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**United Nations Development Programme**  
GLOBAL ENVIRONMENT FACILITY (GEF)

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23 December 1997

Dear Mr. El-Ashry,

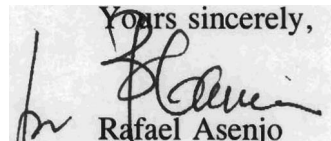
Subject: KEN/97/G31/C/1G/99; URT/97/G31/C/1G/99; UGA/97/G31/C/1G/99;  
RAF/97/G32/A/1G/12; RAF/97/G35/A/1G/31 - Reducing Biodiversity  
Loss at Cross Border Sites in East Africa

I am pleased to enclose the project entitled "Reducing Biodiversity Loss at Cross Border Sites in East Africa" approved by the GEF Executive Council Meeting in May 1997.

As per paragraph 29 and 30 of the GEF Project Cycle, we are submitting this project to you for circulation to the Executive Council Members for comments and, subsequently, for your final endorsement.

Thank you in advance for expediting the review and approval of this project.

Yours sincerely,

  
Rafael Asenjo  
Executive Coordinator

Mr. Mohamed El-Ashry  
Chief Executive Officer  
Global Environment Facility  
Room G6005  
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Global Environment Facility (GEF)  
United Nations Development Program



Subject:

Loss in Cross Border Sites in West Africa

GEF Project C  
Reducing Biodiversity  
the GEF Executive Council Meeting in 1997.

Paragraph 31  
in the Report

Resolutions

for the Secretary  
for the Secretary  
for the Secretary

Chief Executive Officer  
Global Environment Facility  
Room 65002

Washington

# UNITED NATIONS DEVELOPMENT PROGRAMME

**PROJECT NUMBERS:** KEN/97/G31/C/1G/99; URT/97/G31/C/1G/99;  
UGA/97/G31/C/1G/99; RAF/97/G32/A/1G/12,  
RAF/97/G35/A/1G/31.

**PROJECT TITLE:** REDUCING BIODIVERSITY LOSS AT CROSS BORDER  
SITES IN EAST AFRICA.

**COUNTRIES:** Regional : Kenya, Tanzania, Uganda

**DURATION:** Five Years

**PROJECT SITE:** Four Cross-Border sites in the region: (see Map in Annex 1)  
1) Bukoba (Tz) to Rakai/Mbarara (Ug)  
2) Monduli (Tz) to Kajiado (Ke)  
3) Same (Tz) to Taita-Taveta (Ke)  
4) Turkana (Ke) to Moroto/Kotido (Ug)

**PRIMARY FUNCTION:** Conservation of Biological Diversity

**SECONDARY FUNCTION:** Capacity Building / Training

**SECTOR; SUB-SECTOR:** 200 / 201 Environment. Forestry, Wildlife

**EXECUTING AGENCIES:** National Governments of Kenya, Tanzania and Uganda  
FAO - UNOPS

**IMPLEMENTING AGENCIES:** KEN/97/G31: National Environment Secretariat, Kenya.  
URT/97/G31: National Environment Management Council,  
Tanzania.  
UGA/97/G31: National Environment Management Authority,  
Uganda.

**ESTIMATED START DATE:** January 1998.

BUDGET IN US\$	I N C R E M E N T			BASELINE/ CO-FIN.	TOTAL
	GEF	Government	Other		
KENYA	3,390,800	390,000		1,370,000	5,150,000
TANZANIA	3,378,600	380,000	500,000	1,380,000	5,638,600
UGANDA	3,544,600	430,000		1,220,000	5,194,600
REGIONAL FAO	1,780,750			100,000	2,351,000
REGIONAL UNOPS	560,250				
<b>TOTAL</b>	<b>12,655,000</b>	<b>1,200,000</b>	<b>500,000</b>	<b>4,070,000</b>	<b>18,425,000</b>

**BRIEF DESCRIPTION:** This project will reduce the rate of biodiversity loss at four cross-border sites of global biodiversity significance in East Africa. It will do this through: (i) creating an environment in which local communities and district development agencies can work in partnership with national forestry, wildlife and environmental agencies on both sides of the borders to promote the sustainable use of biodiversity resources; (ii) balancing resource demand and supply through the development of resource management plans, alternative economic activities, sources and management regimes. Additional benefits will include the mainstreaming of biodiversity considerations into cross-sectoral development planning and decision making systems at local, district and national levels, the creation of an appropriate policy framework for this in all three countries, and the establishment of replicable approaches to cross-border conservation activities. The project will be executed nationally in each partner country, with a regional component, executed by a cooperating agency, to provide necessary integration and coordination at regional level. The project functions at both national and district levels.

## APPROVALS

On behalf of the  
Government of *Kenya*

Signature

Title

Date

On behalf of UNDP  
*Kenya*

Signature

Title

Date

On behalf of the  
Government of *Tanzania*

Signature

Title

Date

On behalf of UNDP  
*Tanzania*

Signature

Title

Date

On behalf of the  
Government of *Uganda*

Signature

Title

Date

On behalf of UNDP  
*Uganda*

Signature

Title

Date

On behalf of *FAO*

Signature

Title

Date

On behalf of *UNOPS*

Signature

Title

Date

On behalf of *UNDP-RBA*

Signature

Title

Date



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## TABLE OF ABBREVIATIONS AND ACRONYMS USED IN THIS DOCUMENT

<b>ACORD</b>	<b>An NGO working in Uganda in Community Development</b>
<b>ACTS</b>	<b>Africa Centre for Technology Studies</b>
<b>AOS</b>	<b>(Agency) Administrative Overhead Costs</b>
<b>ASAL</b>	<b>Arid and Semi-Arid Lands Programme (Kenya)</b>
<b>AWF</b>	<b>African Wildlife Foundation (A Regional NGO).</b>
<b>CAO</b>	<b>Chief Administrative Officer (district) (Uganda)</b>
<b>CBD</b>	<b>Convention on Biological Diversity</b>
<b>CBO</b>	<b>Community Based Organisation (NGOs, village institutions, user groups).</b>
<b>CBNRM</b>	<b>Community Based Natural Resource Management</b>
<b>CBR</b>	<b>Centre for Basic Research</b>
<b>CoU</b>	<b>Church of Uganda</b>
<b>CSA</b>	<b>Contractual Services Agreement (in use in UNDP/FAO)</b>
<b>DANIDA</b>	<b>Danish Agency for International Development.</b>
<b>DAO</b>	<b>District Agricultural Officer</b>
<b>DC</b>	<b>District Commissioner</b>
<b>DDC</b>	<b>District Development Committee</b>
<b>DEC</b>	<b>District Environment Committee</b>
<b>DE(P)O</b>	<b>District Environment (Protection) Officer</b>
<b>DFO</b>	<b>District Forest Officer</b>
<b>DG</b>	<b>Director General (in NEMC)</b>
<b>DSC</b>	<b>District Steering Committee</b>
<b>DTPO</b>	<b>District Technical Planning Officer (Uganda)</b>
<b>DVO</b>	<b>District Veterinary Officer</b>
<b>DWD</b>	<b>Directorate of Water Development (Uganda)</b>
<b>DWO</b>	<b>District Water Officer</b>
<b>EAWS</b>	<b>East African Wildlife Society</b>
<b>ED</b>	<b>Executive Director (in NEMA)</b>
<b>EIA</b>	<b>Environmental Impact Assessment</b>
<b>ETC</b>	<b>An international NGO working in East Africa</b>
<b>EU</b>	<b>European Union (also EEC)</b>
<b>FAO</b>	<b>Food and Agriculture Organization of the United Nations</b>
<b>FINNIDA</b>	<b>Agency for Development Assistance of Finland</b>
<b>FPO</b>	<b>Field Project Officer</b>
<b>GEF</b>	<b>Global Environment Facility</b>
<b>IAPSO</b>	<b>International Agency for Procurement (in the UN)</b>
<b>ICR</b>	<b>International Care and Relief (CARE)</b>
<b>IR</b>	<b>Inception Report</b>
<b>IPDP</b>	<b>Integrated Pasture Development Project (Uganda)</b>
<b>IPGRI</b>	<b>International Plant Genetic Resources Institute</b>
<b>IRA</b>	<b>Institute for Resource Assessment (Tanzania)</b>
<b>IUCN</b>	<b>The World Conservation Union</b>
<b>JET</b>	<b>Journalists for Environment, Tanzania. (An NGO).</b>
<b>JICA</b>	<b>Japan International Cooperation Agency</b>
<b>KCWM</b>	<b>Karamoja Community Wildlife Management (Uganda)</b>
<b>KENGO</b>	<b>Kenya Environmental Non Government Organisations</b>
<b>KPIU</b>	<b>Karamoja Project Implementation Unit</b>
<b>KWS</b>	<b>Kenya Wildlife Services</b>
<b>LC</b>	<b>Local Councils - in Uganda from level LC1 to LC5.</b>

MISR	Makerere Institute of Social Research
MoALDM	Ministry of Agriculture, Livestock Development and Marketing (Kenya)
MAAIF	Ministry of Agriculture, Animal Industries and Fisheries (Uganda)
MTAC	Management Training and Advisory Centre (Uganda)
MTR	Mid-term Review
MoU	Memorandum of Understanding (a form of contract)
MUBFS	Makerere University Biological Field Station (Uganda)
MUFD	Makerere University Forest Department
MUIENR	Makerere University Institute for Environment and Natural Resources (Uganda)
NCDC	National Curriculum Development Centre (Uganda)
NCS (SD)	National Conservation Strategy (for Sustainable Development)
NEAP	National Environment Action Plan
NEMA	National Environment Management Authority
NEMC	National Environment Management Council (Tanzania)
NES	National Environment Secretariat (Kenya)
NEX	National Execution Modality
NGO	Non-Governmental Organisation
NIA	National Implementing Agency
NMK	National Museums of Kenya (Kenya)
NORAD	Norwegian Aid Organisation
NPC	National Project Coordinator
NPM	National Project Manager
NPSC	National Project Steering Committee
NWP	National Wetlands Programme (Uganda)
ODA	Overseas Development Agency of the United Kingdom
PAC	Project Appraisal Committee (in UNDP)
PERM	Participatory Environmental Resource Management (USAID in Tz)
PMO	Prime Minister's Office (Tanzania)
PMU	Project Management Unit
PNSC	Project National Steering Committee
PRA	Participatory Rural Appraisal
PS	Permanent (Principal in Tz) Secretary
RDC	Resident District Commissioner (Uganda)
RTA	Regional Technical Adviser
RTPC	Regional Technical Planning Committee
SADC	Southern Africa Development Community
SDC	Sustainable Development Centre
SNV	Netherlands Aid Organization, using Volunteers
SUA	Sokoine University of Agriculture (Tanzania)
TAF	Tanzania Association of Foresters (an NGO).
TAFORI	Tanzania Forest Research Institute
TANAPA	Tanzania National Parks Authority
TFAP	Tropical Forest Action Plan
TFCG	Tanzania Forest Conservation Group (an NGO).
TFCP	Tanzania Forest Catchment Project (NORAD funded)
TPR	Tripartite Review
TR	Terminal Review
UDSM	University of Dar es Salaam (Tanzania)
UFD	Uganda Forest Department
UNDP	United Nations Development Programme

<b>UNEP</b>	<b>United Nations Environment Programme</b>
<b>UPANE</b>	<b>Uganda Pastoralist Network</b>
<b>USAID</b>	<b>United States Agency for International Development</b>
<b>UWA</b>	<b>Uganda Wildlife Authority</b>
<b>VI</b>	<b>A tree planting programme (Uganda)</b>
<b>WCCD</b>	<b>(Ministry) Women, Children and Community Development (Tz)</b>
<b>WCMC</b>	<b>World Conservation Monitoring Centre (UK)</b>
<b>WCST</b>	<b>Wildlife Conservation Society of Tanzania (an NGO)</b>
<b>WCU</b>	<b>Wildlife Clubs of Uganda</b>
<b>WWF</b>	<b>World Wide Fund for Nature (an NGO)</b>

## A. CONTEXT

This project document is developed following the approval by the GEF Council in May 1997 of the Proposal entitled "Reducing the Rate of Biodiversity Loss at Cross-Border Sites in East Africa" in the amount of \$12,655,000. The project proposal was developed by the three East African countries with support from UNDP; and was submitted to the GEF Council through the UNDP the GEF Implementing Agency with responsibility for technical assistance.

The approved GEF proposal set out the cross-border sites, the pattern of objectives, outputs and activities and the broad budgeting for the project. This document therefore puts the detailed implementation modalities on the skeleton format approved by the GEF Council. The stress on district processes across national boundaries is maintained.

### 1) DESCRIPTION OF THE SECTOR

Biological diversity, or biodiversity as it is commonly referred to, is the total variation of living material, both plants and animals. Biodiversity is normally considered at three levels, i.e., the genetic level, the species level, and the ecosystem level, and the interactions amongst them. More functional definitions in the African context see biodiversity as follows:

*In Africa, biodiversity is a matter of survival. It is critical for life at grassroots level. It is the total variety of life on which society depends (eg for food, fibres, fuel). It provides ecosystem resilience for both humans and natural communities to cope with periods of stress. (WWF (US) Support Programme; text on African Biodiversity 1993).*

Traditionally the sector has been managed by three departments of government - forestry, wildlife and fisheries, with the agricultural sector looking at domestic biodiversity. In the past decade, newer agencies of environment have taken responsibility for the broader coordination of biodiversity including implementation of the provisions of the Convention on Biological Diversity. Added to these managerial responsibilities are the other needs of research, monitoring and documentation; ensuring equity of use and access to benefits, etc.

East Africa is a region of high global priority for biodiversity conservation. Early recognition was given to its wildlife and wildlands. The East African Governments recognized this and designated a significant proportion of their land as parks and other types of protected areas (Tanzania > 20%, Kenya and Uganda > 8%). The large mammal communities of the grasslands of East Africa have long been recognized as a major world heritage. More recently, studies have quantified the wealth of biotic resources within the forest communities and the high proportion of endemic species (those restricted to one or few localities) found therein. These forests are globally recognized centres of biodiversity and endemism, known as "hotspots".

Despite the great importance of these resources, East Africa is losing significant amounts of the natural biodiversity found in the region as a result of human population pressures and associated exploitation of land resources.

Land use pressures have led to considerable antagonism vis-avis conservation, a feature exacerbated by the low priorities given in the past to ensuring that conservation policies are supportive to local communities. The resultant loss of biodiversity represents a reduction of essential resources to ensure functional and productive environments and ecosystems, and a reduction in potentially valuable resources for future development. Continued loss of biodiversity forecloses opportunities for present and future

benefit from the values of biodiversity, many of which are still unrecognized. Biodiversity is thus a major issue in the 'conservation or development' debate, and a part of the goal of 'conservation for sustainable development'. Within East Africa, this debate is of special concern due to the low awareness of environmental issues in the region. Whilst there is acceptance of the need to use resources wisely, there is a need to ensure that such use is sustainable. Unfortunately, there is little real knowledge as to the limits of what is sustainable and what is not.

East Africa, for the purposes of this project, comprises Kenya, Tanzania and Uganda. The three countries were formerly members of an 'East African Community', with many shared 'Common Services' including education, training and research. In general terms, the three countries share similar resources and problems, suggesting considerable synergy from joint initiatives such as this project. The EA Community broke up in the mid 1970s and joint activities and planning virtually ceased. Closer political, economic and technical linkages have developed recently, particularly with the formation of an East African Cooperation Secretariat based in Arusha. The Secretariat is increasing its interest in many aspects of the broad field of Environment, including biodiversity.

National boundaries within East Africa were drawn up a century ago, and do not follow biological attributes. Many biodiversity resources lie across boundaries, or move across boundaries in a migratory fashion. Biodiversity users also cross these borders; timber movements, for example, follow inconsistencies in policies and laws and find the easiest markets. There is thus considerable merit in examining biodiversity issues from a regional perspective.

At a global level, the values of biological diversity were recognized during the build up to UNCED at Rio in 1992, when the Convention on Biological Diversity was signed by over 100 nations. Since then the three countries of East Africa have ratified the Convention and participated in the Conferences of Parties which manage the Convention. However, it must be stressed that the resources which make up biodiversity are, in the most immediate sense, found and used at localised levels - by local communities in the rural areas. These communities are governed by decentralised government - at village and district levels, making such local governments thus a key party to the overall management of the sector. There is thus a need to address biodiversity at three levels - regionally, nationally and locally.

## **2) SECTORAL STRATEGIES**

The three Governments have set up environmental agencies to coordinate environmental issues and to integrate environmental planning within an overall development planning framework. These agencies have developed environmental policy and strategy documents. These are slowly having an impact on the resource base, but there is still need to ensure compatibility and coordination both amongst sectors and amongst countries.

Strategies are increasingly seeking integration, away from past compartmentalisation into separate sectors. This is especially true of the environmental sector, where environment itself is seen as an over-arching or integrating theme, bringing together the many sectoral players. Countries are seeking mechanisms to achieve such integration, both nationally and in the decentralised models. District environmental plans and environment committees are one part of this evolution. All three countries have started a process of District level environmental planning.

Tanzania has gone through national environmental strategic planning processes which are being translated and adopted at district level at different rates. Monduli, one of the focal districts, has already produced a strategy titled 'Planning for a better environment in Monduli District'.

Uganda has developed Environmental Profiles for several districts, including Rakai and Kotido, and is preparing sustainable development plans (including environmental issues) for selected focus districts.

Kenya has prepared Environmental Profiles for most districts, and is starting District Environmental Action Plans. Donor support to Districts has led to the elaboration of broader "District Development Plans"; these have varying degrees of environmental concern. The three countries have started the process of decentralising their planning, decision making and resource management to the district level in line with new policies. Environment Officers have been posted in several districts in Uganda and Kenya. In Tanzania, Natural Resources Officers handle most issues relating to the environment.

Strategies for the conservation and utilisation of biodiversity are changing, in response to perceived increasing loss of biodiversity - globally. Past policies of command and control, putting most resources into centrally managed reserves which are closed to local communities, are not working. More recent resource management models of giving greater responsibility and resource benefit to such communities, are being adopted, albeit slowly. Resource conservation strategies therefore are increasingly being decentralised, devolving power to districts and communities.

East Africa does not have a long history of collaborative management involving linkages between government and community institutions. Colonial legislation separated communities from their traditional resource ownership and systematically reduced any beneficial incentive to develop sustainable resource-use practices. This last two years have seen a number of initiatives (eg the PERM project of USAID in Tanzania, Kenya Wildlife Service community programmes, and new Forestry initiatives in Uganda) planning to re-create such incentives, based on access and collaborative resource management strategies.

National Biodiversity Strategies and Action Plans are under development in all three countries. These follow from earlier Biodiversity Country Studies. National policies on environment and natural resources in general, are being put in place to allow greater participation of communities in natural resources conservation.

Notwithstanding their commitment to conservation, the three countries have intense and still increasing pressures on natural habitats and on the biodiversity found therein. Forest and wetland habitats are under special threat because of the potential use of these areas for agriculture. In the absence of industrialisation, economic growth rests on the exploitation of natural resources, either through the conversion of natural lands to agriculture, or by increased use of forest and wildlife resources. Privatisation policies without regulatory controls have led to gross over-use, and to the exclusion of community access in many cases. Continuing population growth of 2.8 to 3.5% pa, coupled with poverty, leads to high demand for land for conversion to agricultural use, which is often characterized by inefficient cultivation techniques and encroachment onto marginal land, and thus posing a great threat to biodiversity conservation.

Closed forests are found in areas of higher rainfall, and often on fertile soils; they are thus at great risk from conversion to agriculture, despite the importance of such forests for watershed conservation. Governments, with donor support, in all three countries have been seeking to strengthen forest sectors, with reforms to policies and strategies as well as improving field capability. However, several institutional constraints remain, including local and community empowerment, valuation methodologies and prioritisation of objectives.

Countries wish to improve resource management, and see short and long term management plan processes as the key to efficient management. However, inadequate attention has been paid to detailed planning at local levels. It is the intention that plans are holistic, addressing the resource in the context of

its surrounding user-interface. People, and people's livelihood systems are thus part of the planning process. Inadequate resource valuation strategies have led to resource degradation. Countries have expressed the need to include better value systems, but this awaits implementation.

This section has emphasised the level of change in resource management that has been planned in the past few years. However, there are few examples where these changes have been put into practice on the ground. Implementation remains an important need!

### **3) PRIOR AND ON-GOING ASSISTANCE IN THE SECTOR**

In the following review of regional activity, the sections are written country by country, as the pattern of both Government and Donor support differs amongst countries. Sectoral assistance can be described in several ways. This section highlights both on-going assistance, and notes gaps in such support. Coordination of development assistance, at community, district and national levels is gaining wide recognition as is an increasing need. Activities in the environment and natural resource sectors, and in the agricultural sector are relevant. Often inappropriate agricultural inputs on non-suitable sites can lead to great biodiversity loss.

Improving agricultural practice has been a target of many donor initiatives in the region, including on-going and planned initiatives in the proposed project sites. The project preparation process was aware of this, and built linkages to such initiatives. The project recognizes the need for donor collaboration, with the GEF intervention focusing more on the forest and wetland biodiversity resources themselves, and other donors supporting the improvement of agricultural practices in the communities around the biodiversity sites. This is discussed in section E3.

Despite the existence of forestry master plans / action plans in countries, many forest areas are still poorly funded and managed. This is especially true of areas to be addressed in this project. Whilst all three countries have started programmes addressing wetland conservation, these initiatives have yet to trickle down to district level. The relationships between forested catchments and water flow are still little supported in the field.

Environmental Agencies are growing in capability throughout the region. All have a focus on biodiversity, and are active in coordinating biodiversity programmes at national level, and are beginning to address issues at district and local levels. These agencies have benefited in terms of capacity strengthening from the previous GEF project on institutional capacity building. The current project will thus facilitate the application at district and community levels of the capacities established at national and institutional levels.

#### **a) Regional Activity.**

The East African region has a relatively large amount of GEF regional activity. The earlier GEF project "Institutional Support for the Protection of East African Biodiversity" ran from 1992 to 1996, and provided baseline support for biodiversity activity at national level. Amongst the comments made regarding the first capacity building project was the need to focus attention at district level.

The three countries participate in a World Bank funded GEF project looking at the biodiversity resources of Lake Victoria. Further regional projects are under consideration for Rift Valley Lakes (two projects perhaps, one for the Eastern and one for the Western Rift), for dry rangelands, and for support to taxonomic services in the region.



Multi-lateral donors also support regional programmes indirectly, by similar efforts in all countries. UNDP itself has similar programme support for district governance etc in all three countries. FAO supports forest resource mapping; studies of the Nile basin waters; and, in conjunction with IPGRI supports crop genetic resource networks across the region. The World Bank will be funding Biodiversity Strategies and Action Plans in the region.

Bilaterals have some regional activity, not always across just these three countries. USAID with its Greater Horn of Africa Initiative will be working in Kenya and Uganda for instance.

The bilaterals also support regional activity through international and regional NGOs. NORAD supports a regional NGO (ACTS) to undertake biodiversity assessment in the region, and core support to biodiversity policy training and help to governments in working with the Convention of Biological Diversity. The World Conservation Union (IUCN) have support for programmes addressing wetlands, forestry networks, NGO support and economics in the region.

## **b) National Activities**

### **b.1) Kenya**

In Kenya, the Government is providing infrastructural, administrative and limited extension support for conservation in the three identified sites. The support is not focused on biodiversity but to issues pertinent to natural resource utilization and conservation.

In addition to the above mentioned government support, there are a number of donor activities especially in Taita Taveta and Kajiado Districts. In Taita Taveta District, DANIDA are supporting a Rural Development Programme with emphasis on sustainable agriculture and environment. Belgium supports biodiversity surveys in the district while the East African Wildlife Society is involved with forest resources and the social-economic welfare of the communities around them.

In Kajiado district, the main support is from the Netherlands Government. This is in the form of integrated rural resource management through the Kajiado ASAL Programme. A few NGOs such as CARE - Kenya are also involved in various activities that are related to pastoralism and environment in the district.

In Turkana District, there is no major donor funded activity at present. Past NORAD assistance focused on infrastructure, pastoralist support and resource management. Several major NGOs have support programmes, including CARE, Catholic Relief Services and World Vision.

### **b.2) Tanzania**

A number of projects have been initiated in the site districts by both government and donor agencies.

In Kagera Region UNDP implements a project looking into rehabilitation of refugee affected areas which has a component for strengthening the planning and coordination capacity at both regional and district levels in Kagera Region. The Netherlands Government supports the district in its overall development programme. This focuses on capacity building, rural development and improved agriculture. Belgian aid supports rural credit and agriculture. The NGO World Vision International carries out village projects in Bukoba District.

In Monduli District, apart from the regular government funded development programmes, Netherlands supports implementation of the district development programme through SNV - of the Netherlands. This focuses on capacity building, rural development and improved agriculture and has little emphasis on biodiversity conservation. USAID is developing a participatory environmental resource management project which among other things, plans to promote sustainable natural resources management practices in the southern part of the district. TANAPA also carries out community conservation services, particularly in communities that live around national parks. The World Vision International implements village level projects in the District. The NORAD funded catchment forest project has minor inputs into some but not all forest areas in Monduli and Same Districts.

In Same District, government development efforts are supported by NORAD, JICA and GTZ, who have limited support in catchment forestry, village afforestation and traditional irrigation. A newly formed NGO - the Same District Development Association hopes to build links with larger development organisations.

Annex 2 provides details of the 'baseline' activities in the site areas as are equally highlighted in the GEF proposal.

### **b.3) Uganda**

The World Bank, UNDP, EU, and many bilateral donors are funding wildlife, parks and forestry. The Government of Uganda supports many activities related to the conservation and sustainable utilisation of the country's biodiversity.

World Bank/EU have been rehabilitating the Uganda Forestry, mainly with production and infrastructure. The World Bank (GEF) is supporting the National Biodiversity Strategy process, programmes of the Ministry of Natural Resources including Environment Management Capacity Building in NEMA, and support to wildlife biodiversity (GEF). Agricultural programmes includes the Livestock Services Project and a recently concluded Agriculture Extension Project. The United Nations has many programmes, through UNCDF, FAO, and UNDP. The EU has had a long term support package for the National Parks. USAID funds go to financial support mechanisms, including NGOs; and several capacity building projects.

Government support to the growing environmental sector concentrates on focal districts (including Kotido and Mbarara). The government also runs its regular development activities in the focal sites, supporting the communities living in the areas.

The GEF Proposal for this project highlighted ongoing or "baseline" activity from several donors and government in the focal sites. The sites are described in Annex 1 and baseline activities in Annex 2. The baseline is summarised here.

**Nationally:** EU is supporting forest capacity building, including general support to improved management planning. This follows from the Forest Reserve prioritisation and zoning plan, supported by EU and the earlier UNDP GEF project. NEMA provides overall direction to biodiversity processes.

**The North:** UNCDF: the United Nations Capital Development Fund is supporting water development in Kotido District. A proposed UNEP GEF project looks at pastoralist support to Kotido. The Lutheran World Federation (an NGO) supports community development activity. The EU is funding a community wildlife project in Karamoja.

**The South:** DANIDA supports infrastructural and community activity in Rakai, but have little focus on natural resources. The Integrated Pasture Development Programme is funded by GTZ in Mbarara. World Bank support to agricultural extension has ended. ICR, World Vision and the Church of Uganda support community development in Rakai District.

**e) Conclusion:**

In general, these different efforts address resources or community development rather than the specific goal of biodiversity conservation. This project was designed to focus on the specific site problems which have received little attention in past and ongoing support. This project addresses the additional aspects of integration and the policy linkages at local, national and regional levels.

