Gourma Biodiversity Conservation Project
29-Apr-2004

Project ID	FY	Purpose	Original Amount in US\$ Millions		Cancel.	Undisb.	Difference between expected and actual disbursements ^a	
			IBRD	IDA			Orig	Frm Rev'd
P073036	2004	ML Household Energy & Universal Access	0.00	35.65	0.00	37.23	0.00	0.00
P079351	2004	ML TRANSPORT CORRIDORS IMPROVEMENT	0.00	32.80	0.00	48.08	0.00	0.00
P035630	2002	Mali:AGRICULTURAL & PRODUCER ORGANIZ	0.00	43.50	0.00	35.80	18.09	0.00
P040650	2001	Educ. Sect. Exp. Program	0.00	45.00	0.00	27.30	19.65	0.00
P041723	2000	ML:RURAL INFRASTRUCTURE	0.00	115.10	0.00	80.34	52.87	0.00
P001748	2000	FINANCE SECTOR DEVEL	0.00	21.00	0.00	17.27	11.99	0.00
P040652	1999	Health Sector Dev. Prog.	0.00	40.00	0.00	19.48	19.73	3.57
P046651	1997	ML REGIONAL POWER	0.00	17.10	0.00	1.57	1.62	1.74
P001750	1997	URBAN DEVT & DECENTR	0.00	80.00	0.00	22.60	27.22	12.52
P001730	1994	MALI TRANSPORT SECTOR	0.00	65.00	0.00	4.34	6.25	2.42
Total:			0.00	495.15	0.00	294.01	157.41	20.24

MALI
STATEMENT OF IFC's
Held and Disbursed Portfolio
Mar - 2004
In Millions US Dollars

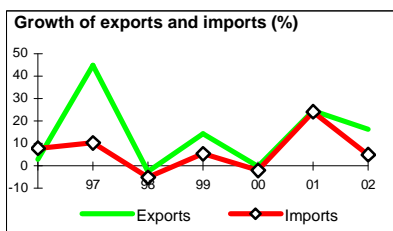
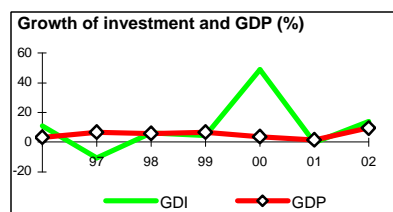
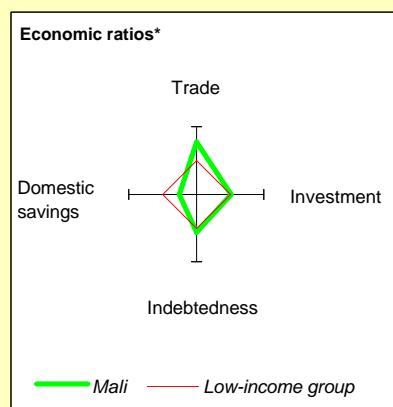
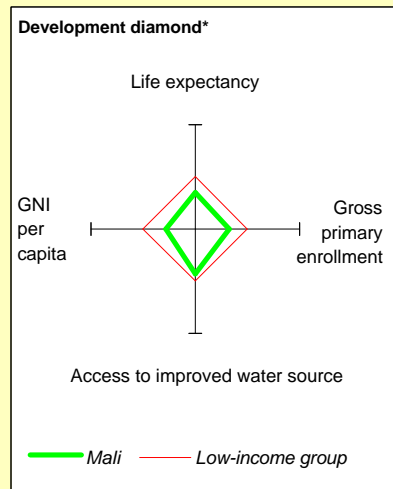
FY Approval	Company	Committed				Disbursed			
		IFC				IFC			
		Loan	Equity	Quasi	Partic	Loan	Equity	Quasi	Partic
1996	AEF GGG	0.74	0.00	0.00	0.00	0.74	0.00	0.00	0.00
1997/03	Hotel Bamako	1.85	0.00	0.00	0.00	1.85	0.00	0.00	0.00
1997	PAL-Graphique Id	0.57	0.00	0.00	0.00	0.57	0.00	0.00	0.00
1999	PAL-Rabelais	0.17	0.00	0.00	0.00	0.17	0.00	0.00	0.00
1998	PAL-SANKE	0.38	0.00	0.00	0.00	0.38	0.00	0.00	0.00
1995	SEF 3T	0.18	0.00	0.00	0.00	0.18	0.00	0.00	0.00
	SEF Imprim Color	0.19	0.00	0.00	0.00	0.19	0.00	0.00	0.00
	SEF SIECO	0.28	0.00	0.00	0.00	0.28	0.00	0.00	0.00
	SEMOS	0.00	4.80	0.00	0.00	0.00	4.80	0.00	0.00
	Total Portfolio:	4.36	4.80	0.00	0.00	4.36	4.80	0.00	0.00

