



# REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: FULL-SIZED PROJECT

TYPE OF TRUST FUND: GEF TRUST FUND

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## PART I: PROJECT INFORMATION

<b>Project Title: Securing Watershed Services through Sustainable Land Management in the Ruvu and Zigi Catchments, Eastern Arc Region, Tanzania</b>			
Country(ies):	Tanzania	GEF Project ID: <sup>1</sup>	5463
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5077
Other Executing Partner(s):	Ministry of Water, Tanzania	Submission Date:	11 May 2015
GEF Focal Area (s):	Land degradation	Project Duration(Months)	60 months
Name of Parent Program (if applicable):		Project Agency Fee (\$):	346,641
<ul style="list-style-type: none"> <li>➤ For SFM/REDD+ <input type="checkbox"/></li> <li>➤ For SGP <input type="checkbox"/></li> <li>➤ For PPP <input type="checkbox"/></li> </ul>			

### **A. FOCAL AREA STRATEGY FRAMEWORK<sup>2</sup>**

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
LD3 Reduce pressures on natural resources from competing land uses in the wider landscape	Outcome 3.1: Cross-sectoral enabling environment for integrated landscape management (in support of SLM)	Output 1: Integrated land management plans implemented and developed	GEFTF	800,000	7,000,000
	Outcome 3.2: Integrated landscape management practice adopted by local communities	Output 2: INRM tools and methodologies developed and tested	GEFTF	2,375,103	14,000,000
	Outcome 3.3: Increased investments in integrated landscape management	Output 4: Appropriate actions to diversify the financial resource base	GEFTF	300,000	2,000,000
Project Management				173,755	1,000,000
<b>Total project costs</b>				<b>3,648,858</b>	<b>24,000,000</b>

<sup>1</sup> Project ID number will be assigned by GEFSEC.

<sup>2</sup> Refer to the [Focal Area Results Framework and LDCF/SCCF Framework](#) when completing Table A.

## B. PROJECT FRAMEWORK

<b>Project Objective: Sustainable land and natural resource management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu and Zigi catchments of the Eastern Arc Mountains, Tanzania</b>						
<b>Project Component</b>	<b>Grant Type</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Trust Fund</b>	<b>Grant Amount (\$)</b>	<b>Confirmed Cofinancing (\$)</b>
Component 1: Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management	TA	<p><b>Outcome 1:</b> Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resource Management in the Ruvu and Zigi catchments</p> <p><b>Outcome Indicator:</b> SLM integrated into land use and water management plans at catchment management and district levels (<i>see Project Results Framework for indicators, baselines and targets</i>)</p>	<p>1.1: Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.</p> <p>1.2: Multi-sectoral stakeholder committees established (or strengthened) and active in promoting co-ordination and dialogue in support of mainstreaming SLM into other sectors, programmes and policies</p> <p>1.3: Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the Wami-Ruvutwo and Pangani river basins</p> <p>1.4: Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to</p>	GEF TF	800,000	7,000,000

			identify and prosecute water and land-use infringements and harness greater compliance			
	TA	<p><b>Outcome 2:</b> Finances available for SLM investments are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions</p> <p><b>Outcome indicator:</b> Increase in public funds allocated to SLM interventions in the Ruvu and Zigi catchments (<i>see Project Results Framework for indicators, baselines and targets</i>)</p>	<p>2.1: New streams of public finance are identified and accessed</p> <p>2.2: Sectoral (forestry, agriculture and water) allocations to SLM are re-aligned</p> <p>2.3: The effectiveness of SLM investments is improved</p>	GEF TF	300,000	2,000,000
Component 2: Reducing the effects of land degradation on watershed services and improving livelihoods through increased landscape level adoption of SLM measures in the Ruvu and Zigi catchments	TA	<p><b>Outcome 3:</b> Institutional capacity is built for promoting sustainable land and forest management in support of IWRM in the Ruvu and Zigi Catchments</p> <p><b>Outcome Indicator:</b> Increase in awareness and capacity of local communities and institutions (e.g. extensions services, district authorities, Basin Water Offices) for integration of SLM into resource use and management</p>	<p>3.1: The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices, regional offices of line ministries and local government institutions</p> <p>3.2: The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions</p> <p>3.3: Extension services are capacitated to</p>	GEF TF	1,000,000	7,000,000

		practices ( <i>see Project Results Framework for indicators, baselines and targets</i> )	promote uptake of SLM and promote alternative sustainable livelihoods			
	INV	<p><b>Outcome 4:</b> Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods</p> <p><b>Outcome Indicator:</b> Reduction in extent of degradation in the Ruvu and Zigi catchments and improvement in the livelihoods of basin communities due to increased benefits from adoption of SLM practices (<i>Specific indicators, baselines and targets to be established in Year 1</i>)</p>	<p>4.1: Sustainable land management practices promoted and natural rehabilitation facilitated in 10,000 ha of forest</p> <p>4.2: Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages</p> <p>4.3: Sustainable livestock management technologies developed and tested and infrastructure developed to operationalise SLM in rangelands</p>	GEF TF	1,375,103	7,000,000
Subtotal					3,475,103	23,000,000
Project management Cost (PMC) <sup>3</sup>				GEF TF	173,755	1,000,000
<b>Total project costs</b>					3,648,858	24,000,000

### C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Please include letters confirming cofinancing for the project with this form

<sup>3</sup> PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
Government Agencies	Ministry of Water	Grant	13,000,000
	Tanga-UWASA	Grant	6,500,000
	National Land Use Planning Commission	Grant	2,500,000
GEF Agency	UNDP	Grant	2,000,000
<b>Total Co-financing</b>			<b>24,000,000</b>

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY<sup>1</sup>

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) <sup>2</sup>	Total c=a+b
UNDP	GEF TF	Land Degradation	Tanzania	3,648,858	346,641	3,995,499
<b>Total Grant Resources</b>				<b>3,648,858</b>	<b>346,641</b>	<b>3,995,499</b>

<sup>1</sup> In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

<sup>2</sup> Indicate fees related to this project.

#### F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	142,000	92,000	234,000
National/Local Consultants	270,000	123,000	393,000

#### G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex D an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

## PART II: PROJECT JUSTIFICATION

### A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF<sup>4</sup>

1. The project design, as presented in the ProDoc, is in-line with the PIF, although some minor modifications have been introduced, guided by the STAP and GEFSec comments and based on data collected during the PPG and the inputs of stakeholders during PPG consultations and workshops. The original intent of the PIF has not been altered, nor has there been any change to the basic problem that the project sets out to address. The original project structure of 2 components and 4 outcomes has been retained – the few changes that have been made relate to shifts in emphasis and focus under some of the Outputs (particularly Outcome 1: Output 1.4, and Outcome 4), some re-phrasing of Outcomes and Outputs to improve their clarity and focus, and adjustment of some of the targets to make them more realistic. There have also been some minor changes in relative co-finance contributions, with a much greater commitment of co-finance from the Government of Tanzania than was originally anticipated.

<sup>4</sup> For questions A.1 –A.7 in Part II, if there are no changes since PIF and if not specifically requested in the review sheet at PIF stage, then no need to respond, please enter “NA” after the respective question.

2. The main changes are as follows:

**Implementing partners:** The principal implementing partner remains the Ministry of Water of Tanzania (referred to in the PIF as the Ministry of Water and Irrigation – its earlier name). Other responsible parties are the National Land Use Planning Commission (Under the Ministry of Lands, Housing and Human Settlements Development), Tanga-UWASA and DAWASA (including their contracted water services provider, DAWASCO), the Wami-Ruvu and Pangani Basin Water Boards (and their executive offices), the Ministry of Agriculture, Food Security and Co-operatives and the Tanzania Forest Service.

**Co-finance:** A few changes in co-finance contributions have been necessitated due to operational and budgetary changes that have taken place since the approval of the PIF. One of the main changes is that, the PIF reflected co-finance from an NGO partner – the WWF – through their Payments for Watershed Services projects in the Zigi catchment, but this is no longer applicable as this project has already been closed out. However, the MOW and Tanga-UWASA have provided much higher amounts of co-finance than was originally anticipated, which means that co-finance from the Government of Tanzania amounts to some US\$ 22 million (see attached letters). The UNDP has committed co-finance of US\$ 2 million as indicated in the PIF, bringing the total co-finance from \$15 million planned at PIF stage to \$24 million.