#### **4) INSTITUTIONAL FRAMEWORK FOR THE SUB-SECTOR**

The institutional frameworks for the three East African countries are broadly similar in general layout, but differ in detail. For clarity, this document treats each country separately. Within country the framework is described at national and district levels, including administrative institutions as well as the NGO and private sectors.. Elected bodies are also important (village governments, district councils and Parliament), but have little linkages to biodiversity issues at present.

##### **Framework within Countries**

##### **KENYA**

i) National Activity at Governmental Level. Management and conservation of forests and wetlands in Kenya involves management, impacting, planning, research and policy and regulatory institutions. Forests traditionally have been managed under the Department of Forests in the Ministry of Environment and Natural Resources. The County Councils under the Ministry of Local Government also play a role in forest management while indigenous forests have been placed under the management of Kenya Wildlife Service (KWS) that has for some time now performed the task of forests management under a Memorandum of Understanding with the Forest Department.

Kenya Wildlife Service is responsible for the management and conservation of wildlife in protected areas. However, KWS has lately assumed a greater role in involving local communities in wildlife management and conservation in places outside the protected areas. Though wetlands management does not squarely fall under any one institution, the National Environment Secretariat (NES), KWS, Universities and the Ministry of Land Reclamation, Regional and Water Development have spearheaded their conservation in the recent past.

NES within the Ministry of Environment and Natural Resources, is the policy and regulatory institution for biodiversity matters. It among others coordinates biodiversity and wetlands matters through the Inter-ministerial Committee on the Environment. At present the committee does not have a legal standing but the environment policy and legislation are intended to strengthen the environment sector in terms of the legal mandate. A new environmental institutional arrangement has been proposed. The proposal includes the creation of a Council, an Environment Authority and an independent Tribunal which will be under the Minister in charge of Environment. The proposal is awaiting Parliamentary approval.

ii) District Activity at Governmental Level Coordination and management of project activities will be done under the guidance of NES which has Environment Protection Officers in the Districts. District

Environment Protection Officers will work closely with Field Project Officers and District Project Committees. Project activities will also be coordinated with those of the District Environment Committees and the District Development Committees. Currently, the districts are being strengthened in terms of technical inputs and project inputs should contribute towards this process.

iii) NGO Activity Non-Governmental Organizations and Community Based Organizations (CBOs) are actively involved in environmental matters in Kenya. Many NGO's operate both at the national and grassroots levels and have linkages with CBOs. There is a Council of NGOs and a section of government dealing with matters concerning NGOs.

A number of NGOs and CBOs now focus on biodiversity and wetlands. They include the East African Wildlife Society, Kenya Wetlands Working Group, CARE-Liaison Centre International, Oxfam, KENGO, Freedom From Hunger Council, World Vision International and the Centre for Indigenous Knowledge Systems and Products. CBOs and religious organizations operate mainly at the grassroots level.

The private sector is increasingly getting involved in environmental activities in all areas of development. This has been accelerated since the preparation of the National Environment Action Plan (1994) which involved all stakeholders, including the private sector. These activities include afforestation, agro-forestry, soil conservation, and urban development including pollution abatement and garbage collection.

## **TANZANIA**

i) National Activity at Governmental Level. Natural resource conservation is the responsibility of many government institutions. Parliament has created a Standing Committee on Environment. Forest management is the responsibility of the government forestry department which for many years has been involved more on forest protection, licensed exploitation and afforestation rather than "biodiversity conservation". The wildlife department caters for conservation of wildlife and ecosystems in protected areas. National responsibility for biodiversity, as well as wetlands, coasts and mountain ecosystems falls across several institutions depending on the particular circumstances of the specific resource or ecosystem in question. Coordination, policy and policy instruments are still inadequate.

The National Environment Management Council (NEMC), created by Act of Parliament No. 9 of 1983, is responsible for coordination of environmental issues including biodiversity. The Council is a government institution under the Vice President's Office. NEMC, as coordinating institution is mandated to work closely with environmental committees and offices in the districts. The National Environmental Policy, and guidelines for policy implementation are in the final stages of approval. This policy document, which addresses many cross-cutting environmental matters including biodiversity and wetlands, will more easily involve the relevant sectoral authorities.

Several other national institutions provide services which play an important role in biodiversity conservation. These include the Universities of Dar-es-salaam and Sokoine with several departments and institutes engaged in biodiversity research and teaching. TANAPA is involved in management of national parks, TAFORI deals with forest research and the Wildlife Conservation Monitoring Centre is primarily involved in wildlife monitoring.

ii) District Activity at Governmental Level. The Departments of Wildlife, Forestry and Fisheries have a technical representation in the districts under the local government system of administration. This system is under review. Issues involve the function of Districts and Regions, revenue collection and the role of central bodies. Resource issues in districts are still addressed sectorally, although the District Development Committees provide a mechanism for coordination, this needs strengthening. For many

environmental issues there is an obvious responsibility gap. Many districts including those targeted by this project are in different stages of consolidating their district and sub-district environmental committees. These should allow solutions to be found for the management of cross cutting environmental matters.

The problem of inadequate environmental organs at district level is partially a policy/strategy weakness, and partially an insufficient will to implement what may be seen as a negative step - emphasis on environmental vis-à-vis developmental issues. Even where committees are in place, they are relatively weak and have not been able to coordinate biodiversity and wetlands issues in the districts. They need strengthening in order to integrate biodiversity and wetlands issues in overall district development plans.

Wards and villages provide the lower levels of district administration. The village government (sometimes hamlet level) is the lowest level of formal administration in Tanzania. Matters of environmental management in general are traditionally discussed under the economic and development committee of the village government. It is worthy noting, however, that in spite of lack of policy, many districts, through district council decisions, undertake to establish environmental committees at lower levels. In the site districts (Monduli, Same and Bukoba), there is an increasing need for strengthening of village based environmental committees through which communities can be easily mobilised to conserve the biodiversity resources of the project sites. Village governments provide the basic unit for preparation of bye-laws including those intended to regulate the use of natural resources.

iii) NGO and Private Sector Activity. Whilst Tanzania has a large number of environmental NGOs, many of them are new and relatively weak with limited field capacity and presence. Many are preoccupied with general environmental work with little attention to biodiversity, forestry and wetlands issues. However, some have begun to focus on biodiversity related activities. The Wildlife Conservation Society of Tanzania (WCST), the Tanzania Association of Foresters (TAF), Journalists for the Environment of Tanzania (JET), and the Tanzania Forest Conservation Group (TFCG) are based in Dar es Salaam but have increasing field activities.

A number of grassroots based NGOs and religious organisations are also active in the focal areas, but they are few and also still weak. Kakindo Wakulima are active in Kagera region and are involved in afforestation and production in the Minziro area. Inyuat-e-Maa are carrying out general environment and development work in Arusha region including Monduli district. There are many community groups CBOs, but they are not formally registered and often ephemeral. However these possess a high potential for carrying out grassroots based interventions within the context of this project. International NGOs such as CARE, ETC, World Vision are starting activities, and have expertise in rural development.

The private sector in Tanzania has been increasing investment in activities with impacts on biodiversity. These include: logging, saw-milling, agricultural expansion. Whilst there are the beginnings of the establishment of tree monocultures (usually small wood-lots); there is little use of indigenous species, and overall planting inputs are well below projected requirements.

## UGANDA

National Activity To ensure coordination of environmental management across sectors, Uganda established (in 1995) the National Environment Management Authority (NEMA). NEMA as the apex body has the mandate to coordinate, monitor and supervise all activities in the field of environmental management including biodiversity. NEMA is linked to the Ministry of Natural Resources, but has a Board of Directors and a Cabinet level Policy Committee on Environment for oversight and direction. NEMA is responsible for the implementation of the National Environmental Policy and provisions of the Environmental Action Plan and Statute. A National Biodiversity Technical Committee, and an NGO

**Taskforce on Biodiversity** strengthen coordination and technical issues.

There are many other sectoral agencies with an interest in biodiversity. The resource management agencies : fisheries, forestry and wildlife, are well established with research and training facilities. All have ongoing biodiversity activities; coordination, through NEMA, is beginning. Universities (especially Makerere's Institute of Environment and Natural Resources), have an interest in many aspects of biodiversity, including economics, survey, law etc.

**District Level** The District is the basic unit of local government, and has been given considerable autonomy through recent legislation. The District Council is referred to as LC V. The law provides for a District Environment Committee, and a District Environment Officer. The status of forestry and forests, as to the degree of decentralisation of ownership and decision making is still under discussion. DEC's have the following functions:

- Coordinating district environment /natural resource functions
- Integrating environmental concerns into district plans
- Developing and implementing bye-laws to regulate resources
- Raising awareness and disseminating information on environment.

At Sub-County level (LC III), environmental legislation provides for a Local Environment Committee, which has the following functions:

- Preparing local resource management plans
- Environment awareness campaigns
- Mobilisation of self-help inputs to resource conservation.

The Village/Community level (LC I) is the lowest formal institutional structure in the LC system. User Groups etc are informal institutions. As it is the local communities who determine the fate of natural resources, their structures are of considerable importance. LC I committees, may:

- Enact local regulations governing resource use.
- Implement strategies and bye-laws affecting resources
- Mobilise self-help inputs for conservation.

### **NGOs and the Private Sector in Uganda**

There are increasing numbers of local "environmental" NGOs in Uganda. Several focus on people resource base (fuel, water, soil). Biodiversity is rarely addressed specifically, although forest protection is a common theme. Conservation NGOs include the East African Wildlife Society (Uganda), Wildlife Clubs of Uganda, Environment Alert, Joint Energy and Environment Project. More scientific NGOs include the East African Natural History Society (Uganda chapter) which has grown rapidly in the past years.

Many international NGOs have activities in the country, several with rural development programmes (CARE, ACCORD, World Vision, and religious groups such as the Lutheran World Federation and the Church of Uganda. Conservation NGOs (IUCN, WWF, AWF) are all active, in both awareness issues and project implementation.

The private sector has an increasing investment in the utilisation of natural resources, eg sawmilling, charcoaling etc. There is still an inadequate emphasis on replanting or industrial plantations, although fuelwood lots are becoming common in Mbarara, less so in Karamoja.

## **Framework at Regional Level**

There is no formal long-term framework for biodiversity or environmental management at regional level. This project will be developing a PROJECT FRAMEWORK, but this is discussed below. The Regional Cooperation Secretariat in Arusha, Tanzania, does not, as yet, have a set of guidelines or protocols governing environmental issues, but such initiatives are beginning. The past regional GEF biodiversity project built a series of informal regional networks looking at wetlands, biodiversity databases etc. Some of these still exist.

There are many international NGOs and groups which have been doing environmental work of direct relevance to biodiversity conservation. The World Wide Fund for Nature (WWF), the African Wildlife Foundation (AWF), East African Wildlife Society and the World Vision International all have programmes directed into research, awareness and field action for conservation. Many of these rely on non-expatriate expertise to carry out their day to day activities. IUCN, The World Conservation Union, and the African Centre for Technology Studies (ACTS), both are based in Nairobi but with a broader mandate for studies and activities in biodiversity issues.



## **B. PROJECT JUSTIFICATION**

### **1) PROBLEM TO BE ADDRESSED - PRESENT SITUATION**

The development problem to be addressed by this project is that the globally important biodiversity of East Africa is under considerable and growing threat of depletion. There is inadequate capability within countries in the region to stem this depletion and to integrate conservation of biodiversity with development programmes, or to implement conservation programmes effectively and in partnership with local communities.

This statement encompasses a series of related subsidiary problems:

#### **i) An Inadequate Protected Area System**

While many sites are designated as protected areas of one kind or another there are significant gaps. Approximately one third of the closed forests in the Sango Bay/Minziro swamp forest ecosystem are unprotected. One third of the forest patches in the mountains of the Eastern Arc have not been reserved. Designating sites as protected areas does not necessarily result in the conservation of their biological diversity. In all three countries forest reserve status has diminished in the past decade with little implementation of controls in many areas. There is massive illegal logging in Minziro and the Pares. Both the swamp forests of Minziro-Sango Bay, and the dry montane forests of all three countries, are under immediate threat of degradation from over-use, fire and encroachment. The Eastern Arc Mountains forests, both the protected and unprotected patches, are threatened by excessive resource exploitation and encroachment.

Local communities are still largely excluded from Protected Area management, both in the planning and management of the resource, and in using the benefits from that management. Indeed, local people often bear the bulk of the costs associated with protected areas (foregone resources, crop damage etc).

#### **ii) Underlying or Root Causes of Biodiversity Loss**

Biodiversity use is regulated by the policies, laws and institutions of the natural resource sector (eg forestry, wildlife). However, biodiversity is lost through rapidly spreading agricultural land conversion, and through short-term resource over-exploitation. These are driven in part by agricultural and industrial promotion policies. In the absence of industrialisation, economic growth rests on the exploitation of natural resources - either through the conversion of natural lands to agriculture, or by increased use of forest and wildlife resources. Recent privatisation policies in the region without regulatory controls, have led to resource over-use, and to the exclusion of community access in many cases. At a local level, continuing population growth of 2.8 to 3.5% pa, coupled with poverty, leads to high demand for land for conversion. Local communities resist further plans for reservation of forestland as central government protected areas, as they lose both resource access and conservation responsibilities. Past reservation of hill forest in Kajiado led to rapid degradation of resources as traditional custodians lost access. Interestingly, in some of the cross border sites there still are strong traditional conservation ethics (the Loima Hills of Turkana for example). However, some national processes wish to install government controls.

#### **iii) Inadequate Regulatory and Institutional Context**

The main policy and regulatory institutions in all three countries are within central Government. Policies and laws are interpreted and implemented at Central, District and Local levels of government. While



there has been an increasing trend towards decentralisation of planning, decision making, and resource management from Central to District level government in the past years, and in theory from District to Village and local levels, in practice decentralisation needs further elaboration and as yet there is little clarity of institutional mandates and responsibilities. Until policies which empower people to work together with government are firmly in place and implemented, then further biodiversity loss is unavoidable.

#### **iv) An Inadequate Coordination Network at National and Regional Levels.**

At national levels separatist attitudes still prevail. Policies and strategies are rarely reviewed for compatibility, either horizontally (sector to sector) or vertically (national to district to community).

Regionally, there is growing interaction, both formal (eg Meetings of Heads of Environmental Agencies, Directors of Forestry annual meetings), and informal (eg networks of expertise working with non-timber forest produce). Sometimes these interactions can find solutions to cross-border problems, at other times solutions are more difficult (eg the hunting of elephant along the Tanzanian border of Kenya's Amboseli Reserve). Cross-border District meetings do take place, security being a common issue; fires and cattle rustling are aspects of biodiversity concern. Timber trade is not yet seen as a priority.

Regional agendas, however, are still ad-hoc. There are no mechanisms for policy or strategy review. Cross-border protocols in resource use and management rarely exist. The importance of the regional dimension to biodiversity loss reinforces the need for a regional initiative.

## **2) THE SITUATION EXPECTED AT THE END OF PROJECT**

It is expected that the rate of depletion of biodiversity at project sites will be reduced, and that Government agencies will have a stronger capability to deal with biodiversity issues at field and government levels with better trained and functional staff. Non-governmental institutions will be strengthened, and better equipped to interact with communities and governments.

Proving such reduced rates of loss will require project emphasis on acquiring baseline data from which to monitor change. Such data will have to include the resource itself (area, border integrity, cover, tree abundance); as well as product use (firewood extraction) and people attitudes and lifestyles. The project will develop both process and output indicators to assist such evaluation. The log-frame analysis (see Annex 4) lists verifiers which will be used to develop hardened indicators. More specifically, at the completion of the project, there will be :

- (i) **A policy and legislative environment conducive to the sustainable utilisation of biological diversity in the cross-border sites.** Local communities and national and district level sectoral development agencies will be engaged in collaborative resource management programmes, with political support and improved governance.
- (ii) **Participatory Resource Management Plans in place and under implementation in four cross-border biodiversity sites.** Key resources will be reserved as conservation areas under locally appropriate and supported management arrangements, including under traditional resource management systems or partnerships between traditional and government systems. Plans will specify sustainable use regimes with stakeholder user groups monitoring off-take. There will be valuation systems in place which include non-direct monetary values.

(iii) Developments providing alternative resources (eg fuelwood and poles) outside the conservation areas, and less damaging resource use practices in place inside the conservation areas. Local communities will have started to adopt agricultural activities with less impact on biodiversity, as well as adopt alternative income sources so as to reduce dependence on non-sustainable use of natural resources, and employ more sustainable natural resource harvesting practices.

(iv) The results of the project will be strengthened policies, bye-laws, traditional rules, consultation mechanisms, and ways of doing things at local, district, national and regional levels. The success of the project will be determined by its ability to develop and establish sustainable mechanisms for bringing natural resource supply and demand into alignment with each other, and creating a capacity within existing institutions to regulate this.

(v) Stronger regional linkages in biodiversity management, both at national levels and at district levels within the framework of the districts that are addressed in this project. Such linkages will provide models of activity elsewhere.

### 3) TARGET BENEFICIARIES

**The International Community.** As the overall goal of the project is to conserve biodiversity hotspots with global significance, the international community will be amongst the primary beneficiaries of the project. Many provisions of the Global Convention on Biological Diversity will be met as far as these specific project areas are concerned.

**Grassroots Communities.** The project facilitates the use of alternative resources by the local communities living close to the sites and it also looks into alternative livelihood systems for them. The immediate beneficiaries of the project will thus be the local people living around the forest areas within the project. It is expected that they will benefit from the prolonged availability of other forest biodiversity values which are currently under severe stress due to over exploitation. Initially, however, there may be reduced access to some resources, which will antagonise some special interest groups. The communities living in the villages adjacent to hill areas will also benefit from long term water supply to be achieved through conservation of the catchment areas of the forest ecosystem.

Women are a special group of focus in the project because of the local use they make of biodiversity resources at the focal sites. Examples are handicrafts in terms of basket and mat weaving, and also their role in firewood collection.

**National Level Beneficiaries.** National governments will benefit in terms of reduced recurrent costs in forest management as a result of peoples participation in natural resource management. Since the project attempts to provide alternative livelihood systems, it also addresses, though indirectly, the problem of poverty in the target sites. Sustainable resource flows will also provide benefit at national level.

**Implementing Institutions.** The various government, NGO and private institutions and individuals involved in implementation of different activities in the project, will benefit differently according to the inputs, and use of those input, that they will receive from the project. Some institutions will receive equipment and facilities that will create a better working environment, including district environment and natural resources offices. Staff from the natural resource, agriculture and lands departments of the target site districts and those from national level such as the forestry department will be involved in project implementation and will benefit in terms of participating in seminars and workshops, and receiving training.

#### **4a) PROJECT CONCEPT AND STRATEGY**

##### **Conceptual Framework**

Biodiversity loss is a direct result of decisions by individuals to convert natural habitat into other uses, such as agriculture or cash value. These decisions are made despite the same individuals' desire to maintain these resources for the variety of benefits they offer. Decisions are made by people attempting to maximize their returns on investment (time, effort, money). Decisions are influenced by perceptions of, and community behaviour towards, the comparative supply and demand of biodiversity products versus land for cultivation. Decisions are made within the local policy and regulatory framework, and the resource user's value system (Is it legal? Will I get caught? Are there social taboos? or other values? What other options are available to me?).

Each conversion is a microcosm of the conservation or development debate. Conservation slows down conversion. Often development forces speeding up the rate of conversion. Forestry to some extent epitomises conservation; agriculture, through conversion for cultivation, epitomises development. At broader levels the village and local, but also the district and national, decision making processes that create the context for policy, its implementation, and ultimately individual decision making, reflect the same debate. Changing the outcome of these decisions will involve making each part of the debate (conservation and development) feel that they stand to gain from the proposed intervention. There will thus be a WIN - WIN situation. Intervention inputs must be seen to address both sets of needs.

##### **Project Strategy**

The agreed biodiversity conservation problem which this intervention will address can be framed as:

There is a continuing loss of biodiversity within the selected sites because the demand for biodiversity resources (including land for conversion) is greater than the supply of those resources; and, secondly

There is no ability to regulate such demand and supply by either the regulatory agencies or by the local communities.

The project strategy is therefore as follows:

The project, recognizing the need for donor collaboration, with the GEF intervention focusing more on the forest and wetland biodiversity resources themselves, and other donors supporting the improvement of agricultural practices in the communities around the biodiversity sites, will:

provide alternative resource options, such as ecotourism where natural resources management areas will be initiated by the project; and management strategies which strengthen conservation capability within both communities and agencies, and strengthen the linkages between them.

use entry points into the local district decision making systems (with linkages downwards to the village communities, and upwards to the central government policy making systems). It will directly target the need to create an appropriate local policy and decision making environment, and will address the key concern of developing sustainable conservation initiatives to reduce biodiversity loss at these sites.

The basic strategy of the project is to provide a broad-based integrated package of support to the government and non-governmental agencies dealing with biodiversity in each country. and within the region That support is designed to be sustainable by host institutions in the longer term.

## **Project sites**

Four globally important biodiversity hotspots in the region were selected on the basis of:

- international recognition as of global biodiversity importance
- having shared transboundary biodiversity resources
- currently being inadequately protected
- representing a range of ecosystem types from which lessons can be generalized.

Details of these sites are in Annex 1, shown on the Map in Annex 1, and are summarized below:

The four sites lie across national boundaries and three distinct cross-border characteristics can be identified:

- |                             |  |
|-----------------------------|--|
| Continuous resource systems | - the swamp forests go across the border,            |
| Shared resource problems    | - illegal timber harvesting cross-border,            |
| Continuous human systems    | - social, cultural, economic systems ignore borders. |

Conservation of these sites requires action which is coordinated among countries. Management plans and systems need to be compatible and local policies need to be harmonised. The three countries recognise this and seek a common solution to biodiversity problems at these four sites through shared interventions. This project will provide those interventions. and facilitate common action.

## **4b INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS:**

Whilst this is a regional project, most activities are undertaken in country at national and especially at district level. The project therefore will be carried out using National Execution modalities by the Governments of Kenya, Tanzania and Uganda. The project thus has four elements: three nationally executed sets of activities (one in each country) and one regional set of activities. Project activities will be executed simultaneously in all three countries.

Each country has designated an environmental agency to be the National Implementing Agency to assume responsibility on behalf of Government for discharging the role and responsibilities of Government in the implementation of this GEF project. The National Implementing Agencies in the respective countries are :

Kenya	:	The National Environment Secretariat.
Tanzania	:	The National Environmental Management Council.
Uganda	:	The National Environment Management Authority.

To assist project implementation in countries, each agency will create three project structures:

A National Project Steering Committee at high level, to give overall guidance and cross-sectoral coordination;

A Project Management Unit, headed by a National Project Manager (NPM), who will be a salaried project employee, and who has responsibility for project management.

And, at field level (referred to as sites, where a site may be one or two adjacent districts), there will be a Field Project Officer (FPO) and a Site Steering Committee.

The National Implementing Agency (NIA) has overall implementation responsibility for the project, and so maintains a supervisory role over management activity. Where appropriate, the Implementing Agency may appoint a staff member as National Project Coordinator (NPC) to ensure continuity for the supervision process.

Project activities at the national level will be monitored by the National Project Steering Committee comprised of representatives from the Ministries of Finance, Planning, and Environment; the local UNDP offices; and representatives of key national agencies and institutions involved in project implementation. ToR for the NPSC are in Annex 3a.

The project activities to be implemented at national and site levels will, where necessary, be sub-contracted by the Implementing Agencies for implementation by other appropriate organizations including: Government Ministries, Departments and Parastatals; private institutions and relevant national and international Non-Government Organisations (NGOs). Contractual arrangements will be drawn up by the Implementing Agencies in conformity with established rules and procedures, and could include, but not exclusively, Inter-Agency Letters of Agreement, Memoranda of Understanding, Government implementation of project components, formal contracts, service contracts, etc.

At the site level, the project inputs and supervision will be channeled through a Field Project Officer working under the direct supervision of the National Project Manager and with the general guidance of the site steering committee.

Regional Integration and Coordination will be achieved through a Regional Project Steering Committee, supported by a Regional Technical Adviser, recruited through an international agency with expertise in the sector. The Food and Agriculture Organisation of the United Nations (FAO), has been identified to play this role. Terms of Reference are in Annex 3. The host country for this regional project is the United Republic of Tanzania, and the Regional Headquarters will be located in Arusha, Tanzania.

The generalised project structure and linkages are shown as an organogram in Annex 5. Country details differ.

Implementation principles include:

- National execution and implementation, with regional collaboration.
- A 'lean' Project Management Unit, which develops and oversees implementation largely through contractual mechanisms with technical institutions and individuals of comparative advantage. The PMU would undertake some activities directly.
- Considerable day to day implementation autonomy, within approved work-plans and budgets, to be given to Project Management Units, under the supervision of the Implementing Agency and Steering Committees. Detailed Terms of Reference are written for each post and institution and are in Annex 3a-f.
- Involvement of all stakeholders including community groups. Local ownership (District and Sub-Districts, CBOs) to be stressed in decision making processes. Project activities would build on existing structures in Districts.
- Modalities for rapid approval processes and disbursement of funds to be sought, with the provision of adequate control and monitoring systems.
- Flexibility in project design and management are important in dealing with changing administrative structures. Feedback mechanisms through adequate monitoring of well chosen indicators will be important tools. National Project Steering Committees, and task-forces to look at technical progress have a key role to play in such flexibility.

Contracts are of such importance that they are discussed in more detail:

- Contracts would be awarded on the basis of technical capability, a proven track record, AND, where appropriate, sustainability of activities at district and field levels. This is seen as an innovative mechanism seeking both technical competence and local level capacity building.
- A matrix showing potential contracts against log-frame activities is shown in Annexes 8,9, 10 and 11. More detailed outputs expected from such contractual activities are shown for larger contracts.
- Indicative project costs shown in these annexes are based on general pricing of monthly expertise, travel costs, reporting and field operational costs, and scaled to show the need and priority of activity in the project. Detailed pricing will be done in conjunction with potential contractors and presented in the Inception Report (see H below).
- Contracts for the first year activity will be finalised in the first months of the project and approved by National Implementing Agencies.

#### **Country Issues:**

**Kenya** The Project will be implemented by the National Environment Secretariat in the Ministry of Environment and Natural Resources with the assistance of a National Project Steering Committee and a Project Management Unit. NES will supervise the management and coordination of project activities.

Within the project implementation process, the Ministry of Finance will monitor financial disbursements of all project funds to all implementing agencies according to government budgetary procedures. The Ministry of Planning and National Development, in its development coordination role, will ensure project activities are incorporated within the public investment programme and the budget planning process. Non government institutions may receive funds directly from UNDP for the purpose of implementing specified project activities.

In each of the three districts covered by the project there will be a Field Project Officer to assist the NPM in implementation of project activities at district level. District level coordination and oversight will be provided through a Site Steering Committee chaired by the District Commissioner. Committee composition is in Annex 3.

**Tanzania** The project is nationally executed and follows procedures governing UNDP projects in Tanzania under this modality of execution. The National Environment Management Council (NEMC) is the implementing agency. In order to achieve efficient project implementation, NEMC will set up a project management unit to be headed by a Project Manager. The PMU will be located in Arusha, as agreed by the three countries. A National Project Coordinator with continuous supervisory role to the PMU will be designated in the implementing agency to link the PMU, with UNDP and other government agencies. The NPM will be supported by a Field Project Officer to be stationed in each of the three site districts viz Monduli, Same and Bukoba.

Steering Committees at both district and National levels, with representation of NGOs and Community groups, will ensure cross-sectoral coordination and broad, based implementation modalities.

A substantial proportion of project outputs, will be achieved through contractual agreements with institutions which provide comparative advantages in terms of both technical and sustainability aspects at site level. District staff, NGOs and CBOs will especially be targeted for the implementation of district and community focused activities.