FY Approval	Company	Approvals Pending Commitment			
		Loan	Equity	Quasi	Partic
	Total Pending Commitment:	0.00	0.00	0.00	0.00

Annex 10: Country at a Glance

MALI: Gourma Biodiversity Conservation Project

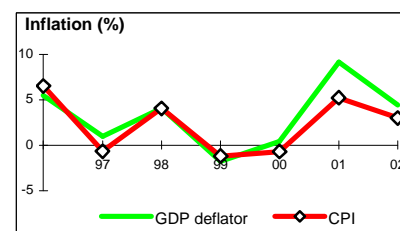
POVERTY and SOCIAL		Mali	Sub-Saharan Africa	Low-income
2002				
Population, mid-year (millions)		11.3	688	2,495
GNI per capita (Atlas method, US\$)		240	450	430
GNI (Atlas method, US\$ billions)		2.7	306	1,072
Average annual growth, 1996-02				
Population (%)		2.4	2.4	1.9
Labor force (%)		2.3	2.5	2.3
Most recent estimate (latest year available, 1996-02)				
Poverty (% of population below national poverty line)	
Urban population (% of total population)		32	33	30
Life expectancy at birth (years)		41	46	59
Infant mortality (per 1,000 live births)		135	105	81
Child malnutrition (% of children under 5)		27
Access to an improved water source (% of population)		65	58	76
Illiteracy (% of population age 15+)		73	37	37
Gross primary enrollment (% of school-age population)		61	86	95
Male		71	92	103
Female		51	80	87
KEY ECONOMIC RATIOS and LONG-TERM TRENDS				
	1982	1992	2001	2002
GDP (US\$ billions)	1.3	2.8	2.6	3.2
Gross domestic investment/GDP	16.3	21.9	21.1	21.3
Exports of goods and services/GDP	14.3	15.4	31.5	..
Gross domestic savings/GDP	0.8	4.4	10.3	..
Gross national savings/GDP	0.3	14.3	9.5	..
Current account balance/GDP	-8.7	-8.4
Interest payments/GDP	0.4	0.6	0.6	0.7
Total debt/GDP	65.9	101.9	110.0	88.6
Total debt service/exports	8.5	10.0	9.4	10.1
Present value of debt/GDP	53.2	..
Present value of debt/exports	164.4	..
	1982-92	1992-02	2001	2002
(average annual growth)				
GDP	2.1	4.6	1.5	9.6
GDP per capita	-0.5	2.1	-0.8	7.1
	1982	1992	2001	2002
(% of GDP)				
Agriculture	44.1	46.1	37.8	..
Industry	13.7	15.8	26.4	..
Manufacturing	6.4	7.5	3.6	..
Services	42.2	38.0	35.9	..
Private consumption	88.1	82.3	76.7	..
General government consumption	11.1	13.2	13.0	..
Imports of goods and services	29.8	32.8	42.3	..
	1982-92	1992-02	2001	2002
(average annual growth)				
Agriculture	5.7	3.2	-13.0	19.5
Industry	4.3	8.3	31.0	..
Manufacturing	7.0	2.4	-1.5	..
Services	1.3	3.5	1.2	..
Private consumption	1.5	2.9	2.8	..
General government consumption	6.3	6.4	-8.5	..
Gross domestic investment	5.9	4.9	-0.4	13.9
Imports of goods and services	6.0	3.9	24.0	5.0



* The diamonds show four key indicators in the country (in bold) compared with its income-group average. If data are missing, the diamond will be incomplete.