**Re-wording of Components, Outcomes and Outputs:**

Following recommendations of the GEFSec (See GEFSec comments, Question 7: clarity of components and outcomes and outputs in the project framework) and stakeholders consulted during the PPG, the wording of some of the Components, Outcomes and Outputs has been adjusted to improve clarity and focus, although their overall intent and purpose remains the same as in the PIF. Under Outcome 1, Output 1.4, and Outcome 4, a number of minor shifts in focus have been made, as explained in the accompanying table (ANNEX E). Furthermore, Output 3.4 in the PIF (dealing with operationalising SLM in rangelands) has been shifted under Outcome 4 in the Project Document, as it is considered to be more appropriately placed there. The changes and the justification for making them are explained in detail in the appended table (See ANNEX E).

**Changes in targets:** During the project development process, it emerged that some of the targets included in the PIF were over-ambitious and some discrepancies were found in the overall extent of land to be brought under SLM. Drawing on a careful analysis of published research findings (relating to SLM in Tanzania), the best practices and case studies outlined in Liniger, *et al.* (2011), and the extensive experience of NGOs (such as the Tanzania Forest Conservation Group and CARE) and other Agencies (such as Ardhi University) who have implemented projects of this type in the Uluguru and East Usambara Mountains, the targets have been adjusted to be more realistic and achievable and to take into consideration trade-offs related to improved social equity. The main changes in targets are reflected in the following table. It should be noted that other targets that were not specified in the PIF are included in the Strategic Results Framework in the PRODOC.

Indicator	Target used in PIF	Target used in PRODOC
Extent of land under SLM as a result of the project	50,000 or 100,000 or 200,000 ha	<ul style="list-style-type: none"> <li>• At least 20,000 ha of farmland</li> <li>• 10,000 ha of forest</li> <li>• At least 2,000 ha of rangeland restored or brought under sustainable management</li> </ul>
Extent of forest under	10,000ha (under greater	<ul style="list-style-type: none"> <li>• 5,000 ha of degraded forest in protected areas</li> </ul>

increased protection, sustainable management or undergoing restoration	protection), and uptake of sustainable forest management increased by 50% (outside of PAs)	undergoing rehabilitation <ul style="list-style-type: none"> <li>5,000 ha outside of protected areas restored and under sustainable forest management</li> </ul>
Increase in funds available for SLM	10% increase	<ul style="list-style-type: none"> <li>At least 10% increase in government funding for SLM by mid-term and 15% by project end.</li> <li>At least 10% of total funding available to be sourced via the NAP and water policies</li> <li>At least 2 new funding streams accessed</li> </ul>
Uptake of SLM practices by farmers	50% increase	<ul style="list-style-type: none"> <li>At least 50% increase in number of farmers consistently using at least 2 new SLM technologies introduced by the project</li> <li>At least 30% of livestock keepers adopting at least 2 sustainable rangeland management practices</li> </ul>
Household production and incomes	Incomes increased by 30% Production increased by at least 30% for 3 – 4 key crops	<ul style="list-style-type: none"> <li>At least 20% increase in household incomes for at least 40% of participating households</li> <li>At least 15% increase in production for at least 2 – 3 key crops</li> <li>At least 25% increase in number of farmers (at least half should be women) accessing micro-financing</li> </ul>
Number of land use plans	Integrated Land Use Plans developed for 7 districts	<ul style="list-style-type: none"> <li>Existing Integrated Land Use Plans updated for 4 districts</li> <li>New Integrated Land Use Plans developed for 3 districts</li> <li>Existing Village Land use Management Plans updated for 9 villages</li> <li>New Village Land Use Plans developed for at least 10 villages in each catchment</li> </ul>
Improved compliance/prosecution rates (Land and water-use infringements)	Prosecution rates increased by at least 100%	<ul style="list-style-type: none"> <li>At least 50% of water users issued with water use permits</li> <li>60% of industries complying with water discharge permits</li> <li>At least 25% reduction in illegal harvesting from forests</li> </ul>

**A.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.**

The GEFSec requested a deeper analysis of national strategies and plans in order to anchor the project securely in the national decision-making system, and requested that the results of the analysis be reported on at CEO endorsement (*See GEFSec comments, Question 5: Strategic alignment with national development strategies*). The PIF listed alignment with the UNCCD's NAP, the country's Growth and Development Strategy (for agriculture), the National Water Sector Policy and the National Water Sector Development Strategy. Whilst alignment with these particular strategies and policies remains relevant, some of these policies have been revised since the PIF was approved and new policies and strategies have been developed and adopted – in particular, the National Action Plan (NAP) v.2 (for implementing the UNCCD), MKUKUTA II (the National Strategy for Growth and Development, version 2); The National Water Sector Development Programme (which will run over the lifespan of this project), and the Integrated Investment Framework (IIF) and Funding Strategy (IFS) for Sustainable Land Management in Tanzania. The full policy and legislative context within which the project will be implemented is

described in detail in paragraphs 70 – 88 of the PRODOC, and the ways in which the project aligns with the key national strategies and policies is described in paragraphs 249 - 256. A *summary* of the alignment with key policies, strategies and plans is also provided below.

***The National Water Policy (NAWAPO, 2002), Water Resources Management Act (WRMA, Act 11 of 2009) and Water Sector Development Strategy Phase 2 (WSDS 2, under development)***: The *National Water Policy* (NAWAPO) in Tanzania provides the overall policy framework for management of water resources. It is implemented through the *National Water Sector Development Strategy* (NWSDS), the overriding objective of which is to strengthen sector institutions for integrated water resources management and improve access to water supply and sanitation services. Central to NAWAPO and the NWSDS is the principle that water governance should be achieved through a decentralised and participatory approach that cuts across all levels of basin management, from national down to community association level. Outcomes 1 and 3 of this Project include specific outputs that give direct effect to key aims of NAWAPO and the NWSDS including that: the institutional framework for water resources provides for integrated planning and management across sectors (Project Outputs 1.1 and 1.2); at Basin level, the Basin Water Boards (BWBs) and their associated offices are effective in bringing together different sectors and water users, and are able to implement water basin regulations and manage the water resource (Project Outputs 1.4; 3.1 and 3.2); at catchment level, catchment councils (or similar bodies) are in place and able to integrate the planning and development of water resources (Project Output 1.2); at community level, Water User Associations (WUAs) are established and effective in addressing water needs and conflict resolution at sub-catchment level (Project Output 1.3).

The *Water Resources Management Act* (WRMA, Act 11 of 2009) provides the institutional and legal framework for sustainable management and development of water resources, defines principles for water resource management and provides laws to regulate water use and control and prevent water pollution. By putting in place interventions to enhance the capacity of water basin authorities to enforce water basin regulations and engage with stakeholders to garner greater compliance with the law (Project Output 1.4), the Ruvu-Zigi project will be contributing directly to strengthening implementation of the WRMA.

The Ministry of Water is currently in the process of developing an ***Operational Programme for Effective and Sustainable Protection and Conservation of Water Sources***. This project (Ruvu-Zigi) has been designed such that its key outcome areas are fully consistent with the goals identified in the draft Operational Policy, specifically those relating to: (i) establishing effective co-ordination mechanisms to enhance vertical and horizontal collaboration amongst stakeholders (Project Outputs 1.1 and 1.2); (ii) raising awareness and improving stakeholder participation in conservation of water resources (Project Outcomes 1.2 and 3.2); (iii) strengthening the capacity of Basin Water Boards (BWBs), Water User Associations (WUAs), and catchment and sub-catchment committees to perform their roles more effectively (Project Outcomes 3.1 and 3.2); (iv) strengthening the enforcement of water basin regulations (Project Output 1.4); (v) promoting improved land use practices and promoting appropriate technologies for efficient and climate-smart water use (Project Outputs 4.1 to 4.4). This Project will contribute directly to meeting the targets that have been set for implementation of the Operational Policy and the coherence of the project indicators with those of the Operational Policy will ensure consistency in data collection and reporting.