**Uganda** The National Execution Unit (NEX) of the Ministry of Planning and Economic Development is the Institution responsible for financial and substantive monitoring of UNDP supported projects. As such, NEX will oversee the execution of this project. NEMA, the agency responsible for biodiversity coordination and implementation, in consultation with NEX will set up a National Project Management Unit, headed by a National Project Manager supervising Field Project Officers. Steering Committees at national and site level ensure cross-sectoral linkages, and representation from NGOs, Districts, Communities, as well as in the regional activities.

There are two field sites in Uganda:

1. Based in Rakai, comprising Rakai and Mbarara Districts.
2. Based in Moroto, comprising Moroto and Kotido Districts.

The distribution of significant biodiversity values dictates that most project activity will be in Rakai and Moroto.

Actual Implementation would be through agreements with technical organisations, including government agencies at central and local levels, and drawing on national/regional expertise. They would undertake studies and plans, develop training etc. Local government agencies and organisations (NGOs, CBOs) with sectoral and coordination mandates would implement the provisions of these plans.

### **Regional Implementation**

The regional activity will be implemented by an international agency (FAO of the United Nations), through an Inter-Agency Agreement with UNDP, based on the provisions of this project document. The RTA will coordinate the regional activity, and liaise with National Implementing Agencies to coordinate the integration of inputs and ensure that regional activities reflect national priorities. ToR are in Annex 3h.

Regional Activities include both coordination activity (Regional Steering Committees and Technical Planning Committees, Evaluation Missions), and technical inputs to be developed through contractual mechanisms and consultancies. Such consultancies and contracts to be from within the East African region where possible. The RTA will be based in the Project Management office of the host country, Tanzania, and will be answerable to the Regional Project Steering Committee and to his/her employing agency, for the implementation of regional activities within the project.

### **5) REASONS FOR ASSISTANCE FROM UNDP**

UNDP is the Implementing Agency of the free-standing technical assistance projects which are financed under the Global Environment Facility (GEF). This project falls into this category and it has been prepared in close collaboration with and with support from, the UNDP.

All three countries are eligible for United Nations and World Bank support, are participants in the GEF, and have ratified the Convention on Biological Diversity. All three countries have NEAPs, Environment Policies, and Environmental Legislation processes, albeit at different levels of development, and are developing Biodiversity Strategy processes. All three countries are developing documents setting out priority areas for investment in the field of biodiversity. These processes confirm the global literature that identifies the selected areas as biodiversity hotspots, and identify these sites as priorities for national action. The GEF focal points in all three countries have confirmed that this proposal is a priority for GEF financing.



## **6) SPECIAL CONSIDERATIONS**

- a) The project assists all three countries in the implementation of the Convention on Biological Diversity. In particular it promotes regional cooperation (*Article 5*), establishes sustainable development around protected areas (*Article 8*), develops policy and fiscal incentives for conservation (*Article 11*), includes training (*Article 12*), and technical and scientific cooperation (*Article 18*).
- b) The project addresses the root causes of global environmental deterioration through reducing institutional and policy weaknesses, and by including capacity-building within local community and agency institutions to manage sustainable resource usages.
- c) The project encourages international cooperation, and contributes to building regional cooperation.
- d) The issue of 'sustainability' of the project activities is of particular importance; as is people's participation, including that of women. The basis of the project is to build partnerships, mechanisms and capacities within existing institutions. No new institutions will be created, instead existing institutions will be strengthened.

Sustainability is dependent on both the success of project design and implementation, and on Governments at all levels maintaining their baseline financing, from both their recurrent and to a limited extent their development budgets. Governments have repeatedly affirmed their commitment to this project and to the pattern of activity on the ground in the target sites. District and local governments have expressed their support, as have the local communities consulted during the preparation process.

The project addresses the problem of sustainable use of biodiversity resources including activities performed by women or aspects which address directly a problem affecting women most. Handicrafts such as mat and basket weaving are to be evaluated with the objective of making them more profitable and sustaining.

- e) The project approach - directly addressing the individual decision making environment; working at district levels with backwards and forwards linkages into local and national planning, decision making, and regulatory systems has immediate application to other areas in the Region, and elsewhere in the developing countries
- f) The project focuses on poverty alleviation by working towards creating a balance between resource supply and demand, including developing alternative livelihood systems with less stress on existing resources. The project complements efforts made by other donors in the broad field of conservation and effort to combat poverty.

## **7) COORDINATION**

Coordination of the project at national level will be achieved through district/site and national steering committees. At regional level, there will be a regional project steering committee (RPSC) supported by a regional technical planning committee (RTPC) comprising of the national project managers and coordinators from the NIAs of the three countries.



The project will reach relevant communities through close coordination with community groups, organisations and or NGOs. Additionally, the project will make interventions through the relevant line departments which through their normal extension programmes do reach the communities in the project area, among others.

National level institutions, including NGOs and consultancy groups with competence in specific identified activities within the broad area of biodiversity and wetlands, will be contracted to carry out those activities. The forestry department and the environment sector in its broader sense, will be consulted very closely during the implementation, particularly on matters of policy and joint or participatory management schemes. Due to processes of devolving powers from the centre to the local level now in progress in the countries, coordination arrangements will have to be flexible in order to accommodate any new arrangements.

## **8) COUNTERPART SUPPORT CAPACITY**

The three host governments have demonstrated their commitment to biodiversity conservation through their accession to international conventions and strategies dealing with conservation (eg, World Conservation Strategy, CITES, Ramsar Convention on Wetlands, Biodiversity, Desertification etc.) and their investment in institutions to preserve biodiversity at the national level.

This project is not developing 'new' institutions. It uses existing capacity to implement the various activities that address the question of imbalance in resource supply and demand and the problem relating to lack of capacity to allow sustainable use of natural resources. At the time of carrying out many reforms, many employees in conservation sectors have been retrenched. However, there is increasing awareness and justification for strengthening the environment sector which hitherto had never been represented at lower levels of government. The project will therefore strengthen capacity, where necessary to achieve sustainability in biodiversity conservation in the site districts and at agency level.

Grassroots organisations in the site areas which are weak and formally unregistered, are the key institutions for sustainability of resources in the target areas. The capacity of these will be examined for purposes of improving their performance.

## **C. DEVELOPMENT OBJECTIVE**

The development objective stems from the perception of the development problem. The problem is the inadequate capability of both government and community institutions to conserve the globally and nationally significant biodiversity of East Africa which is still under threat.

The development objective, therefore, is:

**Development Objective:** To reduce the rate of loss of forest and wetland biodiversity in specific cross border sites of national and global significance in East Africa

## **D. IMMEDIATE OBJECTIVES and OUTPUTS**

**Immediate Objective A:** To establish an environment around the cross-border sites where local agencies and communities can promote sustainable use of biodiversity.

**Immediate Objective B:** To bring into balance the demand and supply of natural resource products, including biodiversity, at the cross-border sites.

**Measures of Success at Objective level are:**

**Objective A:** An enabling environment in place within focal sites, which has permitted both strengthened agencies and strengthened community institutions to develop sustainable use strategies for biodiversity values which benefit all stakeholders.

**Objective B:** Site management plans which target both resources and alternatives are being implemented by communities and agencies, with cross-border consultations. The implementation of these plans serve to protect resources and reduce loss of biodiversity.

**Activities** fall within seven **Outputs** addressing the two **Immediate Objectives**. These are described in detail in the Logical Framework Matrix (Annex 4) and are summarized below.

**Objective A** deals with the creation of an environment in which agencies and local communities can work together to create sustainable use strategies for biodiversity resources. Separate Outputs address:

- 1 Creating the ability to interact with local people from within regulatory agencies;
- 2 The empowerment of local communities;
- 3 Developing a regionally compatible policy / legislative framework to allow interaction.

**Activities** include the development and implementation of processes that bring together traditional local and modern agency perspectives on a range of activities including land use and tenure systems, resource and biodiversity values, management systems, decision making systems, and associated incentives, regulatory structures, policy instruments and the like. Success will be dependent on the development of a fully participatory and cooperative process of learning, exchange and sharing of information. Hence significant emphasis will be placed on breaking down traditional barriers between communities and agencies and training in participatory techniques will be included for both communities and agencies. Policy, legal and institutional restructuring and reform will be carried out in order to institutionalize the cooperative processes established.

**Objective B** deals with the issue of balancing demand and supply of biodiversity products within the target sites. Outputs address:

- 1 Development and implementation of management plans which include mechanisms for the sustainable harvesting of key products.
- 2 The development of alternative supplies of major resources (fuel and poles)
- 3 The adoption of livelihood strategies by the stakeholder communities that reduce natural resource dependence
- 4 The development of strategies to address regional and transient forces, in particular those associated with pastoralist survival strategies.

**Activities** include the identification and implementation of alternative community based resource management/livelihood strategies, together with associated monitoring and assessment systems for measuring resource change. While identification and development of these will be carried out under this project through the established community-agency partnerships, implementation will be undertaken by a range of local development actors, many funded through other bilateral and multilateral programmes. Close ties with these have been established during the project development process and additional leverage is anticipated once programme activities start.

## 2) Donor Inputs - This GEF / UNDP Project

The general pattern of input is similar in all countries, reflecting the similarity of both problem and approach to be used to overcome those problems. Detailed descriptions of these inputs are provided for in Annexes 7, 8, 9, for Kenya, Tanzania and Uganda respectively, and for the regional activity in Annex 10.

Inputs are required in order to:

- Provide staff for the Project Management Units at both national and site levels. Staff inputs are required for Professional staff and administrative support staff. Justification and schedules of duties are in the annexes. ToR for professional staff are given in Annex 3.

Summaries of staffing levels are in the following table:

Staff Position	Kenya	Tanzania	Uganda
PROFESSIONAL POSTS			
National Project Manager	1	1	1
National Technical Officer	1	1	1
Field Project Officers	3	3	2
ADMINISTRATIVE POSTS			
Administrative Officer	1	1	1
(Sr) Account/Admin Assist	(1) 3	1	3
Secretaries	4	4	3
Filing Clerk / Typist	1		1
Messengers/Cleaners	5	4	3
Drivers	6	8	8

- Inputs are needed for equipment support - vehicles, furniture, computers etc, and field equipment including audio-visual inputs, scientific equipment etc. National execution modalities use two UNDP budget lines: Line 4500 for equipment purchased locally, Line 4700 for equipment purchased through international procurement. This will be handled by UNDP Country Offices. Such equipment has been costed at IAPSO rates.

Equipment will be used in conformity with UNDP - Government rules and regulations. Steering Committees will decide on the allocation of equipment after the project period, using criteria of institutional sustainability.

The following table shows the pattern of major items of project equipment within the project. Justifications are provided for in the Annexes.

- There are provisions for project operations, running of vehicles and equipment, office maintenance, publication of reports and sundry expenditure (communications, utilities etc).

NOTE that the Annexes contain indicative schedules of inputs. Details will be confirmed within the first months of project operation, and included in the Inception Report, Steering Committees have the task of overseeing work-plans and schedules of inputs.

### Regional Inputs

Inputs are described in Annex 10, and outlined here, under UNDP budget headings.

**1100. Personnel : Long-term expertise.** The project provides an RTA with suitable technical and administrative experience, see Terms of Reference in Annex 3. Input will be for 34 months, with declining input as from year 1.

**1151. Consultancy :** The project provides 11 mm of international consultancy. These are a total of 5 months in each of Tanzania and Uganda and 1 mm in Kenya, in the fields of Indicator development in ICDP frameworks; and alternative resource development, (see details in Annex 11).

**1300. Administrative Support Personnel.** A secretary and driver are provided for, at national project rates.

**1500. Duty Travel Funds** are provided for to allow field and national travel for the RTA.

**1600. Missions** The project provides for funds for both mid-term and final evaluations; administered through this regional component,

**2100. Contractual Arrangements and Consultancy.** Four contracts are provided for:

A contract to provide analysis and support to regional policy issues including economic valuation, and incentives issues.

- Three contracts, one each to national universities in the region, to develop regional training courses in aspects of biodiversity conservation.

**3000. Training.** Most training is provided for via national activities, and three CSAs within this regional component. Some training is done regionally however:

**3100. Fellowships** There are funds for three post-graduate fellowships for Project Personnel.

**3200. Study Tours** There is support for project staff to undertake study tours overseas.

**3300. In-Service Training and Workshops** The project provides funds for six formal workshops addressing regional issues concerning biodiversity.

**4000. Equipment**

**4100 Expendable** This includes minor office and field equipment and books.

**4200 Non-Expendable** The project provides \$ for a vehicle, computers and furniture.

**5000. Miscellaneous:**

**5100 Operations / Maintenance.** This covers operation of vehicles and office equipment.

**5200 Reporting Costs.** This covers Terminal Reports, Annual and Technical Reports and Newsletters.

**5300 Sundry.** This provides for communications, hospitality, stationery, etc.

**5400 Support Costs : AOS.** These are costed at a flat rate of 8% on all budget lines.

**3) OTHER DONOR INPUTS**

**a) General**

Within the environment sector the project will work with a variety of existing donor programmes addressing forest and watershed conservation, wetlands conservation. In several sites donors provide support to agricultural development and issues surrounding pastoralist land-use, notably Netherlands and DANIDA. The project concept is that this biodiversity project concentrates on its primary area of expertise - resource conservation, and seeks support from other agencies in the field of rural development and agricultural improvement.

The project will also liaise with initiatives in other sectors, in particular UNDPs Governance and Poverty Alleviation Programme, and Government efforts to strengthen Districts and to empower local communities. A series of donor discussions have taken place during the preparatory process and once this project is underway, other donors may realign their programmes to support the biodiversity work more closely.

The project directly complements the GEF Lake Victoria Environmental Management Project which does not specifically address the Sango Bay - Minziro Swamp Forest. The project will facilitate involvement by the focal districts in the preparation and implementation of the national Biodiversity Strategies and Action Plans currently being prepared in all three countries with GEF World Bank support.

**b) Base Line Donor Activity**

Donor supported activity is listed in Annex 2. The approved GEF Proposal which initiated this Project Document stressed the inter-relationship between the baseline activity and this incremental support. Both inputs work towards the common goal of resource conservation and wise utilisation. Project preparation activities discussed coordination mechanisms with other activities at District and National authorities. The need for cooperation and coordination was stressed.

At District level there are mechanisms for such coordination, starting from the DDC. Steering Committees for all project activity in a district should ideally be interlinked. Preparatory discussions saw considerable synergy between projects, with this GEF activity focusing on conservation of resources and the rural development projects focusing on rural development, agriculture, poverty alleviation and income generation. It is anticipated that Project Management Units, with the support of Site Steering Committees will develop strong linkages with such support, and that mechanisms for coordination will be worked into the Project Inception Report.

The need for cooperation will be incorporated into the contractual mechanisms that will be developed with implementing institutions within this project. Cooperation, not competition, must be a project principle.

### **c) Co-Financing**

The USAID PERM project in Tanzania (Participatory Environmental Resource Management) starts in late 1997 in two areas : North Maasailand including Monduli District, and Tabora Region: specifically Ugalla Game and Forest Reserves. The principal focus is sustainable and equitable management of the wildlife resource, especially that which uses community land. Natural resource management in Monduli District includes many concerns about communal involvement in wildlife use and management. These concerns affect the implementation of this GEF project. Discussions with PERM in Tanzania have shown the benefit in working closely. PERM therefore, provides a sum of 100,000\$ to investigate three aspects of wildlife community interaction. These aspects originate from the log-frame, and were listed in the GEF Proposal, and are:

- |   |           |   |
|---|-----------|---|
| 1 | Output A2 | A study of traditional wildlife use and ownership in Monduli (40,000\$)                                 |
| 2 | Output A3 | An analysis of wildlife policy issues in Monduli (30,000\$)   |
| 3 | Output B4 | An assessment of wildlife - forest biodiversity relationships on Monduli District mountains (30,000\$). |

The project inception report will include details of how these activities will be integrated into project activity.

### **F) RISKS**

The project is designed for 5 years in the first instance with a short lead-in and final evaluation and tapering phase. However, it is recognized that sustainable resource use systems and sustainable biodiversity protection systems which involve local people and their community organisations cannot be achieved in a short time span. While the major components can be put in place in a five year period, it is anticipated that ongoing low levels of donor support will be needed to nurture and monitor the resulting systems. Since this ongoing support will require very little financial input from donors, and will be primarily a function of district and local level interventions, no difficulty is anticipated in either absorbing these costs into ongoing baseline donor interventions, or obtaining special support.

The values associated with biodiversity are widely accepted by the central governments of the region and there is little risk of change in government commitment. However, commitment at district and local levels is less clear, and hence the need for this project. During the preparatory work levels of participation by district governments and their development agencies was high and they indicated commitment to the project. Since the project is specifically designed to increase these commitments, risks is subjugated to effective implementation.

More risk is associated with the need to formalize the empowerment of both districts and local communities. While governments increasingly espouse the need for empowering people to manage local resources, action to put in place appropriate policy and legislative frameworks has been limited. A key risk is that Governments delay the implementation of such mechanisms, and that communities may not accept what is offered. As empowerment is a globally accepted paradigm, and the proposal targets empowerment mechanisms in several ways, it is felt that the risk is acceptable.

Resource pressure is driven by rapidly expanding populations with no other income source. If population growth and demand continue to outstrip resource production (natural growth and project supported alternatives) then the project will not succeed. However, this is the problem facing biodiversity conservation worldwide. In this case the only known alternative is a return to the enforcement mechanisms that have failed. Addressing this 'risk' is the fundamental purpose of the project.

The Log-Frame Matrix in Annex 4 contains a set of assumptions which the project will have to face. Project management will, in the first six months, design a set of indicators to show that the risks / assumptions are being overcome during project life. Indicators will include targets as well as process indicators. Details will be given in the Inception Report and first PPER. Consultancy assistance is seen as necessary to develop such tools. As much activity will be implemented through contractual mechanisms, contracts will contain provision for indicators of success.

#### **G) PRIOR OBLIGATIONS AND PRE-REQUISITES**

No pre-requisites are envisaged.

#### **H) PROJECT REVIEWS, REPORTING AND EVALUATION**

This is a regional project, covering three countries, several agencies in each Government, and NGOs. Project review is thus of extreme importance, and an integral part of the project activity.

Appraisal of project performance, and hence review and subsequent reporting, will take place at many levels in the project: component, theme (eg research) and national activity.

**Monitoring and Use of Indicators** This is discussed above under risks.

#### **Tripartite Monitoring Reviews; Technical Reviews**

The project will be subject to periodic review in accordance with the policies and procedures established by UNDP for monitoring project implementation.

The National Project Steering Committee (NPSC) in each country will have responsibility for the monitoring and evaluation of project components in that country. Annual Tripartite Reviews (TPR) will be held annually in each country.

**Evaluation:** This project will be subject to evaluation, in accordance with the policies and procedures established for this purpose by UNDP. The organisation, terms of reference and timing of the evaluation will be decided between the UNDP, FAO and NPSCs. Such evaluations will take place towards the end of the second year and near the end of the project. These reviews are budgeted for. The procedures of GEF will be taken into consideration in the organisation of the evaluations.

**Progress Reports:** This project will maintain a rigorous standard of reporting. Key outputs will be:

**Periodic Progress Reports:** Adequate reporting formats will be adopted, and training inputs used.

- 1 Monthly summary reports from FPOs at District level.
- 2 Monthly financial summaries from Project Management Units
- 3 Quarterly reports from Project Management, describing progress with process and output.
- 4 Annual PPERs, using UNDP formats, to go to Tri-Partite Review processes.
- 5 Discussive annual reports to go to a wider audience.
- 6 Contractors will be required to furnish quarterly reports, following a schedule set up by project management



### Occasional Reports:

- 7 Inception Report. To be completed within 6 months of project start-up.
- 8 Terminal Report. To be submitted as a single cohesive regional document three months before project closure. UNDP formats to be used.
- 9 Technical Reports will be compiled by Contractors and Project staff as required. A sufficient output of good quality professional reports on biodiversity issues is seen as a key output of this project.

### I. Legal Context

This project document shall be the instrument (therein referred to as a plan of operation) envisaged in Article 1 paragraph 2 of the Agreement (as paragraph 2 of the Assistance Agreement) between individual Governments and the United Nations Development Programme concerning assistance under the Special Fund Sector of the United Nations Development Programme signed by the parties on the dates mentioned below:

Kenya	1 October 1964 (Special Fund Agreement).
Tanzania	30 May 1978.
Uganda	29 April 1977.

### J. Budgets

The overall system boundary for this project has two sets of financial inputs. These are:

The **baseline** inputs, or business as usual scenario, is expected to continue for much of the five year project period. This includes GOVERNMENT inputs, and other DONOR inputs. Donor funding for relevant activities is referred to as parallel financing. Key donor inputs are for income support strategies including rural development and agriculture. The baseline includes the contribution of local, district and central organisations and agencies. The GEF supported project builds on these existing structures.

The **project** inputs. These are new activities -ADDITIONAL -to the baseline. They include GEF financing, and government counterpart financing to the project (largely in kind - governments have significant contributions to the baseline)., plus potential leveraged additional funding. It is possible that further leveraged funding could be available after the project is operational.

These financial resources are costed (US \$) in the table below :

Finances	Kenya	Tanzania	Uganda	Region **	TOTAL
Baseline	1,370,000	1,380,000	1,220,000	100,000	4,070,000
PROJECT:					
GEF	3,339,800	3,378,600	3,544,600	2,341,000	12,655,000
Govt*	390,000	380,000	430,000	0	1,200,000
Addition ***		500,000			500,000
TOTAL	5,150,800	5,638,600	5,194,600	2,441,000	18,425,000

\* Government contributions : inputs in kind, monetized here.



**\*\* Regional funds are those coordinated regionally so as to ensure effective cross-border linkages. This includes funding for a regional advisory unit, for policy review, and for networking and training. The regional baseline includes the East African Cooperation Secretariat.**

**\*\*\* Additional funds from USAID in Tanzania, are confirmed at 100,000\$ in the first year.**

The baseline is calculated as 4.070 million \$ over the 5 year period for biodiversity support activities at the four sites, and for the central/district inputs that support the site activity. This varies between countries, depending on donor input (eg less donor involvement in Uganda); and on national investment. This excludes costs of making available the protected areas and the inputs of local people.

The incremental cost is that set of inputs needed to gain sustainable biodiversity conservation. This was costed at 12,755,000 \$. This includes a sum of (initially) 100,000\$ being additional funding from USAID in Tanzania, going to wildlife biodiversity issues within the pastoralist settings in Maasailand.

This leaves a total of 12,655,000\$ for GEF input.

Within the framework of the overall project described above, are two detailed sets of budgets are presented in this project document:

First, there are the Government Budgets, which are in kind. These are given in this document for indicative purposes only. This budget is not accountable in financial terms to the United Nations.

Second, there are the UNDP budgets for each country and for the regional element. The regional budget also indicates, where possible, the country in which funds will be spent

**1 National Budgets.** Inputs are in kind, totalling 1.2mill US \$ for the region. This is detailed in section E above.

**2 UNDP Budgets.** An overall budget table is shown in the following pages to indicate the pattern of fund distribution between personnel, contracts, training and equipment in the project. This is for indicative purposes only.

Functional budgets are the three country budgets and regional budget (Annexes 11a-d). These are separate accounting budgets. Country budgets follow UNDP National Execution guidelines. The Regional Budget follows UNDP/Agency guidelines. The regional budget shows separate amounts for each country, and allocation of expenditures will be done against these separate sub-lines.

It is stressed that these are FIXED GEF Trust Fund projects not standard IPF/CCF UNDP projects. Mandatory cost increases within either NEX guidelines or UN inputs cannot be met by external GEF sources and must be accommodated by changes within project budget lines. It is the purpose of annual TPRs to approve such change.

**Audit.** All funds disbursed through national execution modalities in this project are subject to audit by government Auditor-Generals. Project Management and UNDP will ensure that adequate modalities are in place. Funds for contractual activities will be audited according to rules in force within UNDP. Annex 12 " Audit Requirements for Government Execution of UNDP Projects", provides details of these rules, which are to be considered an integral part of this project document.

**OVERALL PATTERN OF DISBURSEMENT PER COUNTRY (US \$)**

<b>Country</b>	<b>Total</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
Kenya	3,390,800	1,092,881	784,625	608,823	523,250	381,221
Tanzania	3,378,600	1,155,745	875,600	595,010	411,671	360,574
Uganda	3,544,600	897,484	1,054,384	684,346	526,922	381,464
Region	2,341,000	649,620	674,460	469,260	294,624	253,035
Total	12,655,000	3,795,730	3,369,069	2,357,439	1,756,467	1,376,294

Details of the allocation of regional funds to national totals are shown in Annex 10.

**OVERALL PROJECT BUDGET: THIS IS INDICATIVE; IT IS NOT AN ACCOUNTING DOCUMENT. (US \$)**

Line	Description	Total	Kenya	Tanzania	Uganda	Region
1100	INTERN PERSONNEL	652,000	0	0	0	652,000
1300	SUPPORT STAFF	1,171,900	392,600	362,240	381,840	42,750
1500	TRAVEL	847,970	250,000	336,000	187,270	74,700
1600	MISSIONS	120,000	0	0	0	120,000
1700	NAT. PROFESSIONALS	1,410,000	463,200	523,600	423,200	0
1999	TOTAL PERSONNEL	4,209,400	1,105,800	1,221,840	992,310	889,450
2100	CONTRACTS	4,267,302	1,125,700	908,402	1,395,200	838,000
3100	FELLOWSHIPS	54,000	0	0	0	54,000
3201	STUDY TOURS	336,000	100,000	50,000	60,000	126,000
3301	WORKSHOPS	510,000	190,500	160,000	70,000	90,000
3900	TRAINING TOTAL	900,500	290,500	210,000	130,000	270,000
4900	EQUIPMENT TOTAL	1,577,730	435,500	651,000	433,130	58,100
5100	OPERATIONS	1,022,952	289,000	244,952	425,000	64,000
5200	REPORTING	116,500	25,000	30,000	26,500	35,000
5300	SUNDRY	86,841	20,539	14,000	39,260	13,042
	SUB-TOTAL	12,181,225	3,292,039	3,280,194	3,441,400	2,167,592
5401	UNDP SUPPORT SERVICES (3%)	300,367	98,761	98,406	103,200	-
5402	FAO SUPPORT SERVICES (8%)	173,408	-	-	-	173,408
99	TOTAL BUDGET	12,655,000	3,390,800	3,378,600	3,544,600	2,341,000

Note: The purpose of this budget sheet is to indicate the pattern of expenditure within the overall project activity. It is NOT a functional budget, subject to annual modification. Those budgets are separate for each country and are shown in Annex 11.

## **EAST AFRICAN CROSS BORDERS BIODIVERSITY PROJECT**

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**ANNEX 1**  
**DETAILS OF PROJECT SITES AND MAP**  
**DISTRICT LEVEL GLOBAL BIODIVERSITY VALUES ADDRESSED BY THIS PROJECT**

**Cross Border Sites and District Entry Points**

System	Specific Sites	Focal Districts
Eastern Arc Forest	Taita Hills Kenya Pare Mountains Tanzania	Taita Taveta Same
Dry Mountain Forests North	Loima Karasuk Kenya Moroto Napak Uganda	Turkana Moroto & Kotido
Dry Mountain Forests South	Kitumbeine/Monduli Tanzania Oljoro Orok Kenya	Monduli Kajiado
Swamp Forests	Sango Bay - Uganda Minziro - Tanzania	Raika & Mbarara Bukoba

**1. THE EASTERN ARC FORESTS: PARE (Tanzania) & TAITA (Kenya).**

The forests of the Eastern Arc (a chain of block mountains) are globally acknowledged as one of the most important biodiversity sites in Africa, with exceptional diversity and endemism within several taxa (plants - endemic genera and species, birds, amphibia, invertebrates). This proposal targets two sites within cross border districts, which have attracted less attention in the past. The **Taita Hills** in Kenya must be East Africa's most threatened important biodiversity site, with several tiny fragments of remaining forest with 12 strict endemic taxa! On Tanzania's **Mountains** there are similar forest patches surrounding a larger block - Chome FR of 143 sq km. These moun. hill blocks are well watered and relatively fertile. Population pressures are high with consequent growing demand for land and resources. The mountain forests are important catchments - for human use as well as for wetlands and seepages important as biodiversity foci. The two sites offer very similar problems, with different histories of attempted conservation actions. Cross-border cooperation could assist in finding optimum solutions.