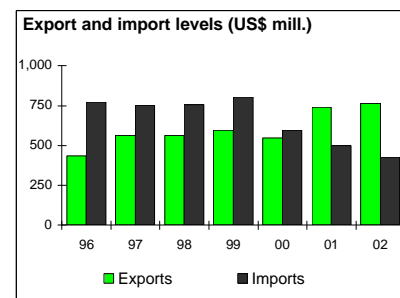
PRICES and GOVERNMENT FINANCE

	1982	1992	2001	2002
Domestic prices				
(% change)				
Consumer prices	..	-6.3	5.2	3.0
Implicit GDP deflator	12.7	2.0	9.1	4.4
Government finance				
(% of GDP, includes current grants)				
Current revenue	75.9	16.3	18.0	18.6
Current budget balance	24.9	4.9	5.4	6.2
Overall surplus/deficit	-29.0	-8.0	-9.6	-8.1



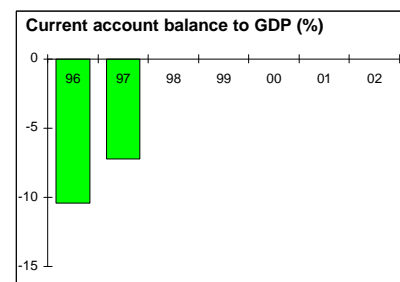
TRADE

	1982	1992	2001	2002
(US\$ millions)				
Total exports (fob)	645	362	739	766
Cotton	282	151	111	203
Gold	267	60	498	429
Manufactures
Total imports (cif)	903	719	498	429
Food	118	97	118	..
Fuel and energy	116	84	147	..
Capital goods	253	201	280	..
Export price index (1995=100)	73	93	77	76
Import price index (1995=100)	86	97	102	104
Terms of trade (1995=100)	85	97	75	73



BALANCE of PAYMENTS

	1982	1992	2001	2002
(US\$ millions)				
Exports of goods and services	190	440	829	858
Imports of goods and services	395	937	1,100	1,156
Resource balance	-205	-497	-271	-298
Net income	-12	-7	-133	-122
Net current transfers	20	288	112	86
Current account balance	-115	-241
Financing items (net)	117	329
Changes in net reserves	-2	-89	-28	-53

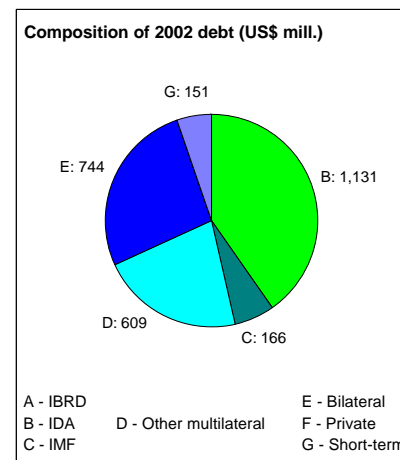


Memo:

Reserves including gold (US\$ millions)	25	315	377	419
Conversion rate (DEC, local/US\$)	328.6	265.3	728.0	697.0

EXTERNAL DEBT and RESOURCE FLOWS

	1982	1992	2001	2002
(US\$ millions)				
Total debt outstanding and disbursed	875	2,899	2,911	2,801
IBRD	0	0	0	0
IDA	154	611	981	1,131
Total debt service	20	59	80	89
IBRD	0	0	0	0
IDA	2	7	13	10
Composition of net resource flows				
Official grants	79	203	191	..
Official creditors	111	133	67	95
Private creditors	4	-3	0	0
Foreign direct investment	2	-22	103	..
Portfolio equity	0	0	0	..
World Bank program				
Commitments	52	46	140	0
Disbursements	14	62	71	89
Principal repayments	0	3	6	4
Net flows	14	59	65	85
Interest payments	1	4	7	7
Net transfers	13	54	58	78



Note: This table was produced from the Development Economics central database.