***The National Action Plan, v.2*** (for combating desertification and land degradation) – NAP 2: The NAP is Tanzania's national action programme to reduce and where possible, reverse the impacts of Desertification, Land Degradation and Drought (DLDD) in order to contribute to poverty alleviation, improve livelihoods, conserve natural resources and achieve sustainable development goals. The NAP has been prepared in alignment with the operational objectives of the UNCCD 10-year strategy (2008 – 2018), and under the guiding framework of the Tanzania Development Vision 2025. The Ruvu-Zigi project addresses all of the priority areas specified under the NAP, but aligns most directly with the following NAP objectives: (i) to strengthen community-based awareness campaigns (Project Output 1.2);

(ii) to create an enabling environment to harmonise the regulatory framework and implement existing laws addressing DLDD (Project Output 1.4); (iii) to take stock of best practices from previous and existing initiatives and upscale the best practices in the prevention of location specific degradation (Project Outputs 4.1 – 4.4); and (iv) to develop more innovative financing mechanisms for implementing programmes to combat land degradation (Outputs 2.1 – 2.3).

***The Integrated Investment Framework and Integrated Financing Strategy for Sustainable Land Management in Tanzania (IIF and IFS, 2014):*** The Integrated Investment Framework (IIF) and Financing Strategy for Sustainable Land Management (IFS) provides a comprehensive and realistic roadmap of prioritised investment needs and a systematic framework for mobilising resources for the implementation of the NAP and UNCCD, and the promotion of SLM in Tanzania. Whilst the IIF and IFS are focussed at national level, the Ruvu-Zigi project gives effect at basin level to five key areas of intervention outlined in the IIF and IFS, namely: creating an enabling environment to strengthen SLM (Project Outputs 1.1 – 1.4); up-scaling ongoing initiatives (Project Outcome 4); increasing resources from both internal and external sources (Project Outcome 2); developing an effective co-ordination mechanism to spearhead SLM and establishing effective mechanisms for monitoring, evaluating and documenting progress in the implementation of SLM projects (Project Outcome 1). Project Outcome 2 of the Ruvu-Zigi project is fully consistent with Project Goal 3 of the IIF (which is to increase internal and external financial resources by mainstreaming SLM activities in the national budgeting framework and exploring innovative sources of financing), and uses a consistent set of project indicators.

**Economics of Land Degradation (ELD) Initiative** - The Economics of Land Degradation (ELD) Initiative is a global assessment on the economic benefits and costs of land and land-based ecosystems funded by the Government of the Republic of Korea, channelled through the UNCCD Secretariat and implemented under the framework of UNDP's Integrated Drylands Development Programme. The Initiative highlights the value of sustainable land management and provides a global approach for analyzing the economics of land degradation. It aims to make the economics of land degradation an integral part of policy strategies and decision-making by increasing the political and public awareness of the costs and benefits of land and land-based ecosystems. Project activities are carried out by the Drylands Development Centre (now the Nairobi Global Policy Centre) in close collaboration with the UNDP Country Offices in Kenya, Sudan and Tanzania. Country level consultations were held in Tanzania in late 2014, and a report will be forthcoming.

***Tanzania's Vision 2025***, and the complementary ***National Strategy for Growth and Reduction of Poverty (NSGRP)*** version II (known by its Kiswahili acronym, MKUKUTA II) both make frequent reference to the linkages between environmental degradation and human well-being. Selected Vision 2025 and NSGRP actions, or cluster strategies to which the Ruvu-Zigi project makes a direct contribution under Project Outcomes 1 and 4 include:

- Developing effective mechanisms to ensure equitable access and use of environment and natural resources especially for poor and vulnerable groups.
- Improving land management and adoption of water conservation technologies, and implementation of national plans under MEAs to halt desertification and land degradation, and restore degraded lands.
- Supporting sustainable management of catchment forest areas.
- Ensuring sustainable natural resource use to ensure energy supplies are maintained (forests, water catchments and charcoal industry).

Linked to MKUKUTA II and the Government's aims to strengthen the agricultural sector in Tanzania, two additional programmes have been introduced: the ***Kilimo Kwanzi*** and ***Big Results Now*** programmes.

The success of both of these programmes is predicated on increased water security and an agricultural sector that is more productive and better able to withstand the shocks and disturbances related to both expected and unexpected climatic variability. The project, therefore, makes an important contribution to building a suitable platform upon which the success of these programmes can be built.

**Other environmental policies:** In addition to supporting these over-arching government strategies, the project complies with and supports the realisation of the National Environmental Policy and Forest Policy. Specifically, the project supports Environmental Policy objectives for the water sector which are geared to ensuring that planning and implementation of initiatives related to water resources are carried out in an integrated way that protects catchment areas and their vegetation (Project Outputs 1.1 to 1.4). National Forest Policy recognises that population pressures and management inefficiencies have contributed to deterioration of catchment forests and resultant water shortages. By putting in place measures to reduce harvesting and restore degraded forests (Project Outputs 4.1 and 4.2), this project addresses key areas of intervention under the National Forest Policy.

The direct alignment of this project with key national policies, strategies and plans means that it is well-embedded in the national decision-making system and that there is national interest and intent to scale-up and sustain the gains made through the project into the future.

A.2. **GEF focal area and/or fund(s) strategies, eligibility criteria and priorities.** N/A – *no change since PIF. See paragraphs 151 – 153 and 247 - 248 of the ProDoc for a full explanation.*

A.3 **The GEF Agency’s comparative advantage:** The project is in line with the UNDP Country Programme Pillar Three, Objectives C and E (C: integrate environmental concerns into development policies and plans; and E: conserve biodiversity and ensure that communities benefit from these resources, including consideration for mitigation and adaptation to climate change effects and the promotion of innovative land management practices). Tanzania is one of the pilot countries under the ONE-UN initiative, and, under this, has developed a support programme that emphasizes the role of land rehabilitation and restoration in support of agriculture-led economic development. UNDP is the lead agency within the UN system helping countries to develop capacity for ecosystems and biodiversity management and has a wealth of experience and technical capacity for identifying, accessing and using environmental finance to address land and biodiversity management problems, whilst contributing to the generation of sustainable livelihoods. UNDP is also the lead GEF Agency for the SIP/TerrAfrica partnership in Tanzania. UNDP’s Tanzanian Country Office has successfully supported the development and implementation of a number of projects that address land degradation, and sustainable land and forest management, such as the Conservation and Management of the Eastern Arc Mountain Forests (CMEAMF) Project; the ‘Reducing Land Degradation in the Highlands of Kilimanjaro’ Project; the Miombo Woodlands Project; the ‘Enhancing the Forest Nature Reserves Network for Biodiversity Conservation in Tanzania’ project and the Sustainable Rangeland Management project being implemented in the Dodoma/Manyara region of Tanzania. It is well-positioned, therefore, to support the implementation of this watershed services/land degradation project in the Ruvu and Zigi catchments.

A.4. **The baseline project and the problem that it seeks to address:** The problem that the project seeks to address remains unchanged from the PIF – that is to alleviate the land degradation that currently compromises the sustained delivery of watershed services and the well-being of communities in the Ruvu and Zigi River catchments. The approved PIF included numerous revisions to strengthen the alignment and suitability of the baseline programmes and to sharpen the focus of the project on a few strategically selected, GEF-eligible issues that will build on the baseline activities. During the PPG, the project development team paid particular attention to defining the baseline programme clearly and took further measures to sharpen the focus of the project (see explanations provided in the Table included under ANNEX E) so that it addresses a smaller number of clearly defined issues. The

baseline programme has been described in detail in paragraphs 140 – 150 in the PRODOC. The baseline is provided largely by the investment programmes of the Ministry of Water (through the Wami-Ruvu and Pangani Basin Water Boards and Water Offices), the National Land Use Planning Commission, the Tanga-UWASA and DAWASA, the National Land Use Planning Commission as well as the Ministries of Agriculture, Food Security and Co-operatives and the Ministry of Livestock and Fisheries Development. Added to these government-led programmes are numerous NGO, community and donor-driven projects (including other UNDP-GEF interventions) that are or have been implemented in the Uluguru and East Usambara Mountains (as well as other blocks in the Eastern Arc range) to tackle the problems of land degradation, unsustainable land management practices, loss of forest biodiversity, degradation of forest and water resources and socio-economic development of resident communities. This baseline of interventions has effectively piloted many of the approaches and methodologies that will be refined and applied in the current project.