**2. THE DRY MOUNTAIN LINKAGES (NORTH): TURKANA (Kenya) To MOROTO (Uganda)**

The Loima Hills covering 3,000 sq km in western Turkana District, rise to peaks of 3,000m with a closed mist forest of Juniperus, Podocarpus, Olea. Now under threat from commercial logging they are of extreme importance as dry season grazing for Turkana pastoralists, with well established traditional conservation/utilisation practices for water, woody vegetation & grass. Similar mountain forests include Karasuk and the Uganda/Kenya escarpment. Riverine forests along the Kerio and Turkwell rivers have similar biodiversity values and problems.

The forests of Moroto/Kotido Dts across the border have identical values and threats. They rank highly in the Uganda Forest Biodiversity Inventory as they are very different from the wetter Lake Victoria & Western Albertine Rift forests. They are drier with a different tree and avifauna etc. Moroto, Kadam and Napak Forest Reserves cover some 1085 km<sup>2</sup>, 399 km<sup>2</sup> and 203 km<sup>2</sup>. Altitude ranges from 960 to 3084 for Moroto, less for Kadam and Napak. The flora and fauna of these reserves is characterised by the high number of rare and or restricted-range species (notably in Moroto). In terms of the 'conservation value' of the species represented, Moroto is in the top 10% of sites for all taxa, 145 species are classified as restricted-range (species recorded from no more than five Ugandan forests). There are several forested and wooded mountains in drier Kotido to the north. Key sites for survey and possible focus include: Morungole, Pororr and Pimu Forest Reserves.



In both countries the mountain forests epitomize the national resource values (water, forage, wood products) of localised forest cover in a very dry region. In both countries there are traditional resource conservation mechanisms which are being degraded by external pressures - including demand for cultivable land, fire, cross border cattle rustling which destabilises pastoralist land use etc.

**Table 1.1 Summary of biodiversity and conservation values for Moroto (\* indicate degree of significance).**

		<u>Trees</u>	<u>Birds</u>	<u>Sm Mammals</u>	<u>Butterflies</u>	<u>Moths</u>
No of species		203	220	22	106	45
Restricted-range Spp	27	73	7	26	12	
Species diversity		**	**	**	**	*
Conservation value		***	***	**	***	***

### **3. THE DRY MOUNTAIN LINKAGES (SOUTH) - MAASAILAND MOUNTAINS : MONDULI (Tanzania) and KAJIADO (Kenya)**

Wildlife and pastoralist populations of arid and semi-arid Maasailand are dependent on the springs and seepages flowing from the isolated old volcanic mountains. These mountains are high enough (>2,000m) to have evergreen forest communities (Juniperus, Podocarpus, Olea etc) which attract mist and so occult precipitation.

The forest communities are of considerable biodiversity interest themselves, as are the 'wetlands in drylands' communities lower down. These wetlands are the ultimate refuge for a much wider based biodiversity resource. The forests are under pressure from commercial interests, and the seepages have attracted privatisation of land holdings to the detriment of other users.

Monduli District provides the entry point to several mountains (Monduli, Burko, Elsimingorr, Kitumbeine, Gelai and Longido) in Tanzania. Gelai acts as a major seepage to Lake Natron. Kajiado District has Oljoro Orok, the base of the Namanga Nguriman Escarpment, Chyulu Hills etc.

**Regional Issues** There are several regional issues in both the northern and southern sites: - illegal timber harvesting across borders is an immediate example.

### **4. SANGO BAY - MINZIRO FORESTS: RAKAI/MBARARA (Uganda), BUKOBA (Tanzania).**

The forests of Sango Bay and Minziro cover 500 km<sup>2</sup> in Rakai District of southern Uganda, and Bukoba District in north Tanzania. Occupying flat land along the Kagera River the area is the richest and most extensive swamp forest in East Africa and is classified as Baikiaea-Podocarpus seasonal swamp forest. These forests are the only site for this specialised community and are of considerable conservation importance. The swamp Podocarpus is a distinct sub-species.

Compared with other Ugandan forests, Sango Bay is biodiverse, with the species richness/unit area being above average for most taxa. In conservation value Sango Bay is well above average for butterflies, large moths, birds, and trees. As a basis for comparison with other sites, 104 species are classified as of restricted-range. In Tanzanian terms Minziro forest is unique - there are many species of plants, mammals, birds and butterflies that extend from West Africa and find their eastern and southern limits in Minziro. It is important as a global and regional refuge.

### Summary of biodiversity values in Sango Bay Uganda

	<u>Trees</u>	<u>Birds</u>	<u>Sm Mammals</u>	<u>Butterflies</u>	<u>Large Moths</u>
<b>Species number</b>	244	317	26	258	94
<b>Restricted-range spp</b>	12	51	0	29	12
<b>Species diversity</b>	***	**	**	***	****
<b>Species conservation value</b>	**	***	**	***	***

Stars indicate values relative to 64 other Ugandan forests investigated under this programme: \*\*\*\* top 10% of sites; \*\*\* top 11-25% of sites; \*\* mid-ranking 26-74% of site; \* bottom 25% of sites.

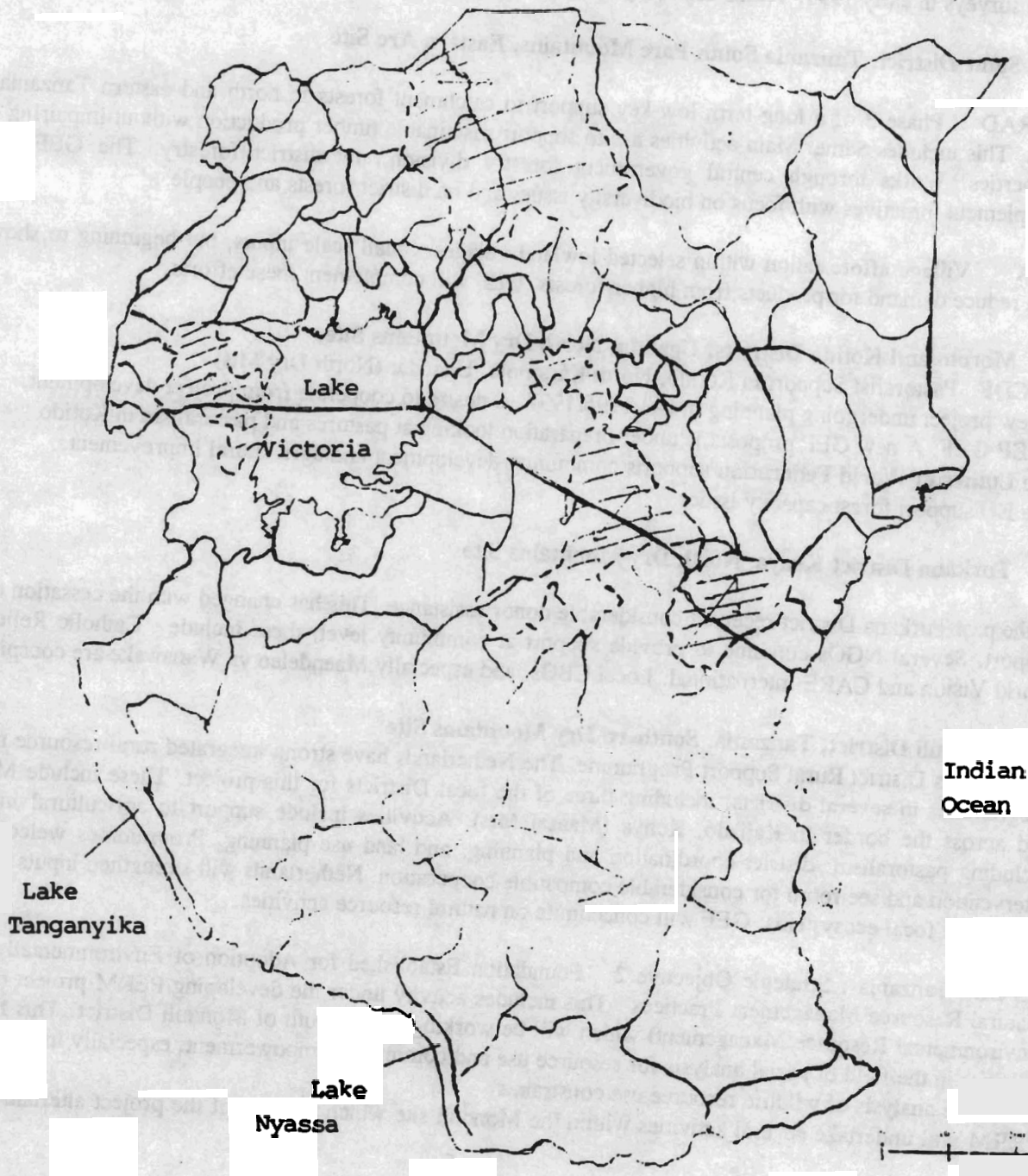
Cross-border problems include the fact that Uganda has 'stopped' logging, so huge quantities of logs come from Tanzania. Neither area has any form of management plan, nor resource inventory. Regulatory capabilities are limited.

A Map of the Project Sites is on the following page:



**Map Showing Location of Project Sites in East Africa**

MAP OF EAST AFRICA SHOWING FOCAL DISTRICTS AND BORDER BIODIVERSITY



Indian Ocean

Lake Tanganyika

Lake Nyassa



Scale 1:10 M

Latitude South

## **ANNEX 2 : DETAILS OF DONOR BASELINE INTERVENTIONS AROUND PROJECT SITES**

### **1 Taita Taveta District Kenya (Taita Hills Eastern Arc Site)**

**DANIDA** Phase 2 of a long term District Rural Development Support Programme has been finished. Phase 3 with an emphasis on sustainable agriculture and environment - agricultural linkages is being planned in early 1997. Taita Hills is a priority area for agricultural intervention. Discussions with District project staff emphasised the collaborative benefits in working together. GEF will concentrate on forest issues, DANIDA on agriculture.

**East African Wildlife Society.** The EAWS supports communities living around the Taita forests, in terms of alternative resources and conservation awareness.

**National Museums of Kenya / Antwerp University (Belgium) Support.** This three year research project commenced field surveys in early 1997. Teams inventory mammals, birds and selected insect groups.

### **2 Same District, Tanzania South Pare Mountains, Eastern Arc Site**

**NORAD** Phase 3 of a long term low-key support to catchment forests in north and eastern Tanzania is due to start. This includes Same. Main activities are to support sustainable timber production without impairing catchment properties. Works through central government forestry division, not district forestry. The GEF project will complement initiatives with focus on biodiversity issues and on district forests and people.

**JICA** Village afforestation within selected lowland villages. Small scale inputs, but beginning to show success. Can reduce demand for products from higher forests. GEF will complement these efforts.

### **3 Moroto and Kotido Districts, Uganda, North Dry Mountains Site**

**UNCDF** Pastoralist Support in Kotido, North Karamoja, Uganda. (North Dry Mts)

A new project undergoing planning in late 1996/1997. A desire to cooperate from project development.

**UNEP GEF.** A new GEF proposal is under preparation looking at pastures and pastoralism in Kotido

**The Lutheran World Federation** supports community development and agricultural improvement.

**The EU** support forest capacity issues.

### **4 Turkana District Kenya, North Dry Mountains Site**

In the past Turkana District received considerable donor assistance. This has changed with the cessation of NORAD support. Several NGOs continue to provide support at community level, these include : Catholic Relief Services, World Vision and CARE International. Local CBOs, and especially Maendeleo ya Wanawake are conspicuous.

### **5 Monduli District, Tanzania. Southern Dry Mountains Site**

**Netherlands District Rural Support Programme.** The Netherlands have strong integrated rural resource management programmes in several districts, including three of the focal Districts for this project. These include Monduli, Tz; and across the border in Kajiado, Kenya (Maasai Mts). Activities include support to agricultural improvement, including pastoralism; district coordination and planning, and land use planning. Programmes welcome the GEF intervention and see room for considerable compatible cooperation. Netherlands will strengthen inputs to agriculture around the focal ecosystems, GEF will concentrate on natural resource activities.

**USAID Tanzania : Strategic Objective 2: 'Foundation Established for Adoption of Environmentally Sustainable Natural Resource Management Practices'.** This includes activity under the developing PERM project (Participatory Environmental Resource Management) which will be working in the south of Monduli District. This has important linkages in the field of social analysis for resource use and community empowerment, especially in pastoralist areas; and in the analysis of wildlife resource use constraints.

**PERM** will undertake several activities within the Monduli site which are part of the project alternative. The...

include input to the policy analysis and resource studies (CBNRM - Community Based Natural Resource Management), bringing in a wildlife perspective into land use plans, resource tenure etc.

**NORAD** Phase 3 of a long term low-key support to catchment forests in north and eastern Tanzania is due to start. This includes some, but not all forests in Monduli. Main activities are to support sustainable timber production without impairing catchment properties. Works through central government forestry division, not district forestry. The GEF project will complement initiatives with focus on biodiversity issues and on district forests and people. World Vision International have some development programmes at village level in both Monduli and Bukoba.

#### **6 Kajiado District, Kenya. Southern Dry Mountains Site**

**Netherlands District Rural Support Programme.** The Netherlands have strong integrated rural resource management programmes within three of the focal Districts. These are Bukoba, Tz.(Minziro Forest); Monduli, Tz; and across the border in Kajiado, Kenya (Maasai Mts). Activities include support to agricultural improvement, water, livestock and support to overall district development coordination and land use planning. The ASAL Programmes welcomes the GEF intervention and see room for considerable compatible cooperation. Netherlands will among others strengthen inputs to agriculture, water and livestock sectors around the focal ecosystems, while GEF will concentrate on natural resource activities.

**The National Museums of Kenya (NMK)** manage a Maasailand biodiversity project Elang'ata Wuas. Several Church groups are active with support to pastoralist lifestyles, including water and livestock.

#### **7 Bukoba District, Tanzania. Swamp Forest Site**

**Netherlands District Rural Support Programme.** The Netherlands have strong integrated rural resource management programme, including Bukoba, but outside Minziro Forest. Activities include support to agricultural improvement, district coordination and planning, and land use planning. Programmes welcome the GEF intervention and see room for considerable compatible cooperation. Netherlands will strengthen inputs to agriculture around the focal ecosystems, GEF will concentrate on natural resource activities.

**UNDP, and other donors,** worked with refugee rehabilitation in Kagera Region, but Bukoba itself was little affected. UNDP has a separate programme looking at District Governance issues.

**Belgian Aid** supports rural development through improved agricultural inputs, including credit schemes and disease free banana cultivation. There are close linkages to the Netherlands support.

**CARE,** worked with refugee relief, and increasing natural resource management in Karagwe, rather than Bukoba.

**World Vision International** have some development programmes at village level in both Monduli and Bukoba.

#### **8 Rakai & Mbarara Districts, Uganda. Swamp Forest Site**

**DANIDA** supports community services and infrastructure in Rakai. They also work with district level governance.

**GTZ** supports integrated pasture development in the districts.

**World Vision International** supports community development in Rakai, as does CARE. In Mbarara District **ACORD** have a district support programme for community development at village level.

#### **Government Inputs**

Several sets of inputs from Central and Local Government fall within the ongoing or baseline activities. This includes support to central and district infrastructures, including environment, forestry, agriculture and livestock, as well as coordination mechanisms. These inputs provide a framework for this project to operate. It is anticipated that the project will create conditions for these ongoing contributions to have a greater attention to biodiversity issues.

### **ANNEX 3 TERMS OF REFERENCE FOR PROJECT ORGANS AND STAFF**

- a) The National Project Steering Committees (NPSC)
- b) The National Project Managers (NPM)
- c) The National Technical Officers (NTO)
- d) The District (Site) Steering Committees
- e) The Field Project Officers (FPO)
- f) The Regional Project Steering Committee (RPSC).
- g) The Regional Technical Planning Committee (RTPC)
- h) The Regional Technical Adviser (RTA)

### **ANNEX 3(a) TERMS OF REFERENCE : NATIONAL PROJECT STEERING COMMITTEE (NPSC)**

**There will be a National Project Steering Committee in each country. The NPSC is to ensure adequate oversight and integration of project activity. Composition of the NPSC for each country is detailed below.**

The National Project Manager (NPM) and National Project Coordinator (NPC) are full members of the Committee. The Regional Technical Advisor (RTA) and the Field Project Officers are members by invitation. In Uganda, the CAOs will be ex-officials to the Committee. The committee may invite project participating institutions as the need arises. The National Steering Committee will meet at least twice a year but could meet more frequently at the start of the project. Steering Committee meetings will be called by the chairperson of the Steering Committee. The National Project Manager, supported by the NPC, will be the Secretary to the meeting.

The National Steering Committee will have eight major objectives:

- 1 To monitor project implementation in terms of effectiveness and timeliness of inputs and in terms of the success of project activities.
- 2 To oversee and provide guidance to project activities and ensure such activities address national priorities.
- 3 To provide a forum for ensuring an integrated approach to project activities.
- 4 Provide a forum for, and link to, the Regional Project Steering Committee, and to ensure integration of national priorities to the regional activities.
- 5 Approve annual work-plans and budget for project activities and consideration of proposed changes as recommended.
- 6 To perform the functions of the National TPR to consider and approve annual Project Performance Evaluation Reports (PPERs).
- 7 To review the TOR of national project staff, and amend them as necessary.
- 8 To approve the proposed implementing contractual agencies for the project.

Minutes of meetings will be kept. Decisions will be by consensus. The National Project Steering Committee may constitute sub-committees and or task forces on specialist topics, or to review individual project activities.

#### **Composition of National Project Steering Committees**

##### **A) Tanzania**

- 1 Director General, NEMC
- 2 Representative of the Vice President`s Office
- 3 Planning Commission
- 4 Director of Forestry
- 5 Directorate for Local Government (PMO)
- 6 Ministry of Agriculture
- 7 United Nations Development Programme
- 8 Community Development Programme Directorate (Ministry WCCD)
- 9 District Executive Directors of the participating districts.
- 10 Ministry of Finance
- 11 Director, Natural Resources, NEMC.
- 12 National Project Manager
- 13 National Project Coordinator
- 14 Regional Technical Adviser

**B) Kenya**

- 1 PS, Ministry of Environment and Natural Resources (Chair)
- 2 Director, National Environment Secretariat
- 3 PS, Treasury
- 4 PS, Office of Vice-President and Ministry of Planning and National Development
- 5 Director, Kenya Wildlife Service
- 6 Chief Conservator of Forests
- 7 PS, Ministry of Agriculture, Livestock Development and Marketing
- 8 Director, National Museums of Kenya
- 9 Chairman, Botany Department, University of Nairobi
- 10 PS, Ministry of Land Reclamation, Regional and Water Development
- 11 Resident Representative, United Nations Development Programme
- 12 Chairman, National Council of NGOs
- 13 PS, Ministry of Local Government
- 14 National Project Manager (Secretary)
- 15 Field Project Officers, from the participating Districts (by invitation).
- 16 Representatives of the District Project Steering Committees
- 17 Regional Technical Adviser (by invitation).

**C) Uganda**

- 1 PS, Ministry of Planning and Economic Development (Chair)
- 2 PS, Ministry of Natural Resources
- 3 Executive Director, NEMA
- 4 Head, National Execution Unit
- 5 PS, Ministry of Agriculture
- 6 Representative, UNDP
- 7 National GEF Focal Point
- 8 Director, Directorate of Water Development
- 9 Commissioner, Uganda Forest Department
- 10 Project Manager, National Wetland Programme
- 11 ED, Uganda Wildlife Authority
- 12 PS, Ministry of Local Government
- 13 Chairman; NGO TaskForce on Biodiversity
- 14 National Project Coordinator (Secretary)
- 15/16 National Project Manager & Regional Technical Adviser



### **ANNEX 3(b)      TERMS OF REFERENCE : NATIONAL PROJECT MANAGER (NPM)**

Under the overall supervision of the National Implementing Agency (NIA) and in close collaboration with the National Project Steering Committee and the UNDP, the National Project Manager will be responsible for the overall management of the project. The schedule of duties for the NPM is as follows.

- 1 Overall responsibility for project management including financial control, supervision of project staff and ensuring proper use of project resources, including equipment.
- 2 Undertake the ordering, clearing and distribution of project equipment. Ensuring that such equipment is used in accordance with established rules and regulations.
- 3 Undertake the preparation and monitoring of study-tours and fellowships.
- 4 Provision of support to project consultants, both national and international, in administrative procedures and technical issues at project management level.
- 5 Assisting project components and contracted institutions in the maintenance of project imprest account and assist in general financial disbursement and control procedures.
- 6 In consultation with National Implementing Agencies and other institutions, organise national workshops and other fora to promote coordination for biodiversity protection.
- 7 Coordinating and implementing the national components of the project, including where necessary, technical inputs to the components, with close liaison with district project staff. Act as the main focal point for day today project activities and assist the FPOs and District Officers in the fulfillment of the Project's field responsibilities as required.
- 8 Providing assistance to the District authorities. Advising the National Implementing Agency on issues relating to the project and their regional and international significance.
- 9 In collaboration with NIAs, draft contracts with relevant institutions in the implementation of the national activities and to monitor and supervise the fulfillment of contractual obligations.
- 10 Assist Project Liaison Officers from contracted institutions in progress reporting and in the compilation of technical reports and facilitating delivery of the reports to NIA and UNDP.
- 11 Liaison with RTA on regional integration and act as a project technical focal point for regional coordination in this Project.
- 12 In addition to inception, quarterly, mid year reports, PPERs and others; prepare a terminal report to be submitted to the National Implementation Agency and UNDP.
- 13 Undertaking other relevant duties as directed by the National Implementing Agency.

#### **Experience and Qualifications required:**

The National Project Manager (NPM) will have a second degree in the Biological or Natural Resources Sciences, with proven interest in Biodiversity. The NPM will have proven senior management and administrative experience. Experience in project management and UNDP procedures, will be an advantage. Computer skills, a valid driving licence and an ability to write technical reports are essential attributes. The person will have a demonstrative ability to network and work in close collaboration with others.



### **ANNEX 3 (c)        TERMS OF REFERENCE : NATIONAL TECHNICAL OFFICERS**

Under the overall supervision of the National Project Manager, the Technical Officer will assist with technical aspects of the project including:

- (a) **Assisting in preparing Contract Documents** for activities to be undertaken with collaborating agencies. This will include the development of detailed Terms of Reference, work plans and budgets for the contract. He/She will monitor outputs from the contractual activities.
- (b) **Backstopping Contracted activities, workshops, PRAs, seminars and field programmes.**
- (c) **Facilitating in-service training programmes, seminars and short courses, including proper timetabling of the courses.**
- (d) **Facilitating in-country study tours, travel and Steering Committee Meetings. Assisting District Staff in technical issues including provision of literature and other technical information.**
- (e) **Assisting in compiling technical reports, and review of reports submitted by consultants and collaborating institutions.**
- (f) **Day to day activities as may be directed by the National Project Manager.**

The Technical Officer will be a university graduate with a background in natural resource management, and with administrative, project operation experience. A post-graduate degree and interest in biodiversity will be an added advantage.

### **ANNEX 3 (d) TERMS OF REFERENCE : SITE STEERING COMMITTEE (SSC)**

**In order to ensure broader technical guidance at district level, there will be a Site or District Steering Committee (S/DSC) for each project sites. Composition for the SSC in each country is given below.**

The Site Steering Committee will meet at least 3 times a year, but may have to meet more frequently at the start of the project. In consultation with the project management unit the steering committee meetings will be called by the Civil Head of each of the host Districts.

The meetings will be chaired by the Head of the host District. The Field Project Officer and nominated District Officer of the host district will be the secretary to the meeting.

The Site Steering Committee will have four major objectives:

- 1 To oversee and provide guidance to site level project activities, and to ensure that such activities address district priorities; to make reports on project progress and make recommendations to national steering committees as to changes required in project implementation.
- 2 To provide a forum and basis for ensuring an integrated approach to project activities in the districts.
- 3 To monitor project implementation in terms of effectiveness and timeliness of inputs and in terms of the success of project activities for delivery of outputs.
- 4 To facilitate consultations between border districts on cross-boundary issues in liaison with relevant institutions.

Minutes of the meetings will be kept. Decisions will be by consensus. The steering committee may constitute sub-committees or task forces on specialist topics or to review individual project activities.

#### **District Steering Committee Composition,**

##### **Tanzania:**

1. District Executive Director (Chairperson)
2. District Commissioner, or his representative
3. District Planning Officer
4. District Community Development Officer
5. District Natural Resources Officer
6. District Forest Officer
7. District Agricultural Officer,
8. District Livestock Officer Monduli & Same only
9. District Wildlife Officer - Monduli and Same
10. NGO Representative
11. Hon. MP for Longido (Monduli only)
12. Representative of linked donors in the district
13. A nominee of the elected members of the District Council
14. FPO, NPM and RTA as Secretariat.

**Kenya :**

District Commissioner  
District Development Officer  
District ASAL Programme Officer  
District Community Development Officer  
District Environment Protection Officer  
District Forest Officer  
District Agricultural Officer  
District Livestock Officer  
Representative, Kenya Wildlife Service  
Representative of NGOs in the District  
Representative of donor supported projects  
Nominee of elected councillors from the project sites  
Members of Parliament from the project sites  
National Project Manager  
Regional Technical Adviser  
Field Project Officer (Secretary)

**Uganda : I Rakai/Mbarara**

LC V Chairman Rakai  
RDC, Moroto  
District Community Services Coordinator, Rakai.  
RDC Rakai  
CAO Rakai  
District Extension Coordinator Rakai  
DFO Rakai  
NGO Representative Rakai

LC V Chairman, Mbarara  
RDC, Mbarara  
CAO, Mbarara  
District Production Coordinator, Mbarara  
NGO Representative Mbarara

NPM, RTA, and FPO

**II Moroto/Kotido**

LC V Chairman, Moroto  
CAO, Moroto  
District Extension Coordinator Moroto  
KPIU, Moroto  
District Environment Officer Moroto  
DFO, Moroto  
Representative UWA Moroto

CAO, Kotido  
LC V Chairman, Kotido  
DFO, Kotido  
District Extension Officer. Kotido  
Church of Uganda Representative, Kotido

NPM, RTA, FPO

### **ANNEX 3 (e) TERMS OF REFERENCE : FIELD PROJECT OFFICERS (FPO).**

Under general supervision of the National Project Manager, and in close cooperation with Site Steering Committee, the FPO will:

- 1 Be responsible for the day to day activities of the project within the project sites.
- 2 Oversee financial management of the project and project funds in the district on behalf of the National Implementing Agency.
- 3 Maintain and control the use of project equipment in accordance with government and UNDP regulations.
- 4 Provide advice to the District authorities and local communities on issues related to biodiversity in the area of operation and link the issues to local and national development activities.
- 5 Coordinate and facilitate implementation of the District components of the project in close liaison with relevant District departments.
- 6 Promote awareness of conservation issues In consultation with the District authority and associated institutions, representatives of other donor organisations in the District NGOs and relevant Central Government Departments.
- 7 Liaise with other organisations dealing with the conservation of biodiversity in the areas, including international and non-governmental organisations.
- 8 Assist in the identification and facilitation of support to local Community Based Organisations (CBOs) with relevance to biodiversity conservation and use.
- 9 Assist in the facilitation of joint-management programmes for natural resources with local communities.
- 10 Liaise on behalf of the project with other district projects and donor activities.