8/20/03

Additional GEF Annex 3 STAP Roster Technical Review

MALI: Gourma Biodiversity Conservation Project

Reviewer: Dr Philippe Chardonnet, DVM, Wildlife Manager

Date: August 15, 2001

Terms of reference/Biodiversity

This independent review has been commissioned by the World Bank (contact: Jean-Michel Pavy). The standard terms of reference for Independent Technical Review of GEF Investment Projects have been followed.

Key issues

Scientific and technical soundness of the project

The Project Concept Document reviewed demonstrates a good scientific knowledge of the region's arid rangelands' biodiversity and a fair understanding of the conservation problems to which Sahelian rangelands have been confronted in recent decades. The historical root causes of this biodiversity degradation are due to overgrazing by increasing livestock numbers, changing grazing patterns caused by severe recurrent droughts and overuse of the wildlife resource.

The project's approach demonstrates not only a sufficient awareness of the scientific situation as to the biodiversity issues addressed but also an adequate understanding of the underlying socioeconomic environment. As a result, the technical solutions proposed appear to be feasible and to have a good chance of reaching the desired long-term rehabilitation and conservation objectives. The project takes advantage of a situation that is favorable to set up new conservation initiatives: during the last decade, the country has put in place an extensive and modernized legal baseline for decentralization and natural resources management.

It is rewarding to see that the new concepts of communal and intercommunal participation in decisionmaking and profit sharing and local incentives fully integrated in the project. It is suggested to verify that the existing noninstitutional but traditional decisionmakers, such as village headmen and elders, local chiefs, sorcerers and traditional hunters societies, be fully associated with the project, together with the institutional, i.e., communal and intercommunal, administrative structures. One important point is that, at this stage, in pastoral areas, the customary rules have to reckon with traditional rulers who often live outside and sometimes far away from a given project site.

Nowadays, zoning the whole region in different entities of fully protected, partly protected and unprotected areas is an academic concept. Establishing a new generation of protected areas grounded on (1) secured traditional rights and land tenure and (2) partnership of all relevant stakeholders is already under experimentation in a number of countries in the region (*Unités de Conservation* in Burkina Faso, Communal Conservancies in Namibia, Commercial Conservancies in Zimbabwe, *Zones de Chasse villageoise* in CAR). The interesting innovation of the project lies in setting up a network of several conservation areas based on intercommunal management schemes, a network that is particularly relevant in such areas dealing with highly mobile and sometimes unpredictable (1) stakeholders (transhumant pastoralists) and (2) natural resources (migratory birds, nomadic elephants,

erratic water, vegetation under fire hazard).

At first glance, establishing more and more, bigger and bigger protected areas may appear as an abrupt solution for conserving biodiversity, in line with a drastic philosophy of “sanctuarization” of the world, partitioning off nature from human beings. However, the traditional and customary nature of the status planned for these protected areas makes them more than acceptable. The selection process of the areas to be conserved is critical and should make use of social, political, economic and biological criteria. The PCD is right in planning to conduct this process during the course of the project and, to guarantee the benefits of a participatory approach, in no case should the conservation areas be defined before the project starts. These conservation areas will need to be properly gazetted, which may imply creating a new category of protected areas under the 1995 Law on Management of Wildlife and Its Habitats.

It is also rewarding to see the awareness of communication and collaboration with other funding agencies appreciated from the start, as a necessity and as an optimal way to leverage the project for a wider impact and to save costs. Taking account of the neighboring projects in the Gourma gives the geographical coverage needed to follow seasonal movements of people, livestock and wildlife in the whole region.

The indicators proposed sound realistic and should prove to be adequate. As a start, the whole device of indicators needs to be properly zeroed: while avoiding a prolonged and expensive phase of preliminary studies, baseline surveys must be carried out to review the situation, including food security, wildlife depletion and traditional rules for accessing the resources. In addition, the way these indicators are monitored is not trivial. While nothing can replace aerial surveys, the participation of local persons in simple ground methods allows them not only to become aware of how the project is implemented but also to realize on their own how the situation evolves. The use of bicycles, camels and horses by barefoot biologists recruited among local hunters is worth testing.