- A. 5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

*N/A - There has been no substantive change since PIF approval. The incremental cost reasoning and global environmental benefits are described under paragraphs 154 – 157 in the ProDoc.*

- A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:

A comprehensive risk analysis was undertaken during the PPG. Emergent risks were loosely categorised into institutional, socio-economic and environmental risks, and for each potential risk, a mitigation strategy was developed, as reflected in the Table below.

<b>Risk</b>	<b>Rating</b>	<b>Mitigation Strategy</b>
<b>Institutional</b>		
The current high levels of Government commitment to IWRM and SLM diminishes	Low risk	This is considered unlikely, given the large number of policies, programmes and strategies introduced by government to promote integrated approaches to water resource management and the adoption of SLM as a key means for combating land degradation. The project has been designed to give catalytic effect to prioritised interventions under these policies, which should contribute to maintaining Government support for them. The project will establish a Project Steering Committee, membership of which will be drawn from high-ranking officials (Permanent Secretary and Director level) from key Ministries and other government agencies responsible for watershed management. Through the Project Steering Committee (PSC), a strong sense of Government ownership of the project will be nurtured thus enhancing the opportunities for ensuring ongoing support.
Government institutions lack the resources and/or capacity to implement the project or to sustain gains once external project support has been withdrawn	Low risk	The project will have a strong focus on building the staff, resource and technical capacity of water basin authorities, across the water resource management spectrum, to ensure that they are adequately capacitated to design and manage SLM interventions and raise funds from a variety of sources. This will strengthen both the financial and institutional sustainability of the project and effectively mitigate against this risk. The project will focus specifically on growing and

Risk	Rating	Mitigation Strategy
		diversifying the funding base for SLM interventions and on equipping staff of relevant institutions to develop bankable funding proposals. It will create opportunities for joint financial planning and will develop an integrated investment framework for each catchment, which should lead to more effective deployment of resources. In addition, Memoranda of Understanding (MoUs) will be put in place between the project and the various implementing partners to secure ongoing commitment.
Conflicts and misunderstanding among public institutions, private sector partners, NGOs and resource users undermine partnership approaches and implementation of cooperative governance arrangements	Low risk	A major focus of this project will be on building social capital and facilitating opportunities for linkage and collaboration between different stakeholder groups. Where appropriate, formal agreements/ MOUs will be used to define roles and responsibilities of implementing partners to avoid misunderstandings. The project will strengthen stakeholder linkages and create opportunities for dialogue, collective planning and problem solving at numerous levels including: The Project Steering Committee will bring high-level representatives of key implementing institutions together, ensuring that they remain in regular communication and have opportunities for dealing with any potential conflicts; The Technical Team (which will include representatives from numerous institutions), will provide another opportunity for maintaining positive institutional linkages; at the catchment level, the project will set up multi-stakeholder forums/committees/ associations for bringing stakeholders together around a common vision for each catchment and providing regular opportunities for co-operation, collective problem-solving, reviewing plans, activities and achievements and resolving conflict; the project will develop and implement a basin-wide communication strategy that will ensure that all stakeholders remain well-informed about the project.
Conflict or lack of commitment within the Project Co-ordination Unit or Project Steering Committee hampers implementation.	Low risk	An independent facilitation function will be established to ensure the effective functioning of the Project holding a six monthly review of operational dynamics and intervening more intensely if necessary in the case of crisis.
<b>Socio-economic</b>		
Poor households and other vulnerable members of the communities (women – especially widows, youth, the elderly and tenant farmers) may not be able to share in the benefits of the	Low risk	SLM is labour-intensive and may involve higher input costs than is usual in traditional farming practices. This may mean that only more ‘well-off’ farmers with more resources to invest will be able to adopt SLM and that the poorest of the poor, and other vulnerable farmers (such as women and the elderly), will be ‘missed’. This can be mitigated by developing a specific strategy for targeting the very poor and other vulnerable groups. Elements of this strategy will include:

Risk	Rating	Mitigation Strategy
project and may have no other alternative but to drive further land and forest degradation through unsustainable practices		building group cohesion to enable collective savings schemes and labour -pooling; focusing at sub-village level to make it easier for poorer farmers to attend gatherings (shorter travelling distances); convening focal group discussions (women, youth, tenant farmers) to identify and address their barriers to participation.
Land owners/users may continue to flout planning regulations leading to further encroachment of river beds, mining in the river beds, burning of forests and expansion of agricultural areas into forest reserves	Low risk	People-centred, participatory methods that foster collaboration will be followed during the development of land use plans under Outcome 1 of the project. This means that local communities will be integrally involved throughout the land-use planning process; they will participate fully in identifying the parameters within which plans should be developed and the community needs to which they should respond, and will have ample opportunity to raise concerns that they may have. They will also be involved in enforcement of the plans. This should ensure that the resulting plans strike the right balance between meeting stakeholder interests and safeguarding ecosystems. In parallel to the planning process, the project will make a strong ecological and economic case for sustainable land management as the basis for socio-economic development, and will communicate this through the various multi-stakeholder forums that it will establish. The project will develop and implement a comprehensive communication strategy and stakeholder involvement plan to improve co-operation with, and secure the buy-in of local communities, and it will empower community members to lead the process of mainstreaming SLM. The project will simultaneously work with communities to identify alternative income generating activities, which should create an incentive for supporting forest restoration activities and limiting pressure in riparian zones.
Local level economic growth fails to provide adequate returns on investment in SLM, or the economic gains of SLM are eroded by external factors such as rampant inflation	Low risk	At the macro-economic scale, the economic outlook for Tanzania over the lifespan of the project is expected to be good, so this has been categorised as a 'low' risk. The project can mitigate against this risk by addressing structural inefficiencies in markets to ensure that farmers realise the best possible prices and attain maximum access to markets. By providing training in financial management and budgeting, improving access to micro-credit and savings schemes, and diversifying the income base using SLM production systems, the project can empower farmers to buffer themselves against periodic downturns in the local economy.
<b>Environmental</b>		
Predicted or unexpected effects of climate change further compromise the delivery of watershed services and limit	Low	As best as can be predicted at this stage, it is likely that in the Uluguru and East Usambara Mountains there will be more marked seasonality of rainfall, with wetter wet seasons and drier dry seasons, and a raised risk of floods and droughts. The project will mitigate against these possible impacts by increasing the resilience of production systems,

Risk	Rating	Mitigation Strategy
agricultural production, despite adoption of SLM		communities and rivers to impacts, in the following ways: improving land cover and soil quality to enhance the water-storage functions in the catchments; introducing soil and water conservation measures, and practices that improve water-use efficiency; introducing climate smart crops and agricultural practices including improved agro-forestry systems. Throughout the project, the Project Co-ordination Unit will maintain close links with relevant academic and research institutions that are studying climate change, in order to identify any additional adaptation or mitigation measures that should be adopted to safeguard agricultural or livestock production systems, forests or river systems against the undesired effects of climate change.
Invasive alien plants and animals negatively impact the biological diversity and watershed functions of the targeted catchments	Low	The project will ensure that none of its own interventions result in the spread of invasive alien species, it will include control of invasive alien plants as an integral part of integrated catchment management and will include material on the potential negative impacts of invasive alien species in educational material that is to be produced for local stakeholders.

In addition to responding to these risks, the project has been designed to include specific measures that respond to a number of challenges that have emerged in other SLM-related projects in the Uluguru and East Usambara Mountains, particularly in connection with scaling up to the catchment level. These issues include: land ownership and distribution; soil fertility; water availability; the labour-intensive nature of SLM; and historical associations that might make people reluctant to take up SLM measures – these issues are all described in further detail in paragraphs 230 – 238 in the PRODOC.

It should be noted that the project has taken cognisance of the fact that some of the residents in the Ruvu catchment have recently been subject to a resettlement process related to the imminent building of the Kidunda Dam in the lower parts of the Ruvu catchment. These resettlements have nothing to do with the project, and this will be appropriately communicated through the communication strategy to be developed under Outcome 1. The project will be sensitive to the needs and aspirations of any project beneficiaries who might have been affected by the Kidunda Dam resettlement process and who are, therefore, considered to be particularly vulnerable.