The Field Project Officer will make monthly and quarterly reports to the National Project Manager, copied to the Site Steering Committees, for purposes of monitoring and evaluation.

#### **Experience and qualifications required**

The Field Project Officer will have a degree in Biological Sciences, or Natural Resource Management, or an equivalent subject. Interest in biodiversity will be an advantage. Experience in project management community based natural resources management and district level administration will be useful.

### **ANNEX 3 (f) TERMS OF REFERENCE : REGIONAL PROJECT STEERING COMMITTEE**

- 1 There will be a Regional Project Steering Committee (RPSC) for the project. This will be made up of representatives of the National Project Steering Committees (NPSCs, see separate TOR) from each of the three countries. Representation will include the donor (UNDP), the National Implementing Agencies, Project Managers, and up to two others nominated by each NPSC. Other participants may be invited.
- 2 The RPSC will meet at least twice per year, once acting as the Regional Tri-Partite Review (TPR). It is envisaged that meetings may be more frequent in the first years.
- 3 RPSC meetings will be called by the host National Steering Committee, the venue rotating between countries. Meetings will be chaired by the Chairperson of the host NPSC.
- 4 The Regional Technical Advisor (RTA) and the host country National Project Coordinator (NPC) and National Project Manager (NPM) would act as the Secretariat for RPSC meetings.
- 5 The RPSC has five major objectives. These are:
  - a) To provide the mechanism for ensuring an integrated approach to project activities from within each country; and to approve technical recommendations and reports from such integrated activity.
  - b) To provide regional direction to the project, and to ensure that the project addresses regional priorities and, where applicable, national priorities. The RPSC in this regard may make recommendations to the national processes and to UNDP, as to changes in timetables, inputs and budgets, which may be necessary from time to time.
  - c) To oversee and provide policy guidance to the regional activities of the project, and the operations of the RTA.
  - d) To monitor project implementation in terms of effectiveness and timeliness of inputs, and in terms of the success of the outputs. To this end RPSC will receive copies of Progress and Technical Reports from NPSCs and from the Regional Office.
  - e) To provide the basis for the Annual Tripartite Reviews which are administered by Governments and UNDP.
- 6 Minutes will be kept of RPSC meetings. Decisions will be by consensus. The RPSC may convene sub-committees or task-forces on specialist topics, or to review individual project activities or components.

### **ANNEX 3 (g) TERMS OF REFERENCE : REGIONAL TECHNICAL PLANNING COMMITTEE**

- 1 There will be a Regional Technical Planning Committee (RTPC). This will be comprised of the three National Project Coordinators (NPCs), National Project Managers (NPMs), and the RTA; and, where relevant, the District based Project and Government Officers.
- 2 The RTPC will be responsible to, and will report to, the National Project Steering Committee (NPSC) in each country and to the Regional Project Steering Committee (RPSC). The RTPC will meet at least thrice per year, usually within a cross-border area. Venues would rotate between countries and the host NPD would be the Chairperson.
- 3 The RTA would provide the Secretariat for the meetings and would maintain funds for three meetings per year.
- 4 RTPCs have four major objectives. These are:
  - a) To harmonize regional activities within cross-border sites; in terms of timing, technical specifications and logistics.
  - b) To review regional activity and outputs prior to presentation at National and Regional Steering Committees.
  - c) To promote regional cross-border contacts between technical and political leaders, as well as between the communities engaged in resource use and conservation, so as to further project objectives.
  - d) To provide a forum for cross-border networking.
- 5 Minutes of meetings will be kept. Decisions will be by consensus. The RTPC may convene sub-committees or task-forces on specialist topics, or to review individual project activities or components.

### **ANNEX 3 (b) TERMS OF REFERENCE : REGIONAL TECHNICAL ADVISOR (RTA).**

- 1 Under the overall supervision of the Director, Field Operations Division (TCO) and the more supervision of the Chief, Regional Operations Branch for Africa (RAFR), with the guidance of the designated technical support and operations officers, the RTA shall:
  - a) Be responsible to National and Regional Steering Committees for the coordination of the regional aspects of this project. In this regard the RTA will liaise with National Implementing Agencies and Project Management Units and their staff.
  - b) Provide support and technical advice on project activities at both national and district levels to National Project Authorities.
  - c) Coordinate and seek the implementation of the regional components of the project at both District level and National level, including where necessary, technical input into these components. This will involve close liaison with both district and national project staff.
  - d) In consultation with Government Agencies and other institutions, organise regional workshops and other fora to promote regional coordination for biodiversity protection.
  - e) Assist in the organisation of study-tours and fellowships, and ordering of project equipment, as required.
  - f) Assist in the preparation of TOR for regional consultancies within the project, and to advise and supervise consultants as needed, and to report progress and outputs to Project Steering Committees.
  - g) In collaboration with NPMs, to assist in the preparation of contractual letters of agreement for implementing regional activity, and to monitor and supervise the fulfillment of contractual obligations. To forward progress reports and outputs to Project Steering Committees.
  - h) In consultation with national project staff to promote awareness of regional conservation matters.
  - i) In consultation with National Implementing Agencies, liaise with other organisations dealing with the conservation of biodiversity in the region, including international and bilateral donor agencies, technical agencies and NGOs.
  - j) Advise national and district agencies, as requested, on issues relating to biodiversity in the region.
  - k) In collaboration with NPMs, to prepare progress reports as needed by project management and supervising agencies.
  - l) Undertake other duties as requested by the Regional and National Project Steering Committees.

#### **Experience and Qualifications etc.**

The RTA will have over 15 years professional experience in the conservation and management of tropical natural resources, with proven expertise in biodiversity. The RTA will be a person of international scientific standing in these fields, with the capability of advising governments on biodiversity issues. The RTA will have considerable experience of project management, and be familiar with field operations. The RTA will have extensive working knowledge of the East African region.

#### **Duty Station and Duration.**

Arusha, Tanzania.

Five years, in decreasing amounts, totalling 34 mm (see budget table in Annex 11).



### **ANNEX 3(D) SCHEDULE OF DUTIES FOR ADMINISTRATIVE POSTS IN THE PROJECT**

**Administrative Officer:** Ordering and Administration of Project Equipment including vehicle use, control. The Administrative Officer will undertake supervision of all junior staff, general office management and ensure proper logging of all equipment including vehicle insurance and licensing.

**Finance Officer:** He/She will be the overall custodian of finances including facilitation of disbursements, banking budgeting, control mechanisms and reporting.

**Accounts / Administration Assistant /Clerk:** He/She will ensure control and reporting of day to day financial transactions including proper logging of all expenditures. He/She will have responsibility for stores and office management. (Often a district/site office post).

**Secretary:** Personal Assistant to the National Project Manager. He/She should be capable of working independently and handling routine correspondence appointments etc.

**Typist/Clerk.** To assist Secretary in routine typing and orderly filing of all correspondences and ensure easy retrieval. He/She will assist with photocopying telephone messages etc.

**Project Messenger:** The Project Messenger will ensure delivery of all project mail and all other messages as may be required.

**Cleaner:** Ensures cleanliness of project premises and washrooms.

Note there could be a category of messenger / cleaner.

**Driver:** Project drivers will be required to drive project vehicles and ensure proper custody and routine maintenance. They will keep proper logbooks of all journeys, clean project vehicles, etc.

Detailed Terms of Reference will be developed for all the support posts at project inception.

**Note:** Not all posts are present in each country. Details differ, and are shown in country annexes (Annexes 7,8,9)

## IMMEDIATE OBJECTIVES AND OUTPUTS

IMMEDIATE OBJECTIVES	OUTPUTS IN OBJECTIVE	OUTPUTS IN OBJECTIVE
<b>Immediate Objective A</b>  <b>An enabling environment in place which allows local sectoral and development agencies and local communities to promote the sustainable use of biodiversity resources</b>	<b>Output A1</b> Regulatory /development agencies at local level promote the sustainable use of biodiversity  <b>Output A2</b> Local communities participate fully in resource conservation at key sites	<b>Output A3</b> Enabling environment created with compatible and effective policy and legislative framework
<b>Immediate Objective B</b>  <b>Resource demands brought into balance with supply at key resource sites</b>	<b>Output B1</b> Participatory management plans for key biodiversity sites developed, approved and key provisions implemented  <b>Output B2</b> Alternative resources and less destructive resource use strategies promoted which reduce demand for biodiversity products.	<b>Output B3</b> Alternative income strategies are developed and in use by local communities  <b>Output B4</b> Land use and biodiversity externalities are alleviated

## OUTPUTS AND ACTIVITIES

ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
<b>Output A1</b> Sustainable use of biodiversity promoted by regulatory & Coordinating agencies.	Joint sustainable use and management of biodiversity resources established.	Collaborative resource use programmes exist in key sites.	That different activities are scheduled together.
<b>A1.1</b> To assess training needs and develop necessary training packages and curriculum including valuation methodologies for cross border sites.	Training packages, and valuation methodologies are documented and made available	Document produced in collaboration with trainers.	Expertise is available to do this.
<b>A1.2</b> To provide training in agencies at all levels from officers to guards.	Numbers of people trained, and levels taught	People trained; reports, certificates	Trainers and trainees available
<b>A1.3</b> To provide adequate motivation for agency staff through improved working conditions.	Increased productivity as per workplan.	Staff Performance Reports	Incentives can be found and are available.
<b>A1.4</b> To provide essential equipment & infrastructure in local agencies.	Communication and Staff productivity increases.	Site inspection Purchase records	Other relevant agencies provide necessary support
<b>A1.5</b> To develop capability to interact with local people within district/sub-district & NGO staff.	Workshops, Seminars, Fora with local people.	Reports	People willing to reciprocate.
<b>A1.6</b> To strengthen the Environment Committees at local level to participate in biodiversity issues.	Committees functional, discussing biodiversity issues. Progress in solving Biodiversity problems.	Committee meetings, and parent committee meetings.	" District staff accept biodiversity principles?
<b>A1.7</b> To undertake training courses in resource conservation.	Regional courses at graduate level run in all three countries.	Required numbers trained. See course records.	Training is in demand and can affect decisions.

<b>ACTIVITY / INTERVENTION</b>	<b>OBJECTIVE INDICATORS</b>	<b>VERIFICATION</b>	<b>ASSUMPTION</b>
<b>Output A2</b> Local communities in cross-border areas have participated fully in resource conservation within and around key sites	Functional community groups working with regulatory agencies in key sites	Meeting and workshop reports Collaborative management frameworks approved & in place Advice provided, documents, meetings attended	Potential partners participate with conflicts resolved. Stakeholders agree that conservation incentives >> than disincentives.
<b>A2.1</b> To identify and support local CBOs (Community Based Organisations) with relevance for biodiversity conservation and use.	CBOs are functioning around biodiversity sites	Reports, lists of CBOs	CBOs exist, or can be created. CBOs & agencies are adequately sensitized to allow useful contact.
<b>A2.2</b> To provide training and awareness amongst CBOs/NGOs and to identify, create and strengthen links to govt agencies.	CBOs are better trained, more active Greater frequency of contact between stakeholders.	Training programmes, work reports	CBOs are developed to point where training inputs are significant.
<b>A2.3</b> To document and promote indigenous conservation & knowledge systems for biodiversity.	Traditions are documented, people motivated.	Reports, meetings with CBOs.	Traditional mechanisms are compatible with modern needs.
<b>A2.4</b> To document and analyse issues of land and resource tenure / ownership, relevance to biodiversity conservation.	Relevant land tenure reports produced and people have greater knowledge of issues.	Documents, meetings, awareness generated.	Land issues are solvable, tensions are not so high to prevent discussion
<b>A2.5</b> To develop joint collaborative management protocols.	Protocols between agency and people are established and functional.	Documents signed.	Both partners value collaboration!
<b>A2.6</b> To develop and run training courses in resource-people interaction for conservation.	People trained within defined curriculum.	Course records and documents.	Training within specialist courses is sufficient to lead to changed behaviours.

<b>ACTIVITY / INTERVENTION</b>	<b>OBJECTIVE INDICATORS</b>	<b>VERIFICATION</b>	<b>ASSUMPTION</b>
<b>Output A3</b> An enabling environment created with compatible and effective policy and legislative frameworks	<ul style="list-style-type: none"> <li>existing conflicts resolved and conflict resolutions implemented.</li> <li>NGOs, CBOs design and implement sustainable conservation regulations</li> </ul>	<ul style="list-style-type: none"> <li>management reviews</li> <li>meetings</li> <li>number of NGOs and CBOs involved in site specific biodiversity activities / issues.</li> </ul>	<ul style="list-style-type: none"> <li>Project partners meet capacity targets</li> <li>Local communities invest</li> <li>NGOs support regulatory frameworks.</li> </ul>
<b>A3.1</b> To clarify resource management mandates and improve coordination among relevant agencies, NGO, donors.	Reduced conflict between agencies and people, increased frequency of contact.	Records of meetings, work plan reports.	That increased frequency of contact is attainable.
<b>A3.2</b> To analyse the policy environment affecting biodiversity, to ensure effectiveness and compatibility in country and region.	District approaches, are integrated across sectors. Integrated cross-border approaches.	Documentation. Minutes of meetings. Cross border protocols exist.	Policy issues are accessible, and that there is willingness to discuss issues.
<b>A3.3</b> To seek to modify policy issues where appropriate, so as to enhance biodiversity conservation.	Biodiversity - friendly policy interpretations in place within District settings	Policy changes in place. Changes accepted locally.	Discussion on change is welcomed by authorities.
<b>A3.4</b> To review the legislative framework affecting biodiversity at local/central levels	Biodiversity - friendly legislation in place and functioning at district and local levels	District bye-laws.	Authorities are willing to discuss legislative issues.
<b>A3.5</b> To promote awareness of legislative and biodiversity issues.	Reduced transgressions, increased discussion of legislation issues.	Records at local levels. Resource status improves.	Project has an adequate impact to measure change.
<b>A3.6</b> To promote the land use plans and guidelines at sites of special biodiversity significance	Land use plans adopted within project sites	Documents and field checking as to acceptance by people.	Land use plans can be developed that are implementable.
<b>A3.7</b> To review potential reservation mechanisms, including traditional systems, for sites.	Acceptable reservation systems are available, including traditional approaches supportive to people.	Reports and field discussions.	Local authorities accept traditional inputs & elders accept agency controls.
<b>A3.8</b> To promote political support for resource conservation	Politics include biodiversity issues positively at local levels	Reports, field discussions. Political statements in press.	Political leadership see merit in conservation



<b>ACTIVITY / INTERVENTION</b>	<b>OBJECTIVE INDICATORS</b>	<b>VERIFICATION</b>	<b>ASSUMPTION</b>
<b>A3.9</b> To put in place incentives to promote sustainable resource use.	Fiscal incentives in place, and perverse incentives changed.	Bye-laws, rules, gazettelement notice.	Acceptable Incentives can be developed
<b>A3.10</b> To develop and run training courses in policy analysis.	People trained within defined curriculum.	Course records and documents.	Training courses are able to change systems.
<b>Output B1</b> Participatory management plans for key biodiversity sites developed, approved & implemented.	Management plan exists, supported by stakeholders, approved and implementation underway.	Document itself. Minutes of acceptance meetings and field inspection.	Income earning alternatives maintained after the project.
<b>B1.1</b> To develop an interactive and participatory management plan process within target districts	Planning team in place, with adequate stakeholder representation.	Plan underway. Meetings in place with participation.	Partners can collaborate & authorities accept need for plan.
<b>B1.2</b> To establish baseline data on rate of loss of biodiversity	Information on change in forest / wetland area/status is available.	Reports available.	Sufficient detail to permit monitoring
<b>B1.3</b> To undertake resource inventories for: a) wood products b) biological indicators c) crop germ plasma d) user group NTFPs	Resource inventories are available for incorporation in management plan process.	Inventory reports Plan document	Simple methods developed which incorporate local skills.
<b>B1.4</b> To undertake user survey of biodiversity & natural resources.	User groups have given data, which is incorporated into a report.	Reports, user group records	User groups cooperate
<b>B1.5</b> To carry out livelihood analysis of target populations.	Populations have given information, which is in report	Reports, Community records	Communities cooperate
<b>B1.6</b> To undertake full resource valuations for target sites.	Forest/wetland resources have been assessed for local/national values.	Reports, methods documented, stakeholders involved	Methods are appropriate for these sites
<b>B1.7</b> To incorporate traditional resource conservation strategies into biodiversity management plans.	Management plans have such information, approved through stakeholder participation	Plan documents, field discussion as to process.	That conservation traditions are compatible with modern strategies
<b>B1.8</b> To identify and assess water sources and associated wetlands in and around the biodiversity sites.	Information on values and threats collected and presented in usable formats.	Reports, maps	

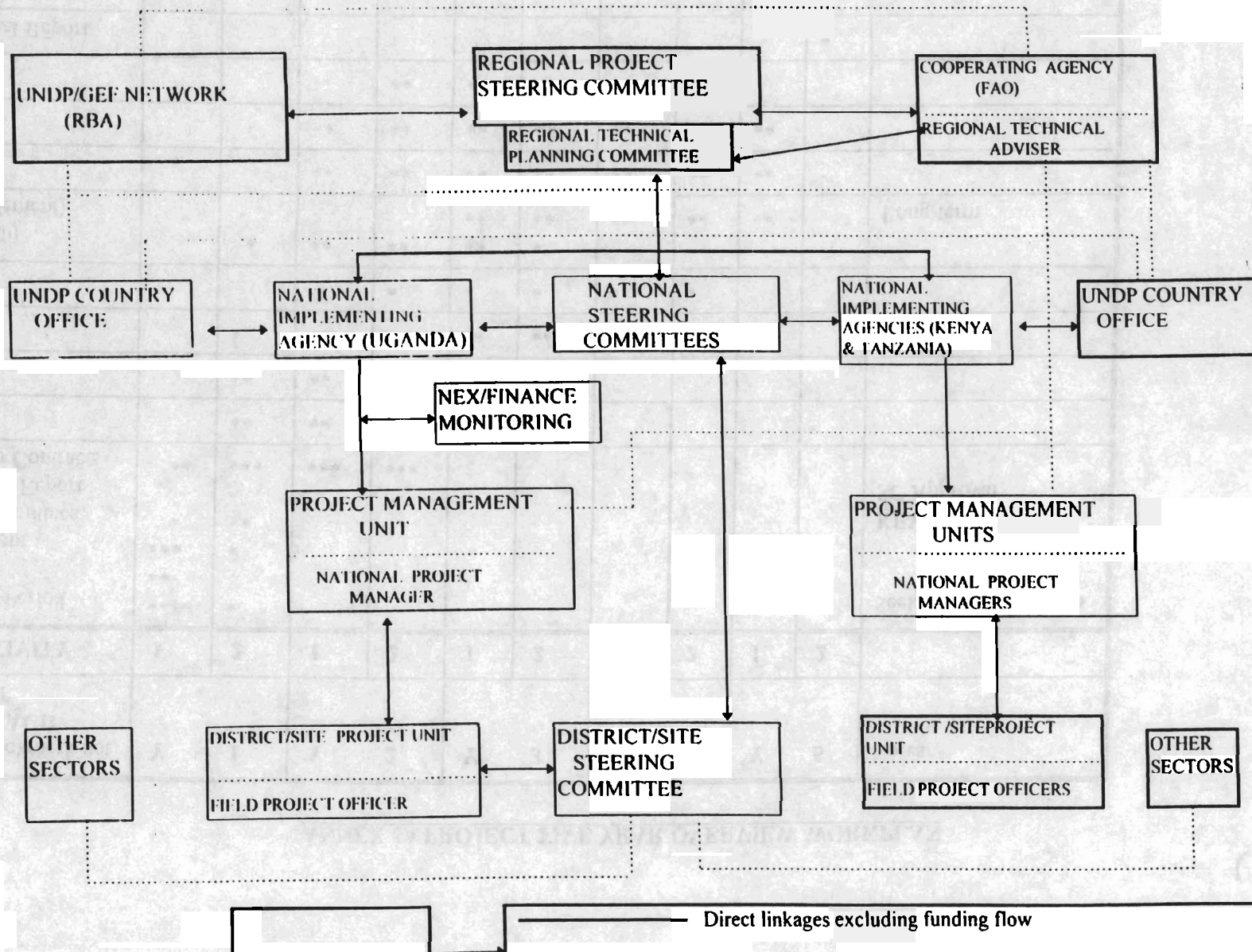
ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
<b>B1.9</b> To develop user friendly data bases / resource centres for biodiversity issues at local level.	Databases in place which serve management plan processes and act as local resource centre.	Field observation, that databases are in use. Reports.	
<b>B1.10</b> To develop sustainable use technologies for key biodiversity products e.g. poles, crop germplasm.	Strategies developed and discussed with local people and agencies.	Documents, meeting records	That such technologies can be developed which are acceptable to people.
<b>B1.11</b> To develop a monitoring, evaluation and environmental audit component involving local people.	Monitoring processes underway within plan process and resource use activities.	Documents, work-plans, user group records.	Local people can be persuaded to participate and are accepted by Govt.
<b>B1.12</b> To initiate implementation of key provisions of management plan: a) reservation, b) boundaries etc.	Implementation work plan approved. Reservation process underway, also boundary approval & demarcation	Document, records of meetings Records of meetings, gazettelement Site activity.	Plans are practicable and fundable. Agreement on reservation is possible.
<b>Output B2</b> Alternative resources and less destructive resource use strategies promoted which reduce demand for biodiversity products.	Alternatives are assessed and included in extension package. Alternatives are being adopted. Demand on forest produce drops.	Documentation in extension service.	Alternatives are acceptable to people.
<b>B2.1</b> To identify possible resource alternatives and to establish baseline data on their utilisation.	Alternative resources are documented.	Reports. Local community meetings.	Alternatives are available and acceptable.
<b>B2.2</b> To develop site specific extension packages for key alternatives for local communities.	Alternatives are included in extension packages.	Documentation, field observation.	Extension services agree to integration and become functional.
<b>B2.3</b> To strengthen integrated extension services.	Extension services motivated and delivering package to audience.	Field observation. Farmer response.	As above.
<b>B2.4</b> To raise awareness of need for alternative resources within local society.	Local communities accept need for alternative resources.	Meetings, field observation. Increased use of alternatives.	That awareness can help to bring about changed behaviour patterns



ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
<b>B2.5</b> To develop and disseminate effective and efficient resource use technologies (stoves, charcoal kiln) and non-destructive uses.	Technologies which are efficient and less destructive are adopted.	Field sampling, reports. Resource status is improving	People willing to invest in such activity.
<b>B2.6</b> To promote use of identified alternatives at key sites, and monitor use of such alternatives.	Alternatives are in use in target communities.	Field sampling and reports. Resource status is improving.	Alternatives are acceptable - see above.
<b>Output B3</b> Alternative income strategies are developed and in use by local communities.	Alternative strategies are assessed and included in extension package. Alternatives are being adopted. Demand on forest produce drops.	Reports and field sampling. Resource status begins to improve.	Local communities accept new packages.
<b>B3.1</b> To identify relevant income earning strategies (eg eco-tourism, bees, cottage industries).	Strategies are selected and documented and are accepted as feasible by communities.	Reports and documents. People discussing issues. Trial adoptions in place.	Strategies can be developed of interest to local people.
<b>B3.2</b> To support such strategies within local communities adjacent to sites of importance.	Trial activities are underway in selected communities.	Reports and field observation.	People can change sufficiently to reduce impact.
<b>B3.3</b> To identify and promote sustainable agricultural technology (eg zero grazing and agro-forestry) to improve land productivity.	Agricultural improvement measures are implemented, and productivity increases.	Reports. Agriculture statistics. People increasing use of technologies.	That such technology does exist and can be picked up by communities
<b>B3.4</b> To identify and promote ecologically & socially sustainable use of pastures.	Pasture use guidelines promulgated and accepted by people.	Documents and plans. Field discussion.	That bye-laws and self-regulation inputs reduce BD impact.
<b>B3.5</b> To identify and promote appropriate water harvesting and management on-site.	Water management techniques and water use measures are in place at selected sites.	Documents field site inspection.	Water sources allow such techniques and that donors collaborate.
<b>B3.6</b> To promote and increased pastoralist resource and land use practices off-site which reduce pressure on bd resources.	Larger scale pastoralist land use guidelines are promulgated and in place.	Reports. Field discussion with elders.	That plans can be made and donors help offset costs.

ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
<b>Output B4</b> Land use and biodiversity externalities are alleviated	Biodiversity less threatened by external problems: mitigation started.	Reports. On ground survey.	That measures can be found that will interest local people.
<b>B4.1</b> To develop a biodiversity strategy within the local district environment action plan / development plans.	Strategy process in place, with central agreement. Strategy outputs produced, & incorporated in District plans.	Documentation. District meetings & minutes.	Strategy issues are accepted by local agencies.
<b>B4.2</b> To integrate cross border and regional protocols into district biodiversity strategies.	Agreed memoranda of understanding set out joint conservation with adequate protocols.	Documents. Field discussion as to participation.	That developing National Strategy process identifies key issues
<b>B4.3</b> To develop plans for better water availability and water access rights and the mechanisms to implement these plans.	Plans produced within District, with stakeholder agreement, and passed to relevant agencies.	Documents with donors. Donors ranking them useful.	That water schemes can be developed which are acceptable and fundable.
<b>B4.4</b> To develop pastoralist grazing and fire management plans for areas relevant to focal sites.	Biodiversity / Pastoralist development plans produced, passed to agencies.	Documents with donors. Donors ranking them useful.	That solutions are possible to this issue, & donors show interest.

## REDUCING BIODIVERSITY LOSS AT CROSS-BORDER SITES PROJECT PROJECT ORGANOGRAM



# **ANNEX 6A PROJECT FIVE YEAR OVERVIEW WORKPLAN**

Error! Bookmark not defined.EACH OUTPUT	Y	1	Y	2	Y	3	Y	4	Y	5	Notes
OR ACTIVITY	1	2	1	2	1	2	1	2	1	2	
Start-Up Period	****	*									Seek Ad Authorisation
Staff	**										
Equipment	***	*									
Site Committees	*	*									KEY INPUT
Inception Report		*									SC Approval
Develop Contracts	**	***	***	***							
A1		**	**	**	**						
A2		**	**	**	**						
A3		*	**	**	**	**					
A4			*	*	*	*	*	*			
B1 (Plan)		*	**	**	**	*					
(Implement)					**	**	**	**	**		Long-term
B2			**	**	**	**	**	**	**		
B3			**	**	**	**	**	**	**		
B4				**	**	**	**	**			
Terminal Report										*	
Evaluation					*					*	Externals

Note : Detailed annual workplans and contract workplans are the key to project success.



# **ANNEX 6B : PROJECT DETAILED WORK PLAN: NATIONAL ACTIVITY : YEAR 1**

Activity	Month s PRE	STAR T	AFTER												Months PROJEC T	START	UP
Activity	-2	-1	1	2	3	4	5	6	7	8	9	10	11	12			
AA completed	*																
Staff appointed NPM Support staff Field staff	*	*															
IA appoints NPC IA appoints NPSC	*	*															
NPSC appointed NPSC meetings		*		*				* In Rep									TPR
RTPC meetings				*			*						*				
RPSC meetings								*								*	"
Bank Accounts		*															
PMU Accommodated		*															
Equipment Ordered	*			*													
Workplans for Sites				---	---	---	---										
Contracts : developed approved starting				---	---	---	---	*									
Reporting: Quarterly Inception report Annual PPER					QR			IR QR			QR					QR	PER

These to be fleshed out into operational plans and incorporated into Inception Report.