The greatest challenge to the desired maintenance of the motivation of the local communities is short-term drops in revenue resulting from the local restrictions on livestock numbers proposed by the project in some areas to enable the rangeland biodiversity to recover. Many wildlife projects use workshops and extension officers to try to evoke in local stakeholders the pride to conserve a given unique biodiversity. Once completed, these projects often experience setbacks when money to maintain the "good feelings" is no longer available. One of the reasons explaining project failure is the neglect of providing local stakeholders with tangible benefits to compensate for the renunciation of former uses. In other words, the trigger for pride is not strong enough to sustain the project. Therefore, a more powerful trigger is needed that must address socioeconomic and political issues of prime importance.

As a consequence, long-term self-financing compensation for the communities' financial losses is essential. Added income from the development of tourism and small game-hunting is important even though not easy in view of the geographical location of the Gourma (difficult and expensive access). Despite a limited scope, the development of the tourism industry is relevant here. A strong example is the existing Dogon tourism (extension of current circuits to observe elephants and/or to visit Fulani and Tuareg encampments). Because local stakeholders are not used to dealing with a service industry of the tertiary sector, they need both external support and capacity building.

Local communities are used to working with the primary sector and eventually with the secondary sector. The possibilities of giving added value to livestock products (local abattoir, salted skins, dried meat, camel cheese), gathering rangeland wild plants for medicinal and other purposes and improving fishing opportunities might be closer to local people's preoccupations should be investigated and

discussed with the communal and intercommunal structures, as well as with the other projects in the region. Experience in other countries shows that decentralization becomes fully effective when the civil society takes over major economic issues from administrations and projects. One way to make projects sustainable is to help local communities start trading companies to encourage legal markets of goods and services without relying on systematic foreign input. The legal grounds for such ventures already exist in some countries such as Zimbabwe, where the status of "Campfire Company" permits initiatives in communal land to run their own businesses.

The idea put forward in the project of setting up a trust is an excellent one, as would be the study of financial mechanisms for savings to come into play in emergencies, e.g., when drought threatens food security.

Identification of global environmental benefits

This project addresses in the Gourma region of Mali a global problem: the continuing trend of biodiversity loss in the immense arid and semiarid steppes and prairies of this planet, the grazing of which historically has fed humanity over most continents.

The success of the Gourma project in rehabilitating perennial grasses, wildlife and ecosystems, as well as in enhancing living conditions and food security of human societies through development based on conservation, sustainable use and added value can be demonstrated and adapted to other societies around the world who are living under comparable climatic and social conditions. Sustainable use of renewable natural resources is 1 of the main objectives of the Convention on Biological Diversity (CBD) to conserve biodiversity. Many of the numerous wild products that enable people to survive in times of drought have not been formally identified or been the object of enhancement measures in natural habitats. The gathering of other products such as nontimber forest products (NTFP), if indigenous, can be developed in the conservation areas established by the project, and the involvement of the local people will ensure either new or improved income to compensate the individual or community. The project will enable such knowledge to be acquired and conservation and development measures to be tested and applied.

In line with the 1994 International Convention on Desertification (ICD), which has been ratified by Mali as mentioned in the PCD, the project is well designed to make a useful contribution to the battle against desertification. It can be said that a main output of the project will be to alleviate the effects of desertification, to slow its trend or even reverse it. This effect gives relevant justification to the project, because desertification is generally accompanied by a global erosion of biodiversity. This beneficial result is perhaps not emphasized enough in the PCD.

The project can be said to fit very well with the goals of the GEF.

Regional context

As mentioned above, although it is felt that the main thrust of the first phase of the project should be to cover the project area, together with those of the neighboring projects in Mali, this project is directly relevant to the entire Sahel region. In the zone from the Niger River in the north to the border of Burkina Faso in the south, a variety of conditions are already present, both as to biodiversity and as to land-use and human settlement.

Although the biological importance of the region is described in the PCD, the relevance of addressing

the elephant problem may be emphasized. The African elephant herd of Gourma (1) is not only the northernmost population of the taxon remaining since the disappearance of the southeastern Mauritanian population few years ago; (2) it is also a viable population (above the critical size of a minimum viable population with suitable habitats) (3) and, due to the severe fragmentation of the West African global elephant population, it is now genetically isolated, making it worthwhile and relevant to spend effort and money to conserve these particular animals.