*See paragraphs 230 - 238 of the ProDoc, and Annex C, Item B5, for a full description of potential risks and mitigation measures that will be adopted to address them.*

**A.7. Coordination with other relevant GEF financed initiatives.** N/A - no change from the PIF. See paragraphs 257 to 258 of the ProDoc and Item 6 under ANNEX C, below.

## **B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:**

### **B.1 Describe how the stakeholders will be engaged in project implementation.**

During the project preparation stage, a detailed analysis was undertaken (see items 42 and 43, as well as Table 3, and Section IV, Part 3 in the ProDOC) in order to identify key stakeholders, assess their interests in the project and define their roles and responsibilities in project implementation. This stakeholder analysis will be used as the basis for a comprehensive stakeholder engagement process throughout the

lifespan of the project.

**Approach:** The approach to stakeholder involvement and participation during project implementation is premised on the principles of inclusivity, accessibility and access, transparency, fairness and accountability. The stakeholder engagement process will be used as an essential means of adding value to the project and will be directed towards addressing stakeholder needs and building their capacity. The Project will seek at all times to promote public interest, manage conflict and promote equity and social justice. Although the stakeholder engagement process will be rationally planned and well-coordinated, it will be implemented flexibly and subject to ongoing reflection, adjustment and improvement in order to respond to emergent needs.

**Process:** The project's design incorporates several features to ensure ongoing and effective stakeholder participation in the project's implementation, including at least the following elements:

(i) Project inception workshop to enable stakeholder awareness of the start of project implementation

At project inception, the PCU will convene a stakeholder workshop at which representatives of the key partner institutions will meet to address key issues including: stakeholder ownership of the project; roles, support services and complementary responsibilities of the implementing partners; roles, functions, and responsibilities within the project structure, including reporting and communication lines, and conflict resolution mechanisms. The Project will be publicly launched at a multi-stakeholder Launch Event that will provide an opportunity to provide all stakeholders with the most updated information on the project and the project work plan. It will also establish a basis for further consultation as the project's implementation commences.

(ii) Constitution of a Project Steering Committee to ensure representation of stakeholder interests in project

A Project Steering Committee (PSC) will be constituted to ensure broad representation of all key interests throughout the project's implementation. The representation, and broad terms of reference, of the PSC are further described in [Section I, Part III](#) (Management Arrangements) of the Project Document.

(iii) Establishment of a Project Co-ordination Unit to oversee stakeholder engagement processes during project

The Project Co-ordination Unit- comprising a Project Coordinator, Finance and Administration Assistant and M&E Specialist - will take direct operational and administrative responsibility for facilitating stakeholder involvement and ensuring increased local ownership of the project and its results. The Project Coordinator and Finance and Administration Assistant and M&E Specialist will be located in the MOW offices in Dar es Salaam to ensure institutional ownership and to facilitate coordination among key stakeholder organizations at the national level during the project period. Dedicated project Community Development Officers, who will be seconded by the MOW to the Water Basin Offices, under the guidance of a Technical Advisor, will be the 'local face' of the project – these community development officers will be based in the two Water Basin Offices.

(iv) Involvement of a Technical Team:

The Technical Team will replace the former Project Reference Group (that operated during the project formulation process). They will provide ongoing technical inputs and guidance during the implementation of the project and will provide for direct lines of communication with the partner institutions. They will assist the PCU by providing access to information held by the member institutions and will advise the PCU, where appropriate, in respect of stakeholder engagement and keep them informed of emergent

issues in the two river catchments.

(iv) Project communications to facilitate ongoing awareness of project:

The project will develop, implement and maintain a culturally-appropriate and gender-sensitive communications strategy to ensure that all stakeholders are informed on an ongoing basis about: the project's objectives; the projects activities; overall project progress; and the opportunities for stakeholder involvement in various aspects of the project's implementation. This communication strategy will ensure the use of communication techniques and approaches that are appropriate to the local context, in order to enhance communication effectiveness. The project has been designed to build capacity amongst stakeholders to drive the communication process and to lead the process of mainstreaming SLM into watershed management at grass-roots level.

(v) Stakeholder consultation and participation in project implementation:

A comprehensive stakeholder consultation and participation process will be developed and implemented for each of the following activities:

- Negotiation and formalization of Memoranda of Understanding (MOU) between the MOW and other responsible parties (such as the National Land Use Planning Commission and the relevant Water Supply and Sanitation Authorities).
- Involvement of local communities in land use planning.
- Formation of Catchment/sub-catchment committees, river committees and Water User Associations.
- Identification and piloting of alternative income-generating activities in targeted villages.

A participatory approach will be adopted to facilitate the involvement of local stakeholders (including vulnerable and marginalized members of the community) and local institutions (such as NGOs and CSOs) in the implementation of the project activities within the targeted areas. Many of the project activities will be implemented through partnership agreements with local NGOs, CSOs and research institutions.

(vi) Capacity building:

All project activities are strategically focused on building capacity - at the systemic, institutional and individual level to ensure sustainability of initial project investments. The project will also invest in building the capacity of executive management staff, planning staff and operational management staff. Wherever possible, the project will seek to build the capacity of communities focusing on existing groups such as Village Councils, Water User Associations, and farmer's associations (such as UWAMAKIZI, JUWAKIHUMA and WAKUAKVYAMA), and vulnerable and marginalized groups, as well as newly-formed structures such as Catchment and Sub-catchment Committees, to enable them to actively participate in project activities.

**B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF):**

At **national level**, the critical socioeconomic benefits to be delivered by this project relate to improved national water security, increased agricultural production and food security, and reduced vulnerability to risks posed by the impacts of climate change. Water is essential for human survival and is the most critical input required for almost all forms of production in the agricultural, industrial and energy sectors. Water security is, therefore, a pre-requisite for sustainable economic development and poverty reduction

and for mitigating the various risks presented by climate change to the water-vulnerable economy of Tanzania. Poorly-managed or unreliable water resources place people and the economy at risk, due to water scarcity and flooding, landslides, erosion and the spread of water-borne diseases. Achieving water security entails ensuring availability of an acceptable quantity and quality of water for health, livelihoods, production and ecosystems, coupled with achieving an acceptable level of water-related risks to people, the economy and environment. Improved watershed management (which includes reducing the destructive potential and increasing the productive potential of the resource) is essential for achieving water security, and this is the focus of this project.

This project contributes to achieving national water security, and, therefore, sustainable socio-economic development, by: (i) ensuring that enabling institutional arrangements are in place to support the integration of sustainable land management into watershed management in two critical river catchments; (ii) working to increase the availability and effectiveness of public funds for integrating SLM into watershed management; (iii) building institutional capacity for promoting sustainable land and forest management in support of integrated watershed management; and (iv) supporting farmers and livestock keepers to take up sustainable land and livestock management practices that secure watershed services and improve their livelihoods. The impacts of these benefits reach far beyond the local communities living in the catchments: the city of Dar es Salaam (the largest in Tanzania and its commercial and industrial centre) is almost entirely reliant on water from the Ruvu River; the city of Tanga, which plays an important role in Tanzania's ecotourism industry, is totally reliant on water from the Zigi River; the produce raised by small-scale farmers in the two river catchments supplies settlements and cities beyond the catchments; commercial agriculture (which is responsible for a significant proportion of Tanzania's export income) and national plans for expanding areas under irrigated agriculture and improving agricultural productivity are heavily reliant on the Ruvu and Zigi River systems. For Tanzania to effectively address the interlinked problems of sustainable development, economic growth and poverty reduction, it is essential to alleviate land degradation, secure watershed services and improve livelihoods in these two river catchments.

**At the local level**, the socio-economic benefits to be delivered by the project include:

- (i) Increased household incomes (at least a 25% increase for at least 50% of households in participating villages, with special focus on female-headed and other vulnerable households); increased, more reliable incomes allow households to improve other aspects of their well-being such as having funds available for schooling of children, for improving their homes and general living conditions.
- (ii) Increased annual agricultural production (at least 15%) for 2 or 3 key crops, and improved household food security.
- (iii) Diversification of the income base, through uptake of alternative income-generating activities.
- (iv) Improved access to markets and micro-finance (at least a 25% of farmers, of which at least half should be women), and improved financial management skills, that will enable farmers to realise better returns for their produce.
- (v) Improved access to alternative energy technologies, with associated additional health benefits.
- (vi) Decreased vulnerability to the impacts of climate change, through adaptive management of water resources and the introduction of improved agricultural practices, including climate-smart crops, water and soil conservation measures.