## **ANNEX 7: KENYA : NATIONAL ACTIVITIES INPUTS AND BUDGETING (YEAR 1)**

This annex describes the inputs for year 1, Details for subsequent years will be completed in the Inception Report.

### **1. INTERNATIONAL PERSONNEL**

An international consultant will be hired for 1 man month to provide expertise on the identification of indicators within project activity. Funding of this activity will be through the Regional office.

Sub-Total	1 mm	US\$
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### **2. National Professionals**

1 National Project manager	12 mm	24,000
1 National Technical Officer	6 mm	10,000
3 Field Project Officers	3x6 mm	21,000
National consultants (assist in project initiation)		4,500

<b>Sub-total</b>		<b>59,500</b>
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### **3. SUPPORT STAFF**

Project Management Office		
1 Administrative/Finance Officer	12 mm	13,000
1 Accounts clerk (Head Office)	12 mm	7,200
1 Secretary	12 mm	6,600
1 Typist	6 mm	2,000
3 Drivers	3x12 mm	6,000
2 Messengers	2x12 mm	3,200

#### **Field Offices**

3 Accounts Clerk (3 districts)	3x6 mm	18,000
3 Secretaries (3 Districts)	3x6 mm	6,000
3 Drivers	3x6 mm	3,000
3 Messengers (3 Districts)	3x6 mm	1,800
Casual Labour		1,000

<b>Sub-total</b>		<b>67,800</b>
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### **4. TRAVEL**

Off-post travel in the first year involves the setting up the key elements of the project, both in Nairobi and in the three field office. The NPM and TO will need to visit the field sites to ensure that the project activities are initiated on schedule. In addition, there will be both staff and non-staff travel in the year for Steering Committees.

<b>Estimated cost</b>		<b>52,000</b>
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### **4. MISSIONS**

Mission costs will be met from the regional component, there are none in year 1.

<b>Sub-total</b>		
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### **6. CONTRACTS (,000 US \$)**

## 6.1 TRAINING

### Introduction

National training will target local regulatory agencies from the district down to the locations. Participation should include representatives from government, NGOs and CBOs. It is proposed that training team be composed of a co-ordinating consultant in curriculum development, course descriptions, compilation of teaching manuals and generally determine the training course durations, schedules and participation.

Participants will be drawn from the project focal districts of Turkana, Kajiado and Taita-Taveta and training held there. It will be necessary to document all training manuals, reports etc. in a central location at the project management Office in Nairobi. It is suggested that up to 30 participants may be enrolled per year (i.e. 10 per district). The coordinating consultant should work in liaison with Project Management Office.

### Budget

#### Consultants/Trainers

1 Coordinating consultant	2 mm	8,000
1 Curriculum dev. consultant	1 mm	3,000
Travel		1,000
DSA		2,500
Training Activities		35,500
<b>Sub-Total</b>		<b>50,000</b>

## 6.2 PROMOTION OF LOCAL PARTICIPATION

### Contract

A.1.4	Improve working conditions	11,000
A.1.4	Provide infrastructure	10,000
A.2.2	Promote awareness	4,000
A.2.3	Promote indigenous knowledge	4,000
A.2.5	Joint protocols	3,000
A.2.1	Identify local CBOs, 1.5 mm	4,000
A.2.3	Document indigenous knowledge	4,000
A.2.4	Document/analyze land tenure	10,000
	<b>Sub-total</b>	<b>50,000</b>

## 6.3 RESOURCE USE AND MANAGEMENT

A3.1	Clarify resource management	6,000
A3.2	Analyze policy environment	3,000
B1.6	Resource valuation	19,000
B1.10	Sustainable use Technologies	8,000
B1.11	Development monitoring, evaluation	18,000
	<b>Sub-total</b>	<b>50,900</b>

## 6.4 INVENTORIES AND SURVEYS

B1.2	Establish baseline data	14,000
B1.3	Undertake inventories	10,000
B1.4	Undertake BD user survey	14,000
B1.5	Carry out livelihood analysis	14,000
	<b>Sub-total</b>	<b>52,000</b>



**6.5****WATER AND WETLANDS RESOURCES**

B3.5	Identify and promote appropriate water harvesting	7,000
B4.3	Develop plans for better water availability	17,000
B1.8	Identify/assess water sources & associated wetlands	6,000
	<b>Sub-total</b>	<b>30,000</b>

**6.6****(a) ALTERNATIVE RESOURCES**

B2.3	To strengthen integrated extension services.	6,000
B2.6	Promote use of identified alternative at key sites	6,000
B2.1	To identify possible resource alternatives	4,000
B2.2	To develop site-specific extension packages	6,000
B2.5	To develop and disseminate effective and efficient resource-use technologies	8,400
	<b>Sub-total</b>	<b>30,400</b>

**6.6****(b) ALTERNATIVE INCOME**

B3.2	To support income-earning strategies.	—
	To support sustainable agricultural technologies	—
B3.4	To promote sustainable use of pastures.	—
B3.1	To identify relevant income-earning strategies	4,000
B3.2	To identify sustainable agricultural technologies	4,000
B3.4	To identify sustainable use of pastures	4,000
	<b>Sub-Total</b>	<b>12,000</b>

**6.7****LAND USE PLANS**

A2.4	Document issues of land issues / resource tenure	6,000
A3.3	Modify policy issues to enhance BD conservation	4,000
A3.4	Review legislative framework affecting BD	5,000
A3.6	Promote land use plans and guidelines	4,000
A3.7	Review potential reserve mechanisms	4,000
A3.9	Incentives promoting sustainable resource use	7,000
B3.6	Promote improved pastoralist resource use land use	8,000
B4.4	Develop pastoralist grazing and fire mgt plans	7,000
	<b>Sub-Total</b>	<b>45,000</b>

**6.8****BIODIVERSITY MANAGEMENT PLANS**

B1.1	Develop interactive participatory management process	6,000
B4.1	Develop biodiversity strategies in focal districts	41,000
B4.2	Integrate cross-border/regional protocols into district BD strategies	8,000
	<b>Sub-total</b>	<b>55,000</b>

**6.9****BIODIVERSITY DATA BASE DEVELOPMENT**

B1.9	D-base/resource centre	5,000
	<b>Sub-total</b>	<b>5,000</b>

## 7. TRAINING

### Fellowships

No fellowships are planned.

### Study tours and in-country visits:

Management training, cross site visits, visits across borders **\$30,000**

### Workshops

A1.6	Strengthen existing environmental committees	2,500
A2.2	Provide awareness to CBOs	2,500
A3.8	Promote political support for conservation	2,500
B2.4	Raise awareness of alternative resources	3,000
	<b>Sub-Total</b>	<b>10,500</b>

## 8. EQUIPMENT

### 8.1 International Procurement

8.1.1	7 vehicles @ 22,000 each	154,000
8.1.2	15 Computers @ 2,000 each	30,000
8.1.3	12 Printers @ 1,000 each	12,000
8.1.4	1 large photocopier	10,000
8.1.5	Small photocopier	4,500
8.1.6	Telephones; 1 Secretarial	700
8.1.7	10 ordinary sets	1,200
8.1.8	7 Facsimile sets	4,900
8.1.9	10 E-mail modems	2,000
8.1.10	1 Overhead project	1,000
8.1.11	1 Slide projector	1,500
8.1.12	1 TV Video set	2,200
	<b>Sub-Total</b>	<b>234,000</b>

### 8.2 Local Procurement

8.2.1	6 motorcycles @ 3,000 each	18,000
8.2.2	Office furniture	13,500
8.2.3	5 secretarial desks	2,000
8.2.3	5 secretarial chairs	500
8.2.4	1 Conference table	300
8.2.5	6 Office desks, double pedestal	2,300
8.2.6	4 Office desks, single pedestal	1,200
8.2.7	20 Conference chairs	1,200
8.2.8	11 Filing Cabinets, 4 door	2,700
8.2.9	5 Stationery cupboards	1,300
8.2.10	6 Bookshelves	2,000
8.2.11	Office security proofing	5,000
8.2.12	4 Typewriters	5,000
8.2.13	Field / Nursery tools etc.	60,000
	<b>Sub-Total</b>	<b>135,000</b>

NOTE: Once project is operational the advantages / disadvantages of local tax-free purchase of eg computers to avail better service and warranties will be explored.

### 8.3 Office supplies and consumable

8.3.1	Project Management Office	15,000
8.3.2	Field Offices	11,500
	<b>Sub-Total</b>	<b>26,500</b>

### 9.0 MISCELLANEOUS

9.1	Operations and maintenance	50,000
9.2	Reporting costs	5,000
9.3	Sundry	4,450
	<b>Sub-Total</b>	<b>59,450</b>

Support Services (UNDP @ 3% of year budget) 31,831

**PROJECT TOTAL FIRST YEAR INPUTS 1,092,881 \$ US**

## **ANNEX 8 : SCHEDULE OF INPUTS TANZANIA.**

This section provides further details of the Tanzanian inputs, needed to accomplish the objectives. The project preparation process, produced detailed costings for many items. These are maintained for use by project management. In several cases only summaries are given here.

### **1100 International Consultancy: Tanzania needs International Consultancy input for:**

- (i) Development of monitoring and evaluation systems including the use of indicators and sustainability issues in an ICDP activity. This is to be in year one and part in year three. The Consultant is to work with National Teams. A total of 3 mm is envisaged.
- (ii) A major activity in achieving the objective of this project is the development of alternatives and sustainable use technologies. Consultancy input will be required for this in year 2 or 3. This will be 2 mm.

Total 5 mm : at 5 x 16,000 (+AOS) and this is in the regional budget as line 1153 (Consultants, Tanzania).

### **1300 Administrative Support Personnel:**

In Tanzania the project provides for :

At HQ: An Administrative Officer, an Accounts Assistant, a Project Secretary, Messenger/Cleaners and two drivers.

At Districts: A Secretary, Messenger/Cleaner and two drivers are provided for at each of the three Project Site. Casual labour will be required to facilitate field activities such as boundary cutting; nursery establishment, and such other assistance. Additional drivers will use vehicles on contract work.

**1500 Duty Travel:** A total amount of US \$ 180,000 is provided for travel of project staff, and 156,000\$ for Non-Staff travel (Steering Committees). This includes Headquarters staff travel to the sites and travel of Project Site Personnel to the project Headquarters.

The project pattern in Tanzania : with sites in Bukoba, Same and Monduli, and National Capital at Dar es Salaam necessitates much travelling.

**1700 National Experts:** Funds are provided to recruit National Expertise as one vNational Project Manager for 60 months and one Technical Officer for 60 months. Three Field Project Officers to be based at the Project Sites have salaries for 60 months each. Terms of Reference are in Annexure 3 b,c, and e.

**National Consultancy:** In Tanzania total of 33 mm of national Consultancies are provided for in the project. These include inputs for:

- Assessment of Training needs and developing necessary training packages and curriculum including valuation methodologies for the cross-border sites: 4 mm in year 1.
- Clarification of Resources Management Agency mandates and support improvements for coordination among relevant agencies, NGOs and donors: 2 mm in Year 1.
- Analysis of the policy environment, effectiveness and compatibility in-country : 4 mm in year 2.
- Review of existing information on land use around the target sites: 2mm Year 2.

- Developing guidelines for an interactive and participatory management plan process in the target project sites: 2 mm in year 1: Synthesis and writing up the plan after the process; 2 mm in year 3.

- Development of guidelines and procedures of incorporating traditional resource conservation strategies into biodiversity management. 2 mm in year 3.

- Developing Monitoring and Evaluation Components involving local people 4 mm; 3 mm in year 1, 2 mm in year 3.

- Development of an Environment Audit Component involving local people 4 mm; 3 mm in year 2, 1mm in year 4.

- Identification of resource alternatives and to establish baseline data on their utilisation: 3 mm in year 1, using information from user surveys out of activity B13, B14 and B15.

- Identification of relevant income earning strategies (eg. ecotourism, bees and cottage industries): 3 mm consultancy in year 2.

- Identification of Sustainable Agriculture eg : Zero grazing and Agroforestry) to improve soil productivity, and identification of ecologically and socially sustainable of pastures. 2 mm year 3

#### **2100 Contractual Arrangements; Tanzania:**

In Tanzania, an amount of US \$ 908,402 provides for contracting arrangements. Details are given in the following tables. Summaries are shown in the project document itself : Section E.

No	Fields of Activity by Contracts	Tanzania
1	Training	180,000
2	Land-Use Plans	60,000
3	Policy/Legislation	60,000
4	Alternate Resources	205,000
5	Management Plans	130,000
6	Inventories	60,000
7	Participation/Extension	115,000
8	Pastoralists	105,000
9	District BD Databases	100,000
10	Water / Wetlands	20,000
	<b>Total</b>	<b>1,035,000</b>

#### **3000 Training**

**3100** No fellowships are envisaged at National level.

**3200 Study Tours** are planned for cross-border visits and in country between the three field sites. Costings involve field visits, workshops, and information exchange. Costed at = \$ 80,000.

**3300 Workshops:** Funds are provided for workshops for activities undertaken outside Contracting Mechanisms. Ten workshops are envisaged outside contracted activities including consultative meetings for the District Biodiversity plan processes and Management Plan Consensus and CBO workshops. Each workshop is costed at \$ 10,000.

#### **4000 EQUIPMENT**

The project provides for the local procurement of both expendable and non-expendable equipment. This is separate from the more expensive equipment which will be purchased internationally. Local procurement includes office furniture, supplies and consumables.

**4500 Local Procurement:** Office Furniture and Consumables: Total 100,000

**4700 International Procurement:**

(a) **Vehicles:** Vehicles are needed at field sites for FPO and Counterpart activity; at Headquarters for NPM and Administration and to facilitate the many field activities of both large and small contractual agreements.

Equipment	HQ / Nat Contract	District & Dist. Contracts
<b>Vehicles:</b>		
Station Wagons	2	3
Station Wagon Hard-Tops		3
Twin Cab Pick-ups	2	1 (Bukoba)
4x4 Truck		1 (Monduli/Same)
Motor-cycles		6
<b>Communications</b>	As Required	As Required
Radios/Fax/Phones		
<b>Computers</b>		
Desktops/Printers/UPS	4 (including. 1 for NEMC)	6
Laptops	5	3
Photocopiers	2	3
<b>Field / Science / Awareness</b>		
Binoculars	14	6
Cameras	3	3
VCR / TV	1	3
O/H Projector	2	3
Compasses	20	
GPS	1	3
Camp Equipment	Varied	Various
Public Address System	1	
Other Survey/Field Equipment	Minor items	

To be purchased through standard UNDP purchasing procedures.

**Estimated Cost : Total International Procurement = 452,000\$**

**5100 Operations and Maintenance:**

- (a) Vehicles: Running one vehicle costs an average of US \$ 600 per month. Thus  $600 \times 12 \times 9 \text{ vehicles} \times 5 \text{ years} = 324,000$ . This includes fuel, oils and lubricants, insurance, road licensing and repairs.
- (b) Motorcycles: Four motorcycles have been budgeted for, in this project document. Maintenance costs are estimated at US \$ 200. Thus :  $200 \times 12 \times 4 \times 5 \text{ years} = 48,000$ .
- (c) Faxes, phones and radio communication : US\$ 300 per month. Thus  $300 \times 12 \text{ months} \times 3 \text{ sites} \times 5 \text{ years} = 54,000$ .
- (d) Other , eg Furniture : Estimated at 10% of cost : Thus : 10% of US \$ 10,000 = \$ 1,000.
- (e) Computers : Budgeted at 10% of cost per year. Thus :  $3,800 \times 5 = 19,000$ .

**5200 Reporting Costs:**

Reporting costs include costs for Technical papers, the annual PPE Reports, Quarterly Reports, The Inception Report. Costed as : **Total Reporting 30,000**

**5300 Sundry:**

This includes communications, hospitality and utilities:

- |  |               |
|--|---------------|
| (i) Communications : Total             | 29,000        |
| (ii) Hospitality : 400\$ per year x 5  | 2,000         |
| (iii) Utilities : 1,000\$ per year x 5 | 5,000         |
| <b>Total Sundry</b>                    | <b>36,000</b> |

**5400 UNDP Support Services (3%) 98,400**



**ANNEX 8B: ACTIVITY -IMPLEMENTATION MATRIX SHOWING LIST POTENTIAL CONTRACTS: (TANZANIA)**

Activity	Detail	Implementation Type/Contract (C) No.	Year
A1.1	Training needs – assessment	C T1 Forest training needs C T2 Valuation training	1 2
A1.2	Undertake training	C T3 District training forestry (3 sites) C T4 National training forestry	2 2
A1.3	Improve conditions	Project Management Unit	1 +
A1.4	Infrastructure	Project Management Unit	1 +
A1.5	Develop capability to interact with people	C Becomes part of T3, and part of T6 below.	2
A1.6	Develop Environment Committee abilities	Nat. Consultancy, PMU, DSCs.	1 +
A2.1	Identify & support CBOs	C T6a,b,c (I see this as a major long-term contract to a capable NGO which maintains a capacity building presence working with CBOs, at EACH site).	1 - 3
A2.2	Increase capacity of CBOs /NGOs, & links to Govt.	Add to TOR for T6 above	1 - 3
A2.3	Document indigenous knowledge systems	Consultant Input	1 - 2
A2.4	Document/analyse land & resource tenure systems	Consultant Input	2
A2.5	Develop Joint Resource Management protocols	C T6, plus PMU, Regional links.	2 - 3
A2.6	Develop/run training in resource/people interaction	A consultancy or contract? Also PMU, and link to T6 in contact to people	1 - 2
A3.1	Clarify resource management mandates	N Consultancy, link to T6 at local level mandates - village govts, user groups.	1 - 2
A3.2	Analyse policies	REGIONAL ACTIVITY	2 +
A3.3	Proposed policy change	REGIONAL ACTIVITY & PMU	2 - 3
A3.4	Review legislative framework affecting BD	C T7 (or a Nat Consultancy?)	2 - 3
A3.5	Promote awareness of laws	use T7 and PMU, DSCs	2 - 3
A3.6	Promote landuse plans	C T8	2
A3.7	Review potential PA reservation mechanisms	Nat. Consultancy	2
A3.8	Promote political support	Consultancy, NSCs, DSCs PMU etc	1 +
A3.9	Address need for fiscal incentives	REGIONAL INPUTS & PMU	2 +
A3.10	Develop/Run courses in policy analysis.	REGIONAL INPUTS	2 +

Activity	Detail	Contracts	Year
B1.1	Develop management plan process in districts	C T9? PMU, RTA, plus Local Consultancy inputs for start-up	1
B1.2	Establish baseline data on biodiversity loss	Consultancy, RTA, and link to T11 below, & for people to T6	1
B1.3	Undertake resource inventories for: a Wood Products b Biological Values c Crop Germ Plasm d User Group NTFPs	Could vary for sites? esp T13?? C T10 C T11 C T12 C T13	1 1 1 1
B1.4	User survey of BD & resources	Link to T6 using methods from a specialised consultancy.	2 - 3
B1.5	Livelihood analysis of target populations	C T14, and link to Regional Activity on methods.	2
B1.6	Undertake full resource valuations	C T15 linked to Regional Activity	2 - 3
B1.7	Incorporate traditional strategies into plan process	PMU	3
B1.8	Identify water sources and wetlands issues	Consultancy and C T16	3
B1.9	Develop district data bases & resource centres at districts	Consultancy, PMU	2 - 3
B 1.10	Develop sustainable use technologies for key BD resources	C T17. This could be one or more, depending on which BD!	2 - 3 - 4
B1.11	Develop monitoring, evaluation and Env. Audit components with people.	Consultancy, link to Regional Consultancy and to T6 locally.	2- 3
B1.12	Initiate key mgmt plan provisions a) Reservation of PAs b) Boundary inputs	PMU, District.	3 +
B2.1	Identify resource alternatives	Regional Consultancy, and T6, and Nat Consultancies	2 - 3
B2.2	Develop site specific extension packages for such alternatives	Local Consultancy, C T18, link to T6 and PMU with site donors.	3
B2.3	Strengthen integrated extension services	Part of T18, use Nat Consultancy for methods, PMU, Site Donors.	3 - 4
B2.4	Raise awareness of these alternatives	Add to T6, and specialised Nat Consultancy for delivery message	3 - 4
B2.5	Identify/Develop resource use technologies/strategies	Regional Consultancy, and Local Consultancy inputs	3 - 4
B2.6	Promote/monitor use of these technologies at sites	Add to T19, T6 and to PMU	3 - 4 - 5
B3.1	Identify relevant income earning strategies (eg eco-tourism)	C T20, could be more than one depending on strategies?	3
B3.2	To support such strategies	Add to T20, use T6 as entry point	3 - 4

B3.3	Identify sustainable agriculture	C T21, following consultancies. Split sites?	2 - 3
B3.4	Identify sustainable pasture use	National consultancy	2 - 3
B3.5	Identify & promote water harvesting and water management	C T22, following scoping consultancy	3
B3.6	Promote pastoralist activities which reduce demand on BD.	C T23, following scoping consultancy	3 - 4
B4.1	Develop BD strategies in Districts	Nat Consultancy & PMU	3
B4.2	Integrate cross-border protocols	Regional Inputs & PMU.	3 - 4
B4.3	Develop plans for improved water access rights, & how to implement	C T24, follow on from T23?	3 - 4
B4.4	To develop grazing and fire plans for areas adjacent to BD sites, and seek their implementation	Consultancy, PMU, T6 for entry-point locally.	3

This set of planning outputs leads into the next table which is the detailed set of OUTPUTs expected from the bigger contracts.

**ANNEX 8C DETAILED OUTPUTS FROM LARGE CONTRACT MECHANISMS FROM FIRST YEAR CONTRACTS IN TANZANIA**

No	LogFrame	Title	Key Outputs	Time	Years	Amount \$(Estimate)	Prospective Institutions
T1	Training Needs Assessment	Training Needs Assessment	1 Review present forestry/biodiversity functions in Minziro 2 Assess staff inputs and activities to meet those functions 3 Assess existing staff capabilities, knowledge 4 Determine appropriate training needs for staff, and possible curricula to meet those needs	3m			TAF, SUA
T 6: a Bukoba b M'duli c Same		Institution Creation & Rural Development.  These will be separate contracts for each district site.	1 Assessment of present rural institutions 2 Relevant institutions (user groups etc) created at village level with sustainable governance. 3 Institutions used to start process of change in use of BD resources. 4 Institutions used to start change in productive activities. 5 Institutions used for awareness conduits.	36m +	1/2/3		World Vision, ETC, ACCORD
T 10	B1	Inventory Timber	1 Listing of woody species and products available & used 2 Assessment of distribution, abundance & status of key resources 3 Mapping areas of product use and impact 4 Assess changes in forest boundary and cover classes over time	3m each site			FBD, SUA
T 11	B1	Inventory Biodiversity	1 Assessment of communities and ecosystems in target areas 2 Listing biodiversity values in selected taxa in communities 3 Assessment of distribution, status and abundance of key taxa	3-6m each			Frontier, MUIENR *



T 12	B1	Inventory Crop Germ Plasm	1 Listing of crop relative & traditional crop germ plasm in sites 2 Assessing potential importance and status of selected resources	1-2m each			TPRI
T 13	B1	Inventory of Non-Timber Forest Products. Note could be separate contracts by site, or combined.	1 Listing of NTFP used in target area. 2 Listing of NTFP available in target area. 3 Assessment of abundance of Key NTFP. 4 Assessment of status of key NTFP in terms of use and regeneration. 5 Documentation of pattern of use.	3-6m each	1/2		TAF, SUA TAFORI

**Note \*** MUIENR are working in the Ugandan forests across the borders, and have useful background knowledge of the area.

**(NUMBERS FOLLOW CONTRACTS in Annex 8b).**

- Note costs are based on use of national institutions (including national offices of international/regional institutions).
- Costs include personnel inputs, networking, workshops, training, local travel costs, reporting, minor equipment, field operational costs and overheads.
- Major equipment, including vehicles, will be purchased by Project Management Units to take advantage of cost effectiveness.
- Details will be finalised after project start-up, together with selected institution. Contracts to be approved by NPSCs based on technical capability, track record and sustainability of institutional linkages. Contracts will have detailed activities, budgets and workplans.

## **ANNEX 9 : SCHEDULE OF INPUTS UGANDA.**

This section gives details of planned inputs. The initial six months of the project will elaborate on these figures in consultation with contracting institutions, and details provided in the Inception Report.

### **1100 International Consultancy: Uganda needs international Consultancy input for:**

- (i) Development of monitoring and evaluation systems including the use of indicators and sustainability issues in an ICDP activity. This is to be in year one and part in year three. The Consultancy is to work with National Teams. A total of 3mm is envisaged.
- (ii) A major activity in achieving the objective of this project is the development of alternatives and sustainable use technologies. Consultancy input will be required for this in year 2/3. This will be 2mm.

Total 5mm : at 5 x 16,000 (+AOS) and this is in the regional budget as line 1152 (Consultants, Uganda).

### **1300 Administrative Support Personnel:**

In Uganda, the project provides for Administration, Secretarial and Driver Staff. Details are as follows:

Title	Estimated Salary per month				
	Year 1	Year 2	Year 3	Year 4	Year 5
<b>Headquarters:</b>					
1. National Project Manager	2000	2000	2200	2200	2500
2. Technical Officer	1200	1200	1300	1300	1500
3. Senior Admin. Assistant	1000	1000	1200	1200	1300
4. Accounts Clerk	600	600	700	700	800
5. Secretary	400	400	450	500	550
6. Filing/Records	200	200	220	220	250
7. Messenger	100	100	110	110	120
8. Cleaner	80	80	90	90	100
9. Driver x 5	200	200	220	220	250
10. Casual Labour	3000	3000	2000	2000	1000
<b>Sites:</b>					
1. Field Project Officers x 2	1000	1000	1200	1200	1300
2. Admini. Assistant x 2	600	600	700	700	800
3. Site Secretaries x 2	200	200	220	220	240
4. Drivers x 4	150	150	170	170	200
5. Messengers x 2	80	80	90	90	100
6. Cleaners x 2	60	60	80	80	90

**1500 Duty Travel:** A total amount of US \$ 187,270 is provided for travel of both Project and Non-project staff. Project Staff travel includes Headquarter staff travel to the sites and travel of Project Site Personnel to the project Headquarters as follows:

(i) NPM : 10 days per month @ 60 = 600 x 60 =	36,000
(ii) T O : 6 days per month @ 60 = 360 x 60 =	21,600
(iii) Admin : 3 days per month @ 60 = 180 x 60 =	10,800
(iv) FPOs : 2 people x 3 days x 12 x 5 x 50 =	18,000

**Total Staff Travel**

**86,400**

And for Non-Staff travel as follows:

- |   |        |
|---|--------|
| (i) NPC for supervision : 3 days x 12 x 5 x 60 =  | 10,800 |
| (ii) Regional Steering committees : 5 people x 8 meetings x 880 =   | 35,200 |
| Over 5 years 2 meetings are in-country, so no need for travel.  |        |
| (iii) Regional Technical Planning Committees:   |        |
| 3 people x 8 meetings x 880 = 21,120 (Note: 880 = DSA 400 + 40 + 40 + 400 ticket)   |        |
| (iv) National Steering Committees: 15 people x 3 DSAs x 50 =  | 2,250  |
| (v) Site Steering Committees: 7 people + will travel either from Moroto to Kotido (vice-versa as well) or from Mbarara to Rakai (& vice-versa) : 7 people x 3 DSA x 50 x 3 meetings x 5 x 2 = 31,500. |        |

Total (i) - (V) = 10,800 + 35,200 + 21,120 + 2,250 + 31,500 = 100,870.

**1700 National Experts:** Funds are provided to recruit National Expertise as National Project Manager for 60 months and Technical Officer for 58 months. Two Field Project Officers to be based at the two Project Sites Mbarara/Rakai and Moroto/Kotido are also provided with salary support up to 58 months each. Terms of reference are in Annexure 3 b,c, and e.