In terms of tourism, the area is already internationally known for a number of reasons, either cultural (Dogon civilization) or biological (“desert elephants”). Other assets of the region are not yet recognized, even though they are worth being discovered by the world community and are in need of energy to be incorporated in tourism products.

Replicability of the project

Replicability of the project must be one of its objectives, so that the experience gained can be retained. There is no reason why this project cannot be adapted to other environments, case by case, if conditions for success are present. Ensuring local support and long-term self-financing are essential components, acquired through capacity building and patience. The problems of communication and language must not be ignored if “technology” and experience are to be adequately transferred.

It must be recalled that many projects around the world have comparable socioeconomic objectives and methodology of community-based sustainable management of natural resources. When the strategy, such as is apparent in this project, coincides with concerns for biodiversity conservation, then it might be considered, from those building blocks, to build up a network of the new generation of biodiversity conservation areas (see above) among which south-south, north-north and east-west technology transfer would be facilitated and encourage replication and adaptation.

Secondary issues

Linkage to other focal areas

The information listed in the PCD gives ample evidence that the project is in complete accord with the GEF Operational Strategy but also regional and subregional activities. It follows CBD/COP guidance, and gives a clear picture of how the GEF funding will dovetail not only with other donors but also with government at all levels and community involvement as well as contribution of local effort.

Other beneficial or damaging environmental effects

Many beneficial environmental effects can result from the successful implementation of this project, such as forest and perennial grasses regeneration, which in turn will lead to increases in scarce wildlife; to improvement of nitrogen fixing in the soil and to stopping the extension of desertification by stabilizing soils, replenishing underground aquifers, recreating ground-level microclimates and increasing fuelwood production.

On one hand, if the project fails, there can be damaging effects, mainly because, at the end of the project, the local inhabitants may think that they have lost more from this venture than they have gained and decide to go back to their old ways. On the other hand, if the project succeeds, a risk lies in the possible encroachment in the area by migrants attracted by the potential advantages brought by the project. However, these two scenarios are true of any project.

Direct detrimental effects of the project are most unlikely. Eventual negative impacts on natural resources are expected to be (1) according to the PCD, most probably marginal as far as baseline projects are concerned and (2) certainly even less from this project itself anyway. Furthermore, the cotton-livestock-based economy, more profitable on a short-term basis as it stands, nevertheless has to prove being so in the long run than a complementary or alternative environment friendly economy based on guidelines promoted by the project.

Degree of involvement of stakeholders in the project

The involvement of stakeholders is obviously crucial to the success and endurance of the project. The mechanisms described in the program appear to have all the ingredients necessary. However, it must be remembered that, although they have been conceived with best available knowledge, these mechanisms will most probably have to be specifically adapted to each area covered by the project. In addition, over time, as people gain confidence and start to express, from the ground up, how they envisage their own future and priorities, the mechanisms probably will have to be adapted again. It is to be expected, and should be planned, that, as years go by, the benefits to the local people (as opposed to global humanity) deriving from sustainable use of rangelands and conservation of biodiversity, will be real.

The participatory schemes outlined in the project are well conceived and appear realistic in the context of the Gourma. However, once operations are underway, additional or modified mechanisms may have to be put in place due to an unexpected constraint in the stakeholders' traditional decisionmaking process. It is therefore essential that the project be adaptable to such eventualities. It is essential that this adaptation be initiated from the ground up, rather than be imposed top-down. For instance, rural societies in this part of Mali consider agents of the Forestry Department as enforcement personnel. The project, with the other donors and the help of Government, must work together to transform the nature of this relationship into one of trust and cooperation.