This project will contribute to the overall goal of the GEF Land Degradation Focal Area, which is to arrest and reverse global trends in desertification and deforestation. It will do this by putting in place watershed

management approaches that are conducive to the uptake of SLM over at least 20,000 ha of land in two globally significant mountain catchments. The project will contribute specifically to delivering the following global environmental benefits:

- **Improved land cover:** The project aims to decrease harvesting pressure in protected forests and to restore tree cover over some 10,000 ha of land where forest has been degraded, both within and outside of forest nature reserves. It also sets out to achieve at least a 25% improvement in land cover over at least 2,000 ha of rangelands, through the adoption of sustainable agro-pastoral systems in which stocking pressures are reduced, bare areas are re-vegetated, soil erosion control measures are introduced and viable traditional practices are enhanced to improve their sustainability. Through the promotion of improved agro-forestry systems that restore at least partial tree cover, and other practices that improve the productivity of the land, cover will be improved and the pressure for more land to be cleared for cultivation will be relieved.
- **Improved productivity:** Through the introduction of sustainable land management practices such as terracing, crop rotation, crop diversification (with a focus on climate-smart species), green-manuring, conservation agriculture, and water harvesting and conservation, the productivity of agro-ecosystems will be improved. In rangelands, re-vegetation of denuded areas will enhance both primary production and livestock production. Those components of the project focused on forest restoration will increase tree biomass per hectare, thus increasing primary productivity and enhancing the carbon-storage capacity of the area, making an important contribution to mitigation of global carbon emissions.
- **Improved human well-being:** Through direct uptake of SLM measures, diversification of the income base and addressing structural market inefficiencies, the project sets out to improve household incomes by 10 - 20% and to increase agricultural production by 10% for at least 2 to 3 key crops for at least 40% of farmers in the participating villages. This will introduce greater economic stability in these communities, making them more food secure and better able to meet other aspects of well-being, thus elevating their overall quality of life (i.e. communities will be better able to improve their nutrition and general state of health, buy clothing, pay school fees, and repair or improve their dwellings).
- **Water availability:** The overall impact of the project will be to improve water security in the two catchments, ensuring improved water availability for meeting both environmental and human needs. In addition to integrating SLM into watershed management, the project will put in place practical measures that improve the access of communities to reliable sources of clean water (e.g. through wells and the provision of simple, reverse-osmosis water purification systems) in ways that do not cause habitat loss and soil erosion or undermine the sustainability of watershed services.

### **B.3. Explain how cost-effectiveness is reflected in the project design:**

The cost effectiveness of the Project is premised on the following:

*Maximising impact:* The project will make catalytic investments in SLM interventions at strategically selected sites with a view to achieving the greatest on-site and off-site impacts (both social and environmental), whilst using the least inputs possible. The Project will conduct a rigorous monetary and non-monetary cost-benefit analysis of different SLM measures and will undertake proper mapping of SLM practices, and their impacts on land quality and water resources, to ensure that outcomes are achieved in the most economically efficient way.

*Maximising institutional effectiveness:* A little under 30% of the GEF investment will be allocated to strengthening the integrative, technical and administrative capacity of institutions across the water resources management spectrum, to ensure that their capacity, productivity and effectiveness is optimised. This will also contribute to maximising the impact of other aspects of the project as the resources will be more effectively deployed as institutional capacity deficits are reduced.

*Increasing the effectiveness and sustainability of financial investments in SLM programmes:* The project will make a

relatively small investment (less than 10% of the GEF funds) in models that can serve as incubators for other interventions and that will have strong multiplier effects. In addition to interventions that will help grow the pool of funding available for integrating SLM into watershed management, the project will focus on improving the effectiveness of SLM investments. This will be achieved by facilitating linkages and opportunities for joint financial planning across sectors and stakeholder groupings, with a view to developing a comprehensive SLM investment plan, and monitoring systems, for the two catchments. This will include the identification, prioritisation and effective targeting of investment resources according to a set of common economic, social and environmental criteria (to be developed through the project). The project will also provide technical support and training to enable water basin authorities to develop bankable SLM proposals and access funds from a wider range of sources, thus strengthening their financial autonomy and, thereby, securing ongoing impacts of SLM interventions both within and beyond the lifespan of the project.

*Promoting co-operation, collaboration and maximising opportunities for pooling resources:* The project will work through partnerships that recognize different skills and comparative advantages and promote dialogue around common interests. This will make it possible to capitalise on the synergistic benefits that can be realized by pooling resources and working towards alleviating land degradation on a catchment-wide scale. Building on the back of stronger stakeholder linkages, the project will invest in activities that incrementally improve the living conditions of communities, and develop their understanding of the rationale underlying basin regulations. This should contribute to improved compliance, which, in turn, will reduce the recurrent costs of monitoring and managing illegal water abstractions and other illegal natural resource use.

*Harnessing existing skills, experience and social capital:* Wherever possible, the project will use the competencies and technical skills within the mandated government institutions, and existing NGOs and research institutions, to implement project activities and provide information needed for the specialist studies. Wherever possible and applicable, the project resources will be used to strengthen and scale-up existing SLM- and water-related programmes (with proven success in the catchments), in order to build a critical mass and avoid duplication and redundancy. The project will build social capital by working, wherever possible through existing local structures that have established norms and procedures for mutual cooperation, and through local champions who can serve as ‘multipliers’ in the community.

*Maximising the impact of co-financing:* The Project Co-ordination Unit will be supported throughout the life of the project by a Technical Team comprising technical experts from the key implementing partners and some associated institutions (such as Ardhi University) – this Team participated actively in the project formulation stage and will remain actively engaged in the project, providing overall technical guidance to the Project as part of leveraged co-finance.

Throughout the lifespan of the project the PCU will work to target increased co-finance commitments.

### **C. DESCRIBE THE BUDGETED M & E PLAN:**

#### ***Approach:***

Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be carried out by the Project Co-ordination Unit and the UNDP Country Office, with support from the UNDP/GEF Regional Coordination Unit in Addis Ababa. The Strategic Results Framework (SRF) presented in Section III of the PRODOC describes indicators for project implementation and their corresponding means of verification. These will form the basis of the project Monitoring and Evaluation (M & E) system which will take place at a number of points through the project cycle, including: project inception, quarterly reporting, annual reporting, periodic monitoring through site visits, and mid-term and end-of-project evaluations. The project indicators will be ratified, and some of them developed further, at project inception.

As implementation of the project will require strong M&E capacity, the Project Co-ordination Unit will include a full-time M&E specialist whose role it will be, inter alia, to: provide overall guidance and M&E support to the project team and other responsible parties; fine-tune the project indicators and the M&E framework (where necessary); assist with monitoring risks faced by the project and adapt the risk management strategy if necessary; co-ordinate and assist any responsible parties with the execution of any monitoring components of the project; provide training in M&E; support the Mid-Term and Final Evaluations of the project (to be conducted by external, independent M&E consultants); and participate in discussions to extract lessons learnt and best practices developed during the tenure of the project.

### ***M&E Plan:***

**Project inception:** A Project Inception Workshop will be held within the first 3 to 4 months of project start-up. It will involve all stakeholders with assigned roles in the project's organizational structure, the UNDP CO and, where appropriate, regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop will be used to:

- Ensure that all partners fully understand and take ownership of the project.
- Clarify roles and responsibilities (with particular attention given to the roles, support services and complementary responsibilities of UNDP CO and the UNDP-GEF Regional Coordination Unit vis-à-vis the project team; the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms; the Terms of Reference for project staff and the Technical Team.
- Based on the project results framework and the relevant GEF Tracking Tool, if appropriate, finalize the first Annual Work Plan (AWP) as well as review and agree on the indicators, targets and their means of verification, and re-check assumptions and risks.
- Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements and finalise and schedule the monitoring and evaluation work plan and budget.
- Discuss financial reporting procedures and obligations, and arrangements for the annual audit.
- Plan and schedule Project Steering Committee meetings (with the first Project Steering Committee meeting to be held within the first 6 months following the inception workshop).