**1751 National Consultancy:** In Uganda a total of 24 mm of national Consultancies are provided for in the project. These include inputs for:

- Assessment of Training needs and developing necessary training packages and curriculum including valuation methodologies for the cross-border sites: 3 mm in year 1.
- Clarification of Resources Management Agency mandates and support improvements for coordination among relevant agencies, NGOs and donors: 1mm in Year 1.
- Analysis of the policy Environment effectiveness and compatibility in-country and the Region : 3mm year 2.
- Review of existing information on landuse around the target sites: 1mm Year 2.
- Developing guidelines for an interactive and participatory management plan process in the target project sites: 2mm in year 1: Synthesis and writing up the plan after the process; 1mm in year 3.
- Development of guidelines and procedures of incorporating traditional resource conservation strategies into biodiversity management. 1mm in year 3.
- Developing monitoring and evaluation components involving local people 3mm; 2mm year 1, 1mm year 3.
- Developing an Environment Audit Component involving local people 3mm; 2mm in year 2, 1mm in year 4.
- Identification of resource alternatives and to establish baseline data on their utilisation: 2mm in year 1, using information from user surveys out of activity B13, B14 and B15.
- Identification of relevant income earning strategies (eg. ecotourism, bees and cottage industries): 4 mm



consultancy in year 2.

- Identification of Sustainable Agriculture eg : Zero grazing and Agroforestry) to improve soil productivity, as well as identification of ecologically and socially sustainable of pastures.

## **2100 Contractual Arrangements; Uganda:**

In Uganda, an amount of US \$ 1,395,200 is earmarked for contracting arrangements in the broad fields of Training, Inventory, Management planning, natural resource management and joint management of resources with the communities. Details of Contractual arrangements are:

### **1 In-service training: Three sets of inputs, all totalling to \$ 168,000.**

- (a) Provision of in-service training in resource Agencies at all levels from officers to guards will be done by institutions with expertise in the country. Such Institutions include the Uganda Forest Department's Nyabyeya Forestry College, Makerere's Biological Field station under MUIENR, Makerere University Forestry Department, and, the Uganda Wildlife and Tourism Institute.
- (b) A second part of in-service training will be the provision of Training and awareness amongst CBO/NGOs, including the identification, creation and strengthening of links to Government Agencies.
- (c) A third part is the Development and Running of Training Courses in resource- people interaction for conservation in the context of project activities. It is planned that the same institutions such as Makerere Forest Department, Nyabyeya Forestry College and the Uganda Wildlife Authority will, in collaboration with the National Curriculum Development Centre, develop the courses outlines towards community resource management programmes.

These three sets of inputs are costed at \$ 168,000.

### **2 Professional Training Courses in Resource Conservation:**

These will be local fellows at MUIENR/MISR or MUFD. Courses will include Documentation of Indigenous knowledge as for activity A2.3, and Resource- people interaction. Documentation of indigenous knowledge required in the four districts in which the protected areas as located. Four local fellows at 10,000 each and training 4 staff in resource/people interaction from the four districts at \$ 10,000 .

Total = 80,000

### **3 Land use plans:**

A contracting mechanism is provided for, to document and analyse issues of land and resources tenure, and ownership relevance to Biodiversity conservation and suggestion for harmony. This activity be contracted to those institutions with experience in landuse issues such as MISR and CBR.

This is costed as a 2mm National Consultancy equivalent to US \$ 7000 and Resources for Mapping the areas all in total costed at  $(1.5mm \times 3.5) + (5.25 \times 2) = 24,000$ . Another activity on Landuse (Activity 3.6) calls for the promotion of landuse plans and the developed guidelines as a result of the institutional consultancy above. This will require the involvement of districts, Resource Management Agencies such as UWA, UFD, NWP and MAAIF. At district level, the District Land Officer, the Agriculture Extension department and District Production Coordinators will be very important players.

Promotion of guidelines will involve workshops. One workshop of 25 people in each of the four Districts =  $25 \times 200 \times 4 = 20,000$ . Total for this contract = **51,000**

#### **4 Resource Policy:**

One of the major activities of the project is to facilitate Resource Management agencies to modify policy where appropriate so as to enhance biodiversity issues. This builds on an analysis of policy by an independent consultant. This will involve the Resource agencies themselves including UFD, UWA, MAAIF, NWP and NEMA. This is a consensus building activity to involve workshops and seminars. Costings include:

(a) 5 workshops	=	25,000
(b) Materials production, cabinet papers etc	=	<u>5,000</u>
<b>Total</b>		<b><u>30,000</u></b>

#### **5 Legislative Awareness:**

The promotion of Awareness for legislation regarding biodiversity issues will involve the Management Agencies, UWA, UFD, NEMA, MAAIF and the districts. Assistance by an NGO such as WCU is quite useful. This is costed mainly through materials production such as calendars, bulletins, radio programmes, and competitions on biodiversity. Total = **30,000 \$**

#### **6. Alternatives resource awareness and incentives:**

Incentives to promote sustainable resource use of Natural resources include:

1. Proper definition of property/user rights
2. Provision of seed money to help develop substitutes, eg the commercialisation of medicinal plants eg setting up demonstration areas and nurseries at subcounties.
3. People could raise seedlings and the project buys them off etc.  
Raising awareness of need for alternative sources within the local society; and to promote use of identified alternatives and monitor use of such alternatives.

Costings are **100,000 \$**

#### **7 Management Plan Process.**

This activity is build as an overall strategy process for Biodiversity. The protected areas should have management plans by the end of the project but this should be interactive. Resources agencies UWA and UFD will be involved with an input from a cross sectoral institution such as MUIENR. Costed as :

(i) Training (1 week) for all stakeholders: 5 Representatives from each district for each project site ie for 2 project sites =  $2 \times 20 \times 5 \times 200 = 40,000$

(ii) Workshops at both sites (budgeted as part of strategy process).

The process is then driven by the Resource Management Agencies: Total costing 50,000.

As part of the Management Plan process, the Resources Agencies UFD and UWA in collaboration with

districts will endeavour to incorporate traditional resource conservation strategies into biodiversity management plans. A Consultancy to assist in providing guidelines will be done in year 1. The rest will be done through workshops seminars/PRAs. Training will also be needed. This will start in year 2 : Costing are:

(i) Workshops : 2 x 1 x 30 x 200 =	12,000
(ii) Training : 2 x 2 x 25 x 200 =	<u>20,000</u>
<b>Total</b>	<b><u>32,000</u></b>

Stakeholders include Local Committees, donors, NGOs/CBOs, districts, Centre, and resource user groups. Materials production is costed at 200 copies of each Management Plan ie 200 x 5 x 4 management plan x 2 = 8,000. This is now in year 3. **Total costs = 36,000.**

## 8 Resource Inventories:

Resources inventories will be carried out by institutions of comparative Advantage in terms of expertise and experience.

Inventories for wood products could be undertaken by the Uganda Forest Department who have extensive experience in this field. The project will provide field equipment as required.

Inventories for the other activities will be carried out by the relevant qualified institutions such as MUIENR for biological indicators, NARO for Crop Germ plasm, and Makerere University Forest Department for Non Timber Forest Products (NTFPs). Inventories have been costed as :

(i) For wood resources:	<u>28,000\$</u>
(a) 4mm activity	
(b) Recurrent costs fieldwork	
(c) Travels/DSAs	
(ii) For Biological indicators (similarly)	28,000
(iii) For Crop Germ plasm : (2mm activity)	14,000
(iv) For user Group NTFPs (similarly)	14,000

The institution to undertake the NTFPs study would also undertake the overall user survey of biodiversity and Natural resources in the target sites. This is costed at 2mm consultancy of US \$ 10,000.

## 9. Baseline line data on Biodiversity Loss:

The Makerere University Institute of Environment and Natural Resources has carried out some baseline inventories for the Sangobay ICDP proposals; The institute had earlier been contracted by the UWA to undertake preliminary survey of the Karamoja Wildlife areas. It will be useful for the project to facilitate MUIENR to carry out analysis of data to obtain the present baseline rates of biodiversity loss. Costed as an institutional consultancy if US \$ 5,000, including Travels and software purchases.

#### 10. Livelihood Analysis:

To carry out Livelihood analysis of Target populations has been viewed as requiring an experienced institution such as MISR or CBR and has been costed as a 4mm Institutional consultancy contract, for the two areas Sangobay (Rakai/Mbarara) and Karamoja (Moroto/Kotido).

Thus :	2mm x 3,500	=	7,000
: Operational costs		=	4,000
: Travels		=	4,000
Total		=	<u>15,000</u>

#### 11. Water Sources Assessment and provision:

The identification and Assessment of Water Sources and Associated Wetlands in and around the biodiversity sites will be carried out by specialised agencies eg DWD and NWP. This is a 2mm National Consultancy: 11,000

An additional activity is promotion of better water availability and water access. This includes water harvesting and water management. It basically includes provision of water collection areas (dams). A valley dam is estimated at between \$ 20,000 - 50,000 depending on site and size. Consultations during project development revealed that pastoralist travel as far as 500 km away to graze and water in the target ecosystems; Trampling and degrading it further. An intervention is required to halt this movement. The provision of watering points away from the ecosystem in an appropriate intervention. Each of the major zones of pressure will be provided with such watering point. This project will not be able to provide all the necessary watering points, but will make a contribution to the most urgent areas. About 15 dams @ costing about US \$ 20,000 will be availed to reduce pressure on the ecosystem. In addition, promoting water harvesting on site will be done through user groups.

The District Water Officer, will be closely involved in this activity. He/she will be assisted with transport and necessary facilities including allowances estimated to about \$ 300 per month for 2 years = 14,400  
This contract will therefore be : 300,000 + 14,400 + 11,000 = 325,400.

#### 12. District Database Development:

This activity will be implemented in Rakai and Moroto districts. Kotido and Mbarara are NEMA focus districts and have already obtained computer hardware and software support and here database development is on-going. Under this project, there will be established a documentation centre equipped with a computer as well as relevant biodiversity books. There needs to be a 2mm institutional consultancy to design a user friendly database preferably after a user survey. There exists information at UFD and MUIENR but relevant data will have to be extracted from these areas to the Districts. Training will have to be undertaken by the Institution to facilitate use of the computers:

2mm consultancy 2 x 3,500	=	7,000
Training	=	5,000
Books etc	=	10,000
Travels	=	2,000
DSA	=	2,000
User surveys	=	2,000
<b>Total</b>	=	<b><u>28,000</u></b>

### 13. Management Plan Implementation:

The bulk of the target Ecosystems for which the management plans are to be made are under the direct jurisdiction of the Uganda Forest Department. These include the Sangobay forests, Mt Moroto, Mt. Kadam and Mt Napak forest reserves. Initiating the implementation of the provisions of the management plans will be by at least year 4. It is likely that the Management plan could prescribe consolidated control of the protected areas. This may involve:

(i) Boundary demarcation - 500km x 20	=	10,000
(ii) Surveying and Mapping 100km x 20 x 2	=	4,000
<b>Total</b>		<b><u>14,000</u></b>

The Uganda Forest Dept has drafted the Nature Conservation Masterplan. The Project Target Ecosystems feature as important sites for conservation. The Department suggest better infrastructure, staffing, boundary planting, zonation etc. As a major stakeholder, the views of the UFD are very important and may, by the end of the plan process still be important, thus:

(iii) Zonation of multiple use Areas	
(iv) Nursery establishment for boundary planting etc	
(v) Improvements and/or establishment of Forest stations/units	=60,000
(vi) Staff support at 4 per site x 50 x 24 months	
(vii) Community meetings for Joint Management/Sustainable use methodologies etc	
<b>Total</b>	<b>=<u>108,800</u></b>

This is an activity to be done in a collaborative manner between UFD, UWA, NWP and the Districts.

### 14. Integrated Extension Service:

This is to be accomplished by institutions such as MAAIF, UFD, UWA, NARO, NWP and the districts. it involves:

(i) Manual production by eg NARO, or MAAIF after consultations. This is costed at 2mm activity = 2 x 3,500	=	7,000
Operations costs	=	3,000
Costs of copies of the manual	=	5,000
<b>Total</b>	=	<b><u>15,000</u></b>

#### (ii) Strengthen Integrated extension involves:

- (a) Provision of facilities
- (b) Provision of inputs
- (c) Training on the provision of the Manual produced.

Costed as

Total 115,000

#### 15. Pastoralist Resource use/Fire Management plans:

The Development of grazing/fire management plans would best be done through workshops and consultancies.

This contract activity could be implemented by the Ministry of Agriculture Animal, Industry and Fisheries via the District Agriculture, Veterinary, Forestry and Wildlife Departments. (The collection to draw out a rangeland management plan in both areas). The consultancy would be for 6mm spread out over a period of 1 year as this have to facilitate the production of the plan.

Workshops will be held for Technical and district leaders. Thus :  $2 \times 6,000 = 12,000$

6mm institutional consultancy =  $6 \times 3,500 + 3,000$  costs = 24,000.

A PRA of 5 days in each microsite would assist to evaluate rangeland use with community involvement (10 microsite  $\times 2 \times 10$  days  $\times 50$ ) = 5,000.

Follow-up will be necessary to present the PRA reports. For Technical people from the districts, 2 seminars will be arranged, one at start and another towards plan - write up. ( $2 \times 2 \times 2 \times 10 \times 50$ ) = 4,000.

The documentation production of the plan is costed at 5,000 (2 ecosystem plans @ 500 copies) Total for this activity = 50,000.

#### 16. Income Support Alternatives:

In promoting and supporting identified alternative income generating strategies, seed money is needed, costed at 5,000 per subcounty in the approximately 10 subcounties surrounding each of the ecosystems. ie  $10 \times 2$  sites  $\times 5 = 100,000$ . Support will be by the strengthened extension staff and through CBOs;

#### Line 3000 Training:

3100 No fellowships are envisaged at National level.

3200 Study Tours are planned for cross-border visits and in country between the two sites Moroto/Kitido and Rakai/Mbarara. Costings involve field visits, workshops, and information exchange.

Costed at  $15 \text{ people} \times 50 \times 10 \text{ days} \times 4 \text{ times} \times 2 \text{ sites} = \$ 60,000$ .

3300 Workshops: Funds are provided for workshops for activities undertaken outside Contracting Mechanisms. Eight workshops are envisaged outside contracted activities including consultative meetings for the District Biodiversity plan processes and Management Plan Consensus and CBO workshops. Each workshop is budgeted at 10,000.

4000

4500

**Local Procurement:**

The project provides for the local procurement of both expendable and non-expendable equipment. This is separated from the more expensive equipment which will be purchased internationally.

Local procurement includes office furniture; supplies and consumables.

## (i) Office furniture and Consumables:

- (a) Office furniture for three offices. Estimated at US \$ 5000 for Central office and US \$ 2500 at each of the sites. Total : US \$ 10,000.
  - (b) Office Supplies/Consumables: These are budgeted at US \$ 600 per month per office. Thus :  $600 \times 12 \times 3 \times 5 \text{ years} = 108,000$ .
  - (c) 100 Bicycles : Budgeted at \$ 80 each - 8,000
  - (d) Gumboots and uniforms, a set budgeted at \$ 80 - 8,000
  - (e) Motorcycles x 4, budget at 2,000 - 8,000
  - (f) Nursery equipment x 4 sites x 200 - 8,000
  - (g) Field tools (pangas, axes, spades, slashers) - 15,000
- Total 47,000**

## (ii) Computers:

- (a) Computer, pentium, 166 MB RAM, 1.2M, PCIA - Modem, CD Rom, at 2,200 (includes UPS at 700, Printer at 700, Other Accessories 400. Total 4000 per computer. Computers are required for NPM, Administrator, Secretary, 2 FPO and 4 at Districts database rooms, thus  $4,000 \times 8 = 32,000$ .
- (b) Laptops 3 at 2,000 @ - 6,000

Total Computers

Total **38,000**

**Total Local Procurement = 156,000** (Note whilst purchasing computers from overseas may be more cost effective in initial purchase, there are considerable gains to be achieved during a project lifetime in purchasing tax fee through a local agent and getting the benefits of a warranty and support package).

4700

**International Procurement:**

- (a) Vehicles: Vehicles are needed at field sites for FPO and Counterpart activity; at Headquarters for NPM and Administration and to facilitate the many field activities of both large and small contractual agreements. There are:
  - (i) NPM - 1 Station Wagon at Kampala
  - (ii) FPO -2 Twin cab Hilux Pick-ups for Rakai/Mbarara and Moroto/Kotido
  - (iii) Support / NPC -2 Twin cabs hilux pick-ups
  - (iv) Administration - 1 Twin cab Pick-up
  - (v) Support Contracts- 2 Toyota Hard Tops at Kampala

Total Vehicles necessary - 8.

In addition, the project will purchase one 4 x 4, 7 ton truck to allow forest protection, Management Plan Development/Implementation and planting in the two field sites.



The overall cost, at IAPSO (CIF to Kampala) rates with spares packages etc is.

(i) Nissan (Japan) 4WD Patrol Station Wagon DX, Low roof, Dessert dueller tyres; Model 4.2 L Diesel; WRGY 60 FU (RHD) + options and freight	=	<u>23,770.</u>
(ii) Toyota (Japan) 4WD Hilux Pick-up Double Cab 2.8 L Diesel LN 106 R - PRMRs (RHD) with options and freight; = 17,377 x 5	=	86,885.
(iii) Toyota Hard Top = 20,000 x 2	=	40,000
(iv) Truck, Tipper = 35,000 x 1	=	<u>35,000</u>
Total	=	<u>85,685</u>
<b>(b) Communications:</b>		
Radios for 3 sites and for eight vehicles, the set at US \$ 25,000. Faxes x 3 @ 1,500	=	4,500
Telephones x 3 @ 2,000	=	<u>6,000</u>
Total		<u>35,500</u>
<b>(c) Photocopier (including spare drums)</b>		
Headquarter (1 + 1)		25,000
Field sites	-	<u>10,000</u>
Total		<u>35,000</u>
<b>(d) Science and Awareness equipment:</b>		
(i) Binoculars x (20) @ 120	=	2,400
(ii) Cameras x (5) @ 500	=	2,500
(iii) Video x (5) @ 800	=	4,000
(iv) Overhead Projector x (5) @ 800	=	4,000
(v) Compasses (20) @ 100	=	2,000
(vi) GPS (link to computer)-	=	5,000
(vii) Camping equipment -	=	10,000
(viii) Public Address system, 540 x 2	=	1,080
Total	=	<u>30,980</u>
<b>Total International Procurement =</b>		<b>277,135.</b>

## 5100 Operations and Maintenance:

- Vehicles:** The project will purchase eight vehicles (see Annexure b) and it is estimated the Running one vehicle would cost US \$ 600 per month. Thus  $600 \times 12 \times 8 \text{ vehicles} \times 5 \text{ years} = 288,000$ . This includes fuel, oils Lubacants Insurance, Road licensing and Repairs.
- Motorcycles:** Four motorcycles have been budgeted for, in this project document. Maintenance costs are estimated at US \$ 200. Thus :  $200 \times 12 \times 4 \times 5 \text{ years} = 48,000$ .
- Faxes, phones and radio communication :** US\$ 300 per month. Thus  $300 \times 12 \text{ months} \times 3 \text{ sites} \times 5 \text{ years} = 54,000$ .
- Other , eg Furniture :** Estimated at 10% of cost : Thus : 10% of US \$ 10,000 = \$ 1,000.
- Computers :** Budgeted at 10% of cost per year. Thus :  $3,800 \times 5 = 19,000$ .

5200

**Reporting Costs:**

Reporting costs include costs for Technical papers, the annual PPE Reports, Quarterly Reports Inception Report, and the Terminal Report. Costed as :

(i)	Annual PPER production 500 per year =	2,500
(ii)	Quarterly reports 100 per quart 400 x 5 =	2,000
(iii)	Inception Report, production binding and distribution =	2,000
(iv)	Technical Reports for estimated 20 contracts @ 1000	20,000

**Total Reporting****26,000**

5300

**Sundry:**

This includes communications, hospitality and utilities:

(i)	Communications :	
	Telephone 300 per month 12 x 5	18,000
	Radio licence 1000 per year x 5	5,000
	Postage 100 per month x 12 x 5	6,000
(ii)	Hospitality 500 per year x 5	2,500
(iii)	Utilities (electricity, water) 1000 per year x 5	<u>5,000</u>

**Total sundry****36,000**

5400

**Support Services (3%)****103,603**

**ANNEX 9 (c): DETAILS OF MAJOR CONTRACTUAL ACTIVITIES (>30,000 \$) WITHIN THE UGANDA NATIONAL COMPONENT.**

	Log-Frame	Title	Key Outputs	Duration	Years	Amount \$ Estimate	Prospective I
U <sub>1</sub>	A1.1, A1.2, A2.6, A2.2, A1.5,	In-service Training	<ul style="list-style-type: none"> <li>- Curriculum developed, people inter-action, JFM</li> <li>- Valuation methodologies for cross border sites</li> <li>- Linkages between NGO/CBO with Govt Agencies</li> <li>- Update on management issues</li> <li>- Capability to interact with local people.</li> </ul>	6mm in bits	1,2,3	168,000	UFD, Nyaby MUFD, NC WCU, MISR MUIENR, N MTAC Distri
U <sub>2</sub>	A1.7, A2.3, A2.6	Professional Training	<ul style="list-style-type: none"> <li>- Community conservation capacity</li> <li>- Indigenous knowledge documentation</li> <li>- Additional qualification; strengthened capacity</li> <li>- District linkages to university</li> </ul>	2 years	2/3	80,000	MUIENR, M
U <sub>3</sub>	A2.4, A3.6	Land use plans	<ul style="list-style-type: none"> <li>- Analysis of land use patterns</li> <li>- Recommendation for alternatives/better use of land</li> <li>- Awareness activities for land suitability</li> </ul>	2mm	1/2	51,000	MISR,CBR
U <sub>4</sub>	A3.3	Resources policy	<ul style="list-style-type: none"> <li>- Seek to modify policy issues where appropriate to enhance biodiversity conservation.</li> <li>- Consensus on policy issues.</li> <li>- Harmonised policies</li> </ul>	3mm in bits	3/4	30,000	UFD, UWA, MAAIF NW
U <sub>5</sub>	A3.5	Legislative awareness	<ul style="list-style-type: none"> <li>- Overall Awareness on legislative issues affecting Biodiversity conservation.</li> </ul>	Continuous	13/4	35,000	UWA, UFD, MAAIF, Dist NEMA
U <sub>6</sub>	A3.6, A3.9, B2.6, B2.4, B3.3, B2.5.	Alternative Resources Awareness and Incentives	<ul style="list-style-type: none"> <li>- Proper identification of property/user rights</li> <li>- Develop substitutions, demonstration sites, Tree nurseries at Subcounties.</li> <li>- Tree planting/woodlots</li> <li>- Apiary, fish ponds etc</li> </ul>	3 years	2/3/4	100,000	Districts, U NWP MAAI
U <sub>7</sub>	A3.6, B1.1, A1.5, B.1.7, B4.2	Management plan process	<ul style="list-style-type: none"> <li>- Assessment of areas for multiple use</li> <li>- Community participation in management</li> <li>- Management plan in place</li> <li>- Increased linkages between UWA/UFD and the communities.</li> </ul>	3 years	1/2/3	90,000	UFD, UWA

			- Traditional resource conservation strategies incorporated in management plans.				
U <sub>8</sub>	B1.8, B3.5, B4.3,	Water sources Assessment and Resource provision	<ul style="list-style-type: none"> <li>- Pressure reduced on the target ecosystems</li> <li>- Better livelihood of communities</li> <li>- Water available to communities</li> </ul>	3 years	1/2/3	325,400	DWD,NWP, Districts
U <sub>9</sub>	B1.12	Management Plan Implementation	<ul style="list-style-type: none"> <li>- Increased knowledge on management, Maps of areas</li> <li>- Collaborative management,Zoning of areas for multiple use.</li> <li>- Proper management of resources</li> <li>- Increased networking, secure ecosystems</li> </ul>	2 years	4/5	108,800	UFD,UWA NWP
U <sub>10</sub>	B2.2, B3.3. B2.6	Integrated Extension Service	<ul style="list-style-type: none"> <li>- Efficient dissemination of knowledge</li> <li>- Increased networking</li> <li>- Greater, community out reach/Awareness support</li> <li>- Coordination at district level</li> <li>- Capacity building; Better forest protection</li> </ul>	4 years	1/2/3/4	115,000	MAAIF, UF Districts WC (NGOs/CBOs)
U <sub>11</sub>	B3.6, B4.4	Pastoralist resource use and fire management plans	<ul style="list-style-type: none"> <li>- Better livelihoods</li> <li>- Reduced pressure on ecosystems</li> <li>- Increased Networking</li> <li>- Community Awareness</li> <li>-</li> </ul>	4mm	2/3/4	50,000	MAAIF, Dist UPANE, KPI
U <sub>12</sub>	B2.6, B3.1, B3.2	Alternative Strategies (Rural development / Community support)	<ul style="list-style-type: none"> <li>- NTFP sustainable use</li> <li>- Better Forest protection</li> <li>- Basket weaving/Apiary/fisheries</li> <li>-</li> </ul>	3 years	2/3/4	100,000	Lutheran Wo Federation, CBOs, World WCU Distric

## **ANNEX 10 : REGIONAL ACTIVITIES : INPUTS AND BUDGETING**

There are two sets of inputs, coordination and technical activity:

### **A : COORDINATION INPUTS**

- 1 Regional Technical Adviser - over 5 years on decreasing scale.  
(75 % input year 1; 60 % year 2; 50 % year 3, 4, 5).
- 2 Secretary/Driver Support.
- 3 Office & Vehicle costs: Establishment & Running.
- 4 RTA Travel Budget In Region.
- 5 Reviews and Mission Costs.

#### **1 Regional Technical Advisor.**

Year 1 75 % = 9 months  
 Year 2 60 % = 7 months  
 Year 3 60 % = 6 months  
 Year 4 50 % = 6 months  
 Year 5 50 % = 6 months

**TOTAL 34 months = 476,000**

(Based on a block cost of 14,000\$ pm for D1 staff member in Arusha).

#### **2 Support Staff (Rates averaged over 5 years)**

Secretary 45mm @ 650 \$pm		9,250
Driver 45mm @ 300 \$pm	1	3,500

**TOTAL 42,750**

#### **3 Vehicle and Office**

3a Toyota Land Cruiser (Basic) 23,000 (Landed DSM, Plus spares kit)

Running Costs: 50,000

**SUB-TOTAL 73,000**

#### **3b Office Accommodation : Shared with Tanzania NPM**

Desks, table, cupboards, etc	4,100
Computer (x 2)	5,000
Printer & UPS	2,000
Phone extensions, cell phone	1,000
Security proofing & staffing	4,000
Utilities at 100\$ pm x 40 m	4,000
Phone/fax at 200\$ pm x 40 m	8,000
Paper, service contracts,	17,000
Books, documents, software	11,000
Camp equipment	5,000
Sundry	1,042

**SUB-TOTAL 62,142**

**TOTAL (office/vehicle)**

**135,142**

**4 Travel**

8 field days per month x 33 = 264 @ 70\$ =	8,480
4 capital days per month x 33 = 132 @ 160\$ =	21,120
Flights 700\$ pm x 33 months =	<u>23,100</u>
<b>TOTAL =</b>	<b>62,700</b>

**5 Evaluations and Coordination etc**

Mission Costs (Evaluations) 2 @ \$60,000	120,000
Steering Committees/TPRs/Planning Committees	12,000
<b>TOTAL</b>	<b>132,000</b>

NOTE: SC Attendance cost for nationals is on national budget. Sums here are for RTA participation.