The involvement in the project of local hunters is of crucial importance to secure sustainable mechanisms of consumptive wildlife uses. Given that the more accomplished hunters probably have a strong affinity toward hunting, possibly because of its social status in the community, hunters' skills could be reprogrammed through new forms of livelihood linked to tourism or wildlife management. As far as I know, there are 2 important traditional hunter societies at the national level in Mali, and there are certainly some at the local level. These societies are key partners in the debate on conservation of biodiversity. Working with these hunters may provide the project with not only interesting outputs in terms of conservation (due to their skills) but also the enthusiasm of the community (due to their prestige). Some of these hunters can become rangers, barefoot biologists (conduct wildlife counts, monitor indicators) or tourist guides or may even receive in-depth training in bee-keeping and poultry production, both of which provide significant income at the household level. The other hunters may work with wildlife experts, extensionists and facilitators to design sustainable hunting practices matching the local situation, taking into account a proper attitude to develop toward outsiders making use of local natural resources.

In the same way, conflicts will have to be resolved case by case and solutions adapted as time passes. For instance, the human/wildlife conflicts, such as occur with elephants and even lions, are quite different in acacia-bush savanna than they are in agricultural perimeters, where the issue has to be addressed differently. In fact, if elephants were to find sufficient graze/browse and water in the nonsettled parts of the Gourma, and if their numbers do not become so significant as to compete too much (in the eyes of the local herders) with livestock, there would be no conflict. The present method of

bringing water to the elephants by tank truck during droughts might someday be considered a luxury, when bore holes, solar panels or windmills will be able to make water available to wildlife in the more inaccessible parts of the Gourma (in the north, for instance).

The amounts of funds allocated to components 2 and 3 are of crucial importance for the local stakeholders to be involved and for the project to succeed, and it looks especially appropriate to allocate 45% (US\$5.88 million, of 13.13 million) of the budget to component 3. It might be proper for the GEF to increase its contribution to the latter component, which so far is restricted to the relatively low percentage of 11.7%. As a matter of fact, a higher contribution of the GEF to this particular component, and maybe a lower contribution to component 1, would guarantee better road-holding qualities to the GEF input.

I have no particular comments regarding the institutional set-up for implementation arrangement. Nevertheless, the functioning of the 2, or more, entities is questionable as I do see well the connection between PCU and TSU(s). An eventual lack of close articulation may possibly lead to (1) PCU driving components 1 and 4, (2) and TSU(s) managing components 2 and 3. A little explanation would certainly enlighten this point.

Capacity building aspects

Capacity building is essential for the success and endurance of the project. The comanagement of natural resources implies adequate capacity of management and negotiation at all levels, especially the local level. Decentralization can hardly be implemented if all levels do not have the understanding capacity. The challenge lies in a difficult equation: *the more local the decisionmaking, the better the decentralization success but the lower the capacity of human resources.*

Systematic local participation in monitoring indicators and discussing results will help to refine, ongoing, the capacity building needs. Again, it is important to use local people's existing knowledge about their land; their knowledge is usually considerable, and working with them will enable adaptation of capacity building in the themes for which they need to ensure their commitment to the long-term sustainability of the project.

It is important to fully involve women in this process. Women control and will hold the key to success in many of the consumptive uses of natural resources, value-adding and marketing activities that are vital to the socioeconomic development opportunities that the project will identify and that will consolidate its sustainability.

The problem of transforming forestry agents into extension personnel is addressed above and should represent a typical example at all levels. Under a number of similar situations, wildlife users are kept under foresters' thumbs. One of the challenges will be to convince the forestry agents (1) to consider local communities as full partners in establishing the rules of the game, (2) of the relevance of the decentralization mechanism and (3) that benefits from conservation must be shared. Only capacity building of the foresters and other stakeholders will lead all to adopt adequate behavior in negotiations. The same often applies to political leaders, who resist releasing part of their power in the framework of a given decentralization process.

Project innovativeness

In the past, the majority of attempts to conserve biodiversity in arid and semi-arid rangelands have

failed. The reasons are well known: the nomadic or semi-nomadic character of the herders; poverty level, tribal conflicts over water rights; lack of formal land tenure or ownership; absentee ownership of livestock; dependence of livestock prices on outside market-driven forces; image of wealth corresponding to livestock numbers; identification of animals as savings on the hoof that can be traded for food, cash or goods and impossibility of optimizing rangeland use due to restriction of borders or fences.

Mali, and the Gourma in particular, furnish an opportunity to succeed in this venture of biodiversity rehabilitation and conservation over a large enough area, while conciliating this GEF goal with poverty alleviation, improvement of food security and sustainable socioeconomic development based up renewable natural resources. The project is indeed innovative.