The Inception Workshop (IW) Report will be a key reference document for the project and will be prepared and shared with participants within 2 weeks of the IW to formalize various agreements and plans decided during the meeting.

**Quarterly Reporting:** Progress will be monitored using the UNDP Enhanced Results Based Management Platform, as follows:

- Based on the initial risk analysis submitted, the risk log will be regularly updated in ATLAS. Risks become critical when the impact and probability are high and these risks need to be monitored particularly carefully and the information used to adapt project management if appropriate.
- Based on the information recorded in ATLAS, quarterly Project Progress Reports (PPRs) can be generated in the Executive Snapshot. Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Annual Reporting:** Annual reporting will be through an Annual Project Review/Project Implementation Report (APR/PIR). This key report is prepared to monitor progress made since project start and in

particular for the previous reporting period. The APR/PIR combines both UNDP and GEF reporting requirements. The APR/PIR will include, but may not be limited to, reporting on:

- Progress made toward achieving the project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative).
- Project outputs delivered per project outcome (annual).
- Lessons learned/best practices developed.
- Annual Work Plan and other expenditure reports.
- Risks and adaptive management.
- ATLAS Quarterly Progress Reports (QPR).
- Portfolio level indicators (i.e. GEF land degradation tracking tool and Capacity Development Scorecard).

**Periodic Monitoring through Site Visits:** The UNDP Country Office (CO) and the UNDP Regional Co-ordination Unit (RCU) will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Steering Committee may also join these visits. A Field Visit Report/BTOR (Back to Office Report) will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and Project Steering Committee members.

**Mid-term of Project Cycle:** The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation, to be carried out by an international and national consultant working as a team. The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction measures, if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term Evaluation will be prepared by the UNDP Country Office based on guidance from the UNDP-GEF Regional Co-ordination Unit. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the [UNDP Evaluation Office Evaluation Resource Centre \(ERC\)](#).

The relevant GEF Focal Area Tracking Tools (Land Degradation Tracking Tool and Capacity Development Scorecard) will also be completed during the mid-term evaluation cycle.

**End of Project:** An independent Final (Terminal) Evaluation will take place three months prior to the final Project Steering Committee and national M&E consultant. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP Country Office based on guidance from the UNDP-GEF Regional Coordination Unit. The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).

The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

During the last 6 months of implementation, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and will identify areas where results may not have been achieved. It will also lay

out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Budget and M& E workplan:**

<b>M&amp;E Activity</b>	<b>Responsible parties</b>	<b>Budget US\$ (excluding PCU staff time)</b>	<b>Time frame</b>
Project Inception Workshop and Launch Event	PCU, UNDP CO, UNDP GEF	5,000	Within 3 months of project start-up
Project Inception Report	PCU, UNDP CO	Nil	Within 2 months of project inception
Internal Progress monitoring by implementation team	PC to oversee hiring of specific studies and institutions and delegate responsibilities to team members	Nil (Any consultancy fees to be determined at Project Inception and confirmed under the relevant project outputs in the full project budget)	At start, mid-term and end of project evaluation cycle and annually when required
Measurement of means of verification for Project Progress (on output and implementation)	UNDP GEF Regional Technical Advisor and PC to oversee measurements by regional field officers and local Implementing Agencies (IAs)	To be determined as part of annual work plan preparation and drawn from the project budget under various outputs	Annually, prior to Annual Progress Report (APR)/ Project Implementation Report (PIR) and according to annual work plans
APR/PIR	PCU, UNDP CO; UNDP RTA; UNDP GEF RCU	Nil	Annually
Tri-partite Review (TPR) and TPR Report	Government counterparts, UNCP CO, UNDP GEF-RCU and Project Team	Nil	Annually, after receipt of APR
Steering Committee Meetings	PCU, UNCP CO	15,000	Following Inception Workshop and subsequently at least once a year ahead of APR
Periodic status/ progress reports	PCU	Nil	Quarterly
Technical Reports	Project team and consultants, as needed	Consultancy fees built into the project budget under individual outputs	To be determined according to need as agreed by Project Team (PT) and UNDP CO
Mid-term evaluation	PC; UNDP CO; UNDP RCU; External consultant(s) – evaluation team	40,000	Mid-point of project implementation period
Final External Evaluation	PC; UNDP CO; UNDP RCU; External	40,000	At least 6 months before

	Consultants (Evaluation team)		end of project
Project Terminal Report	PCU; UNDP CO	Nil	At least 3 months before end of project
Lessons learnt report	Project Team, UNDP-GEF RCU	5,000	Annually
Audit	UNDP CO; Project manager and team	17,500 (3,500 per year)	Annually
Field visits	UNDP CO; UNDP RCU (if required); Government representatives	Paid from IA fees and operational budgets	Annually
<b>TOTAL COSTS:</b> <i>Excl. project staff costs (PC, PA and M&amp;E Expert) and UNDP staff and travel expenses</i>		<b>122,500US\$</b> <i>(this figure is incorporated into the project budget and is not additional to it)</i>	

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

- A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this form. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
<b>Dr. Julius Ningu</b>	Director: Environment	DIVISION OF THE ENVIRONMENT, VICE PRESIDENT'S OFFICE	06/14/2013

**B. GEF AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu UNDP-GEF Executive Coordinator		11 May 2015	Phemo K. Kgomotso	+251 91 250 3309	phemo.kgomotso@undp.org

**ANNEX A: PROJECT RESULTS FRAMEWORK** (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

<b>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</b>					
<b>UNDAP Outcome 2:</b> Relevant MDAs, LGAs and Non-State Actors improve enforcement of environment laws and regulations for the protection of ecosystems, biodiversity and sustainable management of natural resources.					
<b>UNDAP Outcome Indicators:</b> Indicator 1: Tools, models and best practices deployed Indicator 2: Number of successful Green Economy models introduced in target sectors					
<b>UNDP Strategic Plan Outputs and Indicators: Output 2.5:</b> Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation. <b>Indicator 2.5.1:</b> Number of countries with legal, policy and institutional frameworks in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.					
<b>Applicable GEF Strategic Objective:</b> LD-3: Reduce pressures on natural resources from competing land uses in the wider landscape					
<b>Applicable GEF Expected Outcomes:</b> Outcome 3.1: Cross-sectoral enabling environment for integrated landscape management (in support of SLM) Outcome 3.2: Integrated landscape management practice adopted by local communities Outcome 3.3: Increased investments in integrated landscape management					
<b>Applicable GEF outcome indicators:</b> Integrated land management plans developed and implemented INRM tools and methodologies developed and tested Appropriate actions to diversify the financial resource base					
Outcome	Indicator	Baseline	Target	Source of verification	Risks and assumptions
<b>Project Objective:</b> Sustainable land and natural resource management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu and Zigi sub-catchments of the Eastern Arc Mountains in Tanzania.	Reduction in land degradation in the Ruvu and Zigi catchments as measured by at least a 25% increase in land cover in forests and rangelands	See GEF LD Tracking Tool (land degradation within the project area is significant and the current land use practices and management approaches lack integration and targeted financing to promote INRM and SLM)	<ul style="list-style-type: none"> <li>A 10% reduction in soil erosion, improved soil organic matter and as reflected in the GEF LD Tracking Tool</li> <li>A 10% improvement in water quality and quantity in rivers at intervention sites as measured by water flows, annual rainfall, sediment load, using methods to be established at project inception</li> <li>At least 10,000 ha of degraded forest</li> </ul>	<p>GEF LD Tracking Tool completed at PPG stage, at mid-term and at terminal stages</p> <p>Project Progress Reports</p>	<p><b>Assumptions:</b> The current high level of support for SLM as a component of watershed management by Government and development partners is maintained</p> <p>Public institutions, private sector partners, NGOs and resource users will be willing to adopt a partnership approach and work collaboratively to plan and implement SLM in the Ruvu and Zigi catchments</p> <p><b>Risks:</b> Future Government</p>