**GRAND TOTAL "A" : COORDINATION etc**

**848,592**

**B : TECHNICAL INPUTS**

There are six sets of inputs. These are:

- 1 Provision of International Consultancy.
- 2 Regional Policy Analysis etc.
- 3 Regional University Training Courses.
- 4 Regional Networking Workshops.
- 5 Regional Reports and Documentation.
- 6 Regional Training for Project Staff.

**1 International Consultancy.**

A total of 11mm Consultant inputs are planned within two fields of activity. These are:

- a) Development of process indicators to assess project impact in both reduction of biodiversity loss and institutional development within an ICDP framework. Sustainability issues to be included. This is planned at 3mm each in Tanzania and Uganda and 1 mm in Kenya. Inputs to be in year 1, with a review in year 3.
- b) Analysis of Alternative Resource Strategies (activities in Output B2). Inputs for 2 mm each in Tanzania and Uganda. Year 2/3.

Inputs are costed at 16,000\$ per mm, as there will be savings in travel, and much input is at field level.



**Total of - 176,000\$**

## **2 Regional Policy Analysis, Economic Evaluation and Incentives.**

This is for Contracting Regional Technical Institutions (for example ACTS).

a Regional Start-up Input to concept development, follow-up, & training of the national inputs.

b Regional Activity 1 **Policy Analysis** : 5 mm training, M & E  
National input : 7 mm consultancy x 3.

c Regional Activity 2 **Resource Valuation** : 5 mm Training, M & E  
National input : 7 mm consultancy x 3.

d Regional Activity 3 **Fiscal Incentives** : 5 mm Training, M & E  
National input : 7 mm consultancy x 3.

Plus logistics, travel, workshops, seminars, report, honoraria.

Regional Start-up Costs	40,000
Regional Activity 1 - 25,000 + 105,000 national	130,000
Regional Activity 2 - 25,000 + 105,000 national	130,000
Regional Activity 3 - 25,000 + 105,000 national	130,000
Logistics	75,000
<b>GRAND TOTAL</b>	<b>505,000</b>

## **3 Regional Post Graduate Training Support**

Supporting : Development of needs and curricula and capability to run specialist post-graduate diploma / certificate courses within National Universities. Support regional attendance of teachers and participants.

Fields, eg: ♦ Natural Resource BD conservation.  
♦ Environmental Economics / Policy analysis.  
♦ Community Conservation issues.

Courses: ♦ 6 - Two courses per country, years 2, 3.

♦ Duration : each up to three weeks.  
♦ Participation : 5 from each country.

**EXAMPLE** Suppose Uganda has a course in Natural Resource Conservation: It would do this twice (eg year 2 and 3). This would be a contracting mechanism to (eg Makerere University: MUIENR) to undertake this activity, providing resources to:

- 1 PLAN the course, curriculum content, trainers and field work.
- 2 SUPERVISE the actual running of the course.
- 3 REVIEW the success/failure of course and modify for year 2 etc.
- 4 RESOURCES for field teaching honoraria etc.
- 5 RESOURCES to bring specialist teachers from outside country.
- 6 RESOURCES for books etc, course handouts and manuals.

## **7 RESOURCES FOR PARTICIPANTS (assuming 20 days course)**

Nationals (5 on each course) SUB-TOTAL 7,500

Internationals (5 on each course from two other countries)

Base costs PLUS travel SUB TOTAL 19,000

Total per course 26,500\$. Two courses per country: 53,000

Course Development 2 mm Nat Con :	10,000\$ per country
Course Management 2 mm Nat Con	10,000\$ per country
Course Evaluation 1 mm Nat Con :	5,000\$ per country
Teaching Honoraria	10,000\$ per country
Travel for staff in region	10,000\$
Participant costs (see above)	53,000\$
Materials, papers, books:	8,000\$
Logistics etc	5,000\$
<b>COST PER COUNTRY</b>	<b>111,000\$</b>

**TOTAL FOR THREE COUNTRIES**

**333,000\$**

## **4 REGIONAL INTERACTION**

Six technical inputs providing regional expertise into workshops and providing for publishing outputs. Topics could include :

- ◆ District based database / resource centre involvement.
- ◆ Local people's involvement in resource monitoring.
- ◆ Developing cross-border protocols for biodiversity conservation.
- ◆ Cross-border trade in forest products.
- ◆ Sustainable use of forest products.
- ◆ Management planning guidelines for regional values.

Planned as two/three full working day technical workshops (with 4 participants per country) with 21 day prior consultation by regional consultancy expertise (ie a week in each country working with national staff), and subsequent technical reporting.

Each workshop with consultancy inputs, honoraria, materials, travel and participation, reports.

Costed at:	Each Total=	\$15,000
6 Workshops Each at 15,000\$	<b>TOTAL</b>	<b>\$90,000</b>

## **5 REPORTING AND DOCUMENTATION**

Terminal Report	10,000
Newsletter production : 10 issues at 1,000\$	10,000
Annual Reports	5,000
5 Technical reports on regional biodiversity issues	10,000
<b>TOTAL</b>	<b>35,000</b>

## 6 Training Networking Project Staff

- Study tours: 6 mm per country = total of 18 mm.  
(18mm Study tour at 7,000\$ pm) 126,000
- MSc training: 3 scholarships : 1 per country.  
(3 x 12mm fellowships (Africa) at @ 18,000\$ pm) 54,000

**TOTAL 180,000**

**GRAND TOTAL B : TECHNICAL INPUT: 1,319,000**

### Summary of Regional Input Costs:

Coordination	848,592
Technical	1,319,000
Sub Total	2,167,592
Support Costs (8% on above)	173,408

**OVERALL TOTAL REGIONAL INPUT = 2,341,000**

NOTE: These sums (US \$) can be allocated against country totals as follows:

Input	Kenya	Tanzania	Uganda	Total
a Coordination	282,864	282,864	282,864	848,592
b Technical excluding Consultants	381,000	381,000	381,000	1,143,000
c Consultants	16,000	80,000	80,000	176,000
d Sub-Total Technical (b + c)	397,000	461,000	461,000	1,319,000
e Total Inputs (a + d)	679,864	743,864	743,864	2,167,592
f Operational Costs (8% of e)	54,389	59,509	59,509	173,407
g Grand Total (e + f)	734,253	803,373	803,373	2,341,000

Differences are due to unequal consultancy inputs between countries (line c). This is due to presence of technical skills present within Kenya in field of alternative technologies.

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Annex 11a: KENYA NATIONAL BUDGET: US \$							
Project Number KEN/57/G31/C/1G/99							
	TOTAL	1997	1998	1999	2000	2001	
<b>1100 INT. PERSONNEL</b>							
1300 SUPPORT STAFF	392,600	3,900	97,175	97,175	97,175	97,175	
<b>1500 TRAVEL</b>							
1501 Staff	130,000	16,100	30,975	30,975	25,975	25,975	
1502 Non-Staff	120,000		30,000	30,000	30,000	30,000	
1599 TOTAL TRAVEL	250,000	16,100	60,975	60,975	55,975	55,975	
1600 MISSIONS	10,000		2,500	2,500	2,500	2,500	
<b>1700 NAT. PROFESSIONALS</b>							
1701 NPM	121,000	11,000	27,350	27,450	27,550	27,650	
1702 NTO	90,800		22,580	22,660	22,740	22,820	
1703 FPO (3*)	191,400		47,490	47,730	47,970	48,210	
1751 Consultants	60,000	2,000	21,000	18,500	14,000	4,500	
1799 Total Nat. Professionals	463,200	13,000	118,420	116,340	112,260	103,180	
1799 TOTAL PERSONNEL	1,115,800	33,000	279,070	276,990	267,910	258,830	
<b>2100 CONTRACTS</b>							
2101 Training	134,300		70,000	32,150	32,150		
2102 Land - Use Plans	150,600		65,000	45,000	25,000	15,600	
2103 Policy/Law							
2104 Alternate Resources	211,000		53,000	53,000	53,000	52,000	
2105 Management Plans	130,000		86,000	25,000	10,000	9,000	
2106 Inventories	120,000		72,000	25,000	23,000		
2107 Particip./Extension	102,900		60,000	18,500	13,000	11,400	
2108 Pastoralism	131,900		50,000	50,000	21,000	10,900	
2109 District Data Bases	50,000		20,000	20,000	5,000	5,000	
2110 Water/Wetlands	95,000		60,000	23,000	8,500	3,500	
2199 TOTAL CONTRACTS	1,125,700		536,000	291,650	190,650	107,400	
<b>3000 TRAINING</b>							
<b>3100 Fellowships</b>							
3200 Study Tours	100,000		40,000	30,000	30,000		
3300 Workshops/Meetings	190,500	5,500	47,000	60,000	45,000	33,000	
3900 TOTAL TRAINING	290,500	5,500	87,000	90,000	75,000	33,000	
<b>4000 EQUIPMENT</b>							
4500 Local Procurement	201,500	27,500	144,000	10,000	10,000	10,000	
4700 Int'l. Procurement	234,000	82,000	152,000				
4900 TOTAL EQUIPMENT	435,500	109,500	296,000	10,000	10,000	10,000	
<b>5000 MISCELLANEOUS</b>							
5100 Operations	279,000	17,500	79,625	79,625	73,625	28,625	
5200 Reporting	25,000		5,000	6,000	7,000	7,000	
5300 Sundries	20,539	2,500	8,752	3,500	2,950	2,837	
5900 TOTAL MISCELLANEOUS	324,539	20,000	93,377	89,125	83,575	38,462	
SUB - TOTAL	3,292,039	168,000	1,291,447	757,765	627,135	447,692	
5400 Support Serv. (3%)	98,761	5,040	38,743	22,733	18,814	13,431	
9900 GRAND TOTAL	3,390,800	173,040	1,330,190	780,498	645,949	461,123	

ANNEX 11b: TANZANIA NATIONAL BUDGET: US \$							
Project Number URT/97/G31/C/1G/99							
		TOTAL	1997	1998	1999	2000	2001
<b>1100 INT. PERSONNEL</b>							
1300 SUPPORT STAFF		362,240	5,300	100,000	94,700	80,000	82,240
<b>1500 TRAVEL</b>							
1501 Staff		180,000	13,400	55,000	40,000	35,800	35,800
1502 Non-Staff		156,000		40,000	40,000	40,000	36,000
1599 TOTAL TRAVEL		336,000	13,400	95,000	80,000	75,800	71,800
1600 MISSIONS		10,000		2,500	2,500	2,500	2,500
<b>1700 NAT. PROFESSIONALS</b>							
1701 NPM		171,200	12,000	38,000	40,400	40,400	40,400
1702 NTO		67,000		16,750	16,750	16,750	16,750
1703 FPO (3*)		176,400		44,100	44,100	44,100	44,100
1751 Consultants		100,000	3,500	24,500	24,000	24,000	24,000
1799 Total Nat. Professionals		514,600	15,500	123,350	125,250	125,250	125,250
1999 TOTAL PERSONNEL		1,222,840	34,200	320,850	302,450	283,550	281,790
<b>2100 CONTRACTS</b>							
2101 Training		180,000		70,000	70,000	30,000	10,000
2102 Land - Use Plans		60,000		40,000	20,000		
2103 Policy/Law		60,000		30,000	25,000	5,000	
2104 Alternate Resources		195,000		58,000	78,000	38,000	21,000
2105 Management Plans		130,000		90,000	40,000		
2106 Inventories		60,000		40,000	20,000		
2107 Particip./Extension		115,000		60,000	30,000	20,000	5,000
2108 Pastoralism		105,000		50,000	35,000	20,000	
2109 District Data Bases		70,000		20,000	20,000	20,000	10,000
2110 Water/Wetlands		50,000		20,000	30,000		
2199 TOTAL CONTRACTS		1,025,000		478,000	368,000	133,000	46,000
<b>3000 TRAINING</b>							
<b>3100 Fellowships</b>							
3200 Study Tours		80,000		30,000	30,000	20,000	
3300 Workshops/Meetings		100,000	4,000	34,000	24,000	24,000	14,000
3900 TOTAL TRAINING		180,000	4,000	64,000	54,000	44,000	14,000
<b>4000 EQUIPMENT</b>							
4500 Local Procurement		103,000	3,000	56,000	19,000	15,000	10,000
4700 Int'l. Procurement		452,000	60,000	392,000			
4900 TOTAL EQUIPMENT		555,000	63,000	448,000	19,000	15,000	10,000
<b>5000 MISCELLANEOUS</b>							
5100 Operations		245,000	8,500	60,000	71,500	60,000	45,000
5200 Reporting		30,000	1,000	2,000	10,000	2,000	15,000
5300 Sundries		22,360	2,507	5,960	5,600	5,600	2,693
5900 TOTAL MISCELL.		297,360	12,007	67,960	87,100	67,600	62,693
SUB - TOTAL		3,280,200	113,207	1,378,810	830,550	543,150	414,483
5400 Support Serv.(3%)		98,400	3,400	41,360	24,920	16,290	12,430
9900 GRAND TOTAL		3,378,600	116,607	1,420,170	855,470	559,440	426,913



Annex 11c: UGANDA NATIONAL BUDGET: US \$							
Project Number UGA/97/G31/C/TG/99							
		TOTAL	1997	1998	1999	2000	2001
<b>1100 INT. PERSONNEL</b>							
1300 SUPPORT STAFF		381,840	6,900	84,595	93,435	94,035	102,875
<b>1500 TRAVEL</b>							
1501 Staff		86,400	7,500	19,725	19,725	19,725	19,725
1502 Non-Staff		107,000	6,200	26,200	26,200	24,200	24,200
1599 TOTAL TRAVEL		193,400	13,700	45,925	45,925	43,925	43,925
1600 MISSIONS		10,000		2,500	2,500	2,500	2,500
<b>1700 NAT. PROFESSIONALS</b>							
1701 NPM		130,800	11,000	27,100	29,700	29,700	33,300
1702 NTO		75,600		17,400	18,600	18,600	21,000
1703 FPO (3*)		132,800		29,000	33,800	33,800	36,200
1751 Consultants		84,000	2,000	55,000	18,500	8,500	
1799 Total Nat. Professionals		423,200	13,000	128,500	100,600	90,600	90,500
1799 TOTAL PERSONNEL		1,008,440	33,600	261,520	242,460	231,060	239,800
<b>2100 CONTRACTS</b>							
2101 In-Service Training		168,000		84,000	84,000		
2102 Professional Training		80,000		40,000	40,000		
2103 Land - Use Plans		51,000		31,000	20,000		
2104 Resource Policy		30,000			20,000	10,000	
2105 Legislative Awareness		35,000		7,000	10,000	10,000	8,000
2106 Alternate Res./Awareness		100,000		60,000	20,000	20,000	
2107 Management Plan Process		90,000		50,000	32,000	8,000	
2108 Inventories, Woo Products		28,000		28,000			
2109 Inventories, Biolog. Indicators		28,000		28,000			
2110 Inventories, Crop Germplasm		14,000		14,000			
2111 Inventories, User group NTFP		24,000		24,000			
2112 Baseline data, Biodiv. loss		20,000		20,000			
2113 Livelihoods Analysis		15,000		15,000			
2114 Water Sources & Res. Assess.		325,400		307,200	18,200		
2115 Dist. Data Bases		28,000		28,000			
2116 Mgnt Plans Implementation		108,800				68,000	40,800
2117 Integrated Ext. Services		115,000		50,000	50,000	15,000	
2118 Past. Res./Fire Management		50,000		20,000	20,000	10,000	
2119 Alternat.Strategies/Rural Com		115,000		35,000	40,000	40,000	
2199 TOTAL CONTRACTS		1,425,200		841,200	354,200	181,000	48,800
<b>3000 TRAINING</b>							
3100 Fellowships							
3200 Study Tours		60,000		20,000	20,000	20,000	
3300 W/shops, Biodiv. Plans		10,000			10,000		
3400 W/shops, CBO Consultations		60,000	4,500	20,000	20,000	15,500	
3900 TOTAL TRAINING		130,000	4,500	40,000	50,000	35,500	

Annex 11c: UGANDA NATIONAL BUDGET: US \$							
Project Number UGA/97/G31/C/1G/99							
<b>4000 EQUIPMENT</b>							
<b>4500 Local Procurement</b>							
4501 Office furniture & supplies	118,000	10,000	49,500	19,500	19,500	19,500	
4502 Communications (faxes, etc)	35,500		35,500				
4503 Computers, photocopiers	63,000		63,000				
<b>4700 Int'l. Procurement</b>							
4701 Vehicles	200,000	98,000	102,000				
4702 Science & Awareness Equip.	30,960		30,960				
<b>4900 TOTAL EQUIPMENT</b>	<b>447,460</b>	<b>108,000</b>	<b>280,960</b>	<b>19,500</b>	<b>19,500</b>	<b>19,500</b>	
<b>5000 MISCELLANEOUS</b>							
<b>5100 Operations &amp; Maintenance</b>							
5101 Vehicles	274,200	17,500	65,000	67,000	68,000	56,700	
5102 Equipment operations	78,500		20,000	20,000	18,000	20,500	
5103 Office renovation & repair	10,000		5,000		5,000		
5200 Reporting	28,400		6,500	6,500	8,500	6,900	
5300 Sundries	39,200	4,500	9,000	9,000	8,700	8,000	
<b>5900 TOTAL MISCELL.</b>	<b>430,300</b>	<b>22,000</b>	<b>105,500</b>	<b>102,500</b>	<b>108,200</b>	<b>92,100</b>	
<b>SUB - TOTAL</b>	<b>3,441,400</b>	<b>168,100</b>	<b>1,529,180</b>	<b>768,660</b>	<b>575,260</b>	<b>400,200</b>	
5400 Support Serv. (3%)	103,200	5,043	45,875	23,060	17,258	12,006	
<b>9900 GRAND TOTAL</b>	<b>3,544,600</b>	<b>173,143</b>	<b>1,575,055</b>	<b>791,720</b>	<b>592,518</b>	<b>412,206</b>	

Annexure 11d: REGIONAL BUDGET: US \$							
Project Number RAF97G32/A/1G/12							
	TOTAL	Year 1	Year 2	Year 3	Year 4	Year 5	
<b>1100 INT. PERSONNEL</b>							
1151 Consult. Kenya	16,000	16,000					
1152 Consult. Tanzania	80,000	32,000	32,000		16,000		
1153 Consult. Uganda	80,000	32,000	32,000		16,000		
1199 Total Int'l. Personnel	176,000	80,000	64,000	-	32,000	-	
<b>1500 TRAVEL (RTA)</b>	74,700	15,000	14,000	14,000	16,000	15,700	
<b>1600 Missions (Evaluation)</b>	120,000			60,000		60,000	
<b>1900 Component total</b>	<u>370,700</u>	<u>95,000</u>	<u>78,000</u>	<u>74,000</u>	<u>48,000</u>	<u>75,700</u>	
<b>2100 CONTRACTS</b>							
2101 Policy	505,000	200,000	100,000	100,000	80,000	25,000	
2102 Training (Kenya)	111,000	20,000	60,000	31,000			
2103 Training (Tanzania)	111,000	20,000	60,000	31,000			
2104 Training (Uganda)	111,000	20,000	60,000	31,000			
<b>2199 Total Contracts</b>	<u>838,000</u>	<u>260,000</u>	<u>280,000</u>	<u>193,000</u>	<u>80,000</u>	<u>25,000</u>	
<b>3100 FELLOWSHIPS</b>							
3101 Kenya MSc. 2	18,000		18,000				
3102 Tanzania MSc. 2	18,000		18,000				
3103 Uganda MSc. 2	18,000		18,000				
<b>3199 Total Fellowships</b>	<u>54,000</u>		<u>54,000</u>				
<b>3200 STUDY TOURS</b>							
3201 Kenya	42,000	14,000	21,000	7,000			
3202 Tanzania	42,000	14,000	21,000	7,000			
3203 Uganda	42,000	14,000	21,000	7,000			
<b>3299 Total Study Tours</b>	<u>126,000</u>	<u>42,000</u>	<u>63,000</u>	<u>21,000</u>			
<b>3300 WORKSHOPS</b>							
3301 Kenya 2	30,000			15,000	15,000		
3302 Tanzania 2	30,000		15,000			15,000	
3303 Uganda 2	30,000			15,000	15,000		
<b>3399 Total Workshops</b>	<u>90,000</u>		<u>15,000</u>	<u>30,000</u>	<u>30,000</u>	<u>15,000</u>	
<b>3900 TOTAL TRAINING</b>	<u>270,000</u>	<u>42,000</u>	<u>132,000</u>	<u>51,000</u>	<u>30,000</u>	<u>15,000</u>	
<b>4000 EQUIPMENT</b>							
4501 Local Procurement	22,100	12,000	4,000	3,000	2,300	800	
4701 Vehicle	23,000	23,000					
4702 Computers	8,000	7,000	1,000				
4703 Furniture/Camp	5,000	3,000	2,000				
<b>4900 Total Equipment</b>	<u>58,100</u>	<u>45,000</u>	<u>7,000</u>	<u>3,000</u>	<u>2,300</u>	<u>800</u>	
<b>5000 MISCELLANEOUS</b>							
5100 Operations	64,000	15,000	12,000	12,000	12,000	13,000	
5200 Reporting							
5201 Terminal Report	10,000					10,000	
5202 Tech. Reports	15,000	3,000	3,000	3,000	3,000	3,000	
5203 Newsletters	10,000	2,000	2,000	2,000	2,000	2,000	
5300 Sundries	13,043	3,993	3,000	3,000	2,000	1,050	
<b>5900 TOTAL MISCELL.</b>	<u>112,043</u>	<u>23,993</u>	<u>20,000</u>	<u>20,000</u>	<u>19,000</u>	<u>29,050</u>	
<b>SUB - TOTAL</b>	<b>1,702,843</b>	<b>466,993</b>	<b>517,000</b>	<b>341,000</b>	<b>179,300</b>	<b>145,550</b>	
<b>93 Support Serv. (8%)</b>	131,907	37,279	41,360	27,280	14,344	11,644	
<b>9900 GRAND TOTAL</b>	<u><b>1,780,750</b></u>	<u><b>503,272</b></u>	<u><b>558,360</b></u>	<u><b>368,280</b></u>	<u><b>193,644</b></u>	<u><b>157,194</b></u>	

# Annex 11e: UNOPS Regional Budget

Project Number: RAF97G35/A1G/31

B.L.	Description	Total	Year 1	Year 2	Year 3	Year 4	Year 5
<b>10</b>	<b>PROJECT PERSONNEL</b>						
11	International Experts						
11-01	Regional CTA		126,000	98,000	84,000	84,000	84,000
<u>11-99</u>	<u>Sub-Total</u>	<u>476,000</u>	<u>126,000</u>	<u>98,000</u>	<u>84,000</u>	<u>84,000</u>	<u>84,000</u>
13	Administrative Support						
13-01	Secretary	29,250	6,500	6,500	6,500	6,500	3,250
13-01	Driver	13,500	3,000	3,000	3,000	3,000	1,500
<u>13-99</u>	<u>Sub-Total</u>	<u>42,750</u>	<u>9,500</u>	<u>9,500</u>	<u>9,500</u>	<u>9,500</u>	<u>4,750</u>
<b>10</b>	<b>COMPONENT TOTAL</b>	<b>518,750</b>	<b>135,500</b>	<b>107,500</b>	<b>93,500</b>	<b>93,500</b>	<b>88,750</b>
	TOTAL	<u>518,750</u>	<u>135,500</u>	<u>107,500</u>	<u>93,500</u>	<u>93,500</u>	<u>88,750</u>
94	Support Services (8%)	41,500	10,840	8,600	7,480	7,480	7,100
<b>99</b>	<b>GRAND TOTAL</b>	<b>560,250</b>	<b>146,340</b>	<b>116,100</b>	<b>100,980</b>	<b>100,980</b>	<b>95,850</b>

## **ANNEX 12 UNITED NATIONS DEVELOPMENT PROGRAMME**

### **AUDIT REQUIREMENTS FOR GOVERNMENTS EXECUTION OF UNDP FUNDED PROJECTS**

#### **1.0 GENERAL**

##### **1.1 Accountability of Governments**

Governments which execute UNDP projects are responsible for the management of all UNDP resources allocated to a project. In this capacity, a government is accountable to the Administrator for the entirety of UNDP resources under its management.

The administration by government of funds obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures to the extent that they provide adequate control over the resources. Where the financial governances of a government do not provide the required guidance, those of UNDP shall apply.

Each government shall maintain such accounts and records as are necessary to enable it to report on the financial status of funds obtained from or through UNDP.

To ensure the uniformity and usability of data required for UNDP management purposes, the Administrator is authorized to specify the basis, content and periodicity of reports on funds obtained from or through UNDP which are to be submitted by governments.

##### **1.2 General Audit Requirement**

Article XVII of the United Nations Development Programme Financial Regulations pertaining to external audit has been annexed for information to these requirements and shall, mutatis mutandis, apply to audits of government-executed projects.

The Administrator shall ensure that governments executing UNDP projects shall require their auditors to follow, to the extent feasible, the audit principles and procedures prescribed for the United Nations with respect of funds obtained from or through UNDP and shall submit audit reports annually together with the reports specified in the project document and those mentioned in Section 4 below.

##### **1.3 Audit**

The Governments will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the procedures set out in Section 30503 of the UNDP Policies and Procedures Manual (PPM) and Section 10404 of the UNDP Finance Manual. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

#### **2.0 PURPOSE OF THE REQUIREMENTS:**

The purpose of these audit requirements is to provide auditors of government-executed projects (herein after referred to as "the Auditor") with UNDP terms of reference for audits of government-executed projects.

The procedures and requirements are addressed under the following categories:

UNDP audit objectives and scope for government-executed projects;

Financial accounting, monitoring and reporting procedures;

Audit findings and recommendations;

The audit process; and

Source of audit funding;

### **3.0 AUDIT OBJECTIVES AND SCOPE**

The overall objective for an audit of a government-executed project is to obtain reasonable assurance that UNDP's resources are being managed by governments in accordance with their financial regulations, rules, practices and procedures, the project document, the project implementation, monitoring, evaluation and reporting and the accounting and financial reporting procedures for government execution which are contained in Sections 30500 and 30600.

In managing these resources, a government has fiduciary and compliance responsibilities to UNDP. It also has compliance responsibilities for UNDP reporting procedures. Thus, an audit of a government-executed project must fulfill a set of audit objectives designed to provide UNDP with reasonable assurance that:

- . Project disbursements are made in accordance with the project document;
- . Project disbursements are valid and supported by adequate documentations;
- . An appropriate system of internal control is maintained by the project management and can be relied upon;
- . Project financial reports are fair and accurately presented; and
- . Project monitoring and evaluation reports are prepared as required.

The audit shall be conducted in conformity with generally accepted common auditing standards and in accordance with the Auditors' professional judgement.

### **4.0 FINANCIAL ACCOUNTING, MONITORING AND REPORTING PROCEDURES**

Adequate control systems should be in place within a project management structure. In order to determine whether satisfactory measures exist and are being followed to prevent losses or detect potential risks, the Auditor should review the general control environment as well as the specific internal accounting controls that are being used to support and validate transactions.

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## OBJECTIVES

The overall objective for an audit of a government's financial statements is to provide an independent assessment of the truth and fairness of the financial statements. This objective is achieved by following the audit process, which involves planning, performing, and reporting the audit.

audit and  
account

the audit process, a government's financial statements are audited by an independent auditor. The auditor's role is to provide an objective assessment of the financial statements and to report on the results of the audit.

An audit  
can be

in conformity with general  
principles of professional accounting

## FINANCIAL ACCOUNTING

Financial accounting is the process of recording, summarizing, and reporting the financial transactions of an organization. It is a key component of the accounting system and provides the basis for the preparation of financial statements.

financial  
statements