Annex 11 Bis: Indication that the STAP Reviewers comments have been taken in consideration

Several paragraphs have been edited to ensure that (1) rational and specificity of the Gourma elephants and their conservation is more prominent, (2) the project also draws on traditional knowledge and experts in both the planning for alternative practices and development of training modules but also in the implementation of strategies such as surveillance and biomonitoring and (3) the ratio of GEF funding to off-reserve operations has been increased to about 25%.

Additional GEF Annex 4 Matrix of Biodiversity Loss and Proposed Actions
MALI: Gourma Biodiversity Conservation Project

	Situation	Root cause of existing situation	Solution proposed by the project
Gourma	<ul style="list-style-type: none"> ✓ Range degradation (disappearance of perennial species) ✓ Wildlife depletion and extinction of several species ✓ Suitable traditional rest areas along flyways not available for migratory birds ✓ Permanent & irreversible modification of the ecosystem (p.e. glacia & extinct species that would be too risky to reintroduce) 	<ul style="list-style-type: none"> ✓ Lack of awareness of alternative approaches to range and water utilization ✓ Pastoral practices no longer appropriate given the increase in the number of herds and herd size ✓ Nonexistence of waterhole access & use rules that take into account wildlife needs ✓ Regular, and almost permanent, use of the entire space, leaving no refuge for wildlife and wild plants. ✓ Apparently traditional practice that all wildlife is to be harvested (even by outsiders). ✓ Local communities had no official stewardship right over land resources and wildlife ✓ Lack of willingness and capacity of Government services to enforce laws, particularly against motorized poaching by outsiders ✓ Climate change (isohyets are shifting south) 	<ul style="list-style-type: none"> ✓ Awareness building and training of Government services, Commune Councils, communities ✓ Diagnostic by communities of the current situation and its root causes prior to establishment of Communal Development Plans (CDPs) ✓ Two-year study by university students for diagnostic of the current pastoral practices & rules ✓ Definition of communal rules for land & resource access & exploitation in CDPs ✓ Creation by Commune of wildlife refuges called conservation areas with management entrusted to intercommune associations ✓ Demonstration of alternative range and water use at pilot sites ✓ Assistance to Communes, and associations in implementing conservation dimension of CDPs ✓ Decrease poaching by outsiders through information campaign in nearby cities and better law enforcement

	Situation	Root cause of existing situation	Solution proposed by the project
Specific issues that need to be addressed at the national level	<ul style="list-style-type: none"> ✓ Same as above (wildlife & natural habitat are threatened in the entire territory) 	<ul style="list-style-type: none"> ✓ Widespread poverty with limited perspective [prospect?] for short-term improvement ✓ Cotton- & livestock-based economic growth at the expense of natural habitat ✓ Low national knowledge & awareness about biodiversity benefits and issues translating into low Government commitment ✓ Low Government commitment compounded by limited budget leads to marginal allocation of conservation budget ✓ Low capacity of institutions and human resources for conservation planning and actions leads to inefficient use of limited budget ✓ Low wages, poor training, marginal institutional support leads to marginal commitment of Nature Protection Agents. ✓ Little community empowerment to manage wild resources has contributed to disenfranchise the population. 	<ul style="list-style-type: none"> ✓ Other Bank operations in the Mali pipeline to target poverty alleviation ✓ Other donors to finance national awareness building (Holland, EU, IUCN) ii PASAOP tackles the sustainable-cotton and livestock issues ✓ Contributes to improvement of livestock/environment interface by piloting pastoral perimeters in Gourma and disseminating results ✓ Study and design mechanisms to channel perennial funds to Communes after project end (study geared at the Gourma but national impact expected) ✓ Prepare new regulations and provide DNCN with a status more adapted to decentralization and more conducive to efficiency. ✓ Identify ways and means to improve incentives for better performance of DNCN staff ✓ Provide awareness building and training to DNCN staff (other than Gourma staff) ✓ Nation-wide effort to entrust Communes to manage wild resources (financed by project only in Gourma)