			<p>restored (5,000 in protected forest and 5,000 ha outside of protected areas</p> <ul style="list-style-type: none"> <li>• At least 25 % improvement in household welfare and 10% increase in annual food production for at least 40% of the households in pilot villages, measured as a percentage increase in household incomes, percentage reduction in the number of food insecure days, and other indicators to be determined at project inception</li> <li>• At least 30% of livestock keepers adopt sustainable rangeland management practices, with a 25% improvement in land cover over 2,000 ha of rangeland</li> </ul>		<p>administrations may be reluctant to allocate budget for SLM and integrate SLM into watershed management policies, legislation and practice</p> <p>Production sectors and land users may be reluctant to embrace land-use zoning and setting aside of areas for no-development or rehabilitation</p> <p>Local communities may show reluctance to shift land-use practices, comply with laws or pursue alternative sustainable livelihoods</p> <p>The effects of external factors such as climate change may exacerbate land degradation and water supply and limit production despite the uptake of SLM at the project sites</p>
<p><b>Outcome 1:</b> Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resource Management in the Ruvu and Zigi catchments</p>	Number of land use management plans integrating SLM	Formal integration of SLM is currently limited or non-existent	SLM integrated into 7 District Land Use Plans in the Ruvu and Zigi catchments	Land use and catchment/ basin management plans that incorporate SLM principles	
<p><b>Output 1.1</b></p>	Number of District Land Use Plans developed	3 District Plans (Morogoro DC, Muheza	<ul style="list-style-type: none"> <li>• District Land Use Plans</li> </ul>	District Land Use Plans	

<p>Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.</p>	<p>and operationalised</p>	<p>and Mkinga) developed but not implemented, 1 (Mvomero) initiated but need resources needed to continue</p> <p>9 Village Land Use Plans developed but not operational in Zigi Basin</p> <p>5 Village Land Use Plans developed but not operational in Ruvu Catchment</p>	<p>developed and operationalised in at 7 Districts (the number of villages to be determined at project inception)</p> <ul style="list-style-type: none"> <li>• GIS-based LD/SLM database and land-use decision support-tool/system is in place and at least 50% of land use planning officers, front line extension workers and community associations are trained in the use of the decision-support tool to strengthen land use planning and develop land use maps</li> </ul>	<p>District Land Use Registries</p> <p>Project Progress Reports</p>	
<p><b>Output 1.2</b> Multi-stakeholder committees are established (or strengthened) and are active in promoting co-ordination and</p>	<p>Number of multi-sectoral stakeholder committees (Catchment Forums) formed and operational in each Basin</p>	<p>Interagency co-operation is currently very weak or non-existent, no joint vision for SLM in place</p> <p>2 Environmental Committees – Mabayani</p>	<ul style="list-style-type: none"> <li>• At least one multi-stakeholder committee established and operating</li> </ul>	<p>Quarterly Annual Reports of District Offices shows evidence of improved decision making and enforcement</p> <p>Project Reports</p>	

<p>dialogue in support of mainstreaming SLM into other sectors, programmes and policies</p>		<p>Dam</p> <p>1 Community Association - Uwamakizi</p> <p>1 Community Association - Wakuakuyama</p>	<p>effectively in each basin as a result of the project at least 75% of District Officers (Participatory Land Use Management teams) and Village land use committees trained in participatory land-use planning, monitoring and implementation of land use plans</p>		
<p><b>Output 1.3</b> Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the two river basins</p>	<p>Number of registered, operational Water User Associations and Sub-catchment Committees in each catchment</p>	<p>Zigi: 1 WUA- Zigi-Mkulumuzi (functional, but requires strengthening)</p> <p>Ruvu: 4 WUAs– Mfizigo Sub-catchment; Lower Ngerengere and Upper Ngerengere A &amp; B (all are non-functional)</p>	<ul style="list-style-type: none"> <li>• At least 5 new Water User Associations and 2 new sub-catchment committees established, registered and operational and with a plan for upscaling in place</li> <li>• All Water User Associations and Sub-</li> </ul>	<p>MOU between diverse stakeholders</p> <p>Catchment Forum Constitution and Committee meeting agendas and minutes detailing not only joint decision making but also progress in implementation of IWRM/SLM</p> <p>Project implementation report</p>	

			<p>catchment Committees trained in the principles of SLM and the role of SLM in protection of water resources, provisions of all relevant land and water-use legislation; financial management and the development of funding proposals; entrepreneurship skills; the costs and benefits of alternative sustainable livelihoods</p> <ul style="list-style-type: none"> <li>• Up-to-date database of stakeholders and projects established for each Basin Water Office</li> </ul>		
<p><b>Output 1.4</b> Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and</p>	<p>% increase in rates of compliance with water basin regulations</p> <p>Number of staff and</p>	<p>Currently not known, although rates are generally low. To be determined at project inception.</p> <p>226 (Ruvu) and 162</p>	<ul style="list-style-type: none"> <li>• 50 - 75% of all staff in target institutions, all WUAs and VNRCs trained in</li> </ul>	<p>Annual Reports of Basin and District Offices</p> <p>Water Basin Office records (permit applications received and granted; payments for water rights received)</p>	

are capacitated to identify and prosecute water and land-use infringements and harness greater compliance	members of community associations trained in provisions of land and water-use legislation	(Zigi)people trained in basic provisions of water-use legislation  No people trained in provisions of relevant land-use legislation	provisions of water and land-use legislation  <ul style="list-style-type: none"> <li>• At least 50% of water users issued with water use permits and 60% of industries and commercial farming operators complying with water discharge permits</li> <li>• Gender-sensitive communications strategy developed and operationalised</li> </ul>	Site inspections and quality assurance reports (from UWASAs)  Project M &E reports	
<b>Outcome 2:</b> Finances available for SLM investments are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions	% increase in public funds allocated to SLM interventions in the Ruvu and Zigi catchments	No SLM funds currently allocated to water resources management agencies	15% increase in earmarked for SLM interventions in the Ruvu and Zigi catchments	Public Finance Expenditure Reviews;  Annual MTEF budgets and reports;  Financial Sustainability Scorecard	<b>Risks</b> Political will and high levels of in-principle support for SLM declines – mitigated by demonstrating significant well-publicised returns.
<b>Output 2.1</b> New streams of public finance are identified and accessed	Amount of funding accessed for SLM through new streams of public finance and other financing mechanisms	0 - The key organisations do not have adequate resources for integrating SLM into watershed management and the financing requirements	At least 2 new streams of funding for SLM accessed via sources such as Incentive and Market Based Mechanisms (IMBMs),	Business Case Report and Integrated Financing Strategy M&E reports  Approved funding proposals	<b>Risk:</b> Lack of understanding of importance of SLM by leaders leads to lack of motivation to allocated funds – can be mitigated by providing accessible

		have not been comprehensively assessed  As per UNDP Capacity Scorecard	Public Private Partnerships (PPP)s		information on the benefits of SLM
<b>Output 2.2</b> Sectoral (forestry, agriculture and water) allocations to SLM are re-aligned	Amount of sectoral allocations aligned to SLM strategies	1 - The resource requirements for integrating SLM into watershed management are known but are not being addressed  As per UNDP Capacity Scorecard	Resource allocation criteria and to inform allocation of resources to SLM	Public Finance Expenditure Reviews;  Annual MTEF budgets and reports;  Financial Sustainability Scorecard	
<b>Output 2.3</b> The effectiveness of SLM investments is improved	Increase in the targeted SLM investments	No effective SLM investment strategy in place	Integrated SLM investment strategy and M&E system in place to track the effectiveness and impact of SLM investments	Quarterly/Annual Reports (of basin and district officers)	
<b>Outcome 3:</b> Institutional capacity is built for promoting sustainable land and forest management in support of IWRM in the Ruvu and Zigi Catchments	Increase in awareness and capacity of local communities and institutions (e.g. extensions services, district authorities, Basin Water Offices) for integration of SLM into resource use and management practices (measured as per UNDP Capacity Scorecard).	1 – The required skills and technologies are identified, as well as their sources but are only partially developed  As per UNDP Capacity Scorecard	3 - The required skills and technologies are available and there is a nationally-based mechanism for updating the required skills and upgrading technology  As per UNDP Capacity Scorecard	Quarterly/Annual Reports (of basin and district officers)	<b>Assumptions:</b> Staff have the required baseline competency baseline  <b>Risks:</b> Loss of skills due to transfers, retirement and resignation of trained staff

<p><b>Output 3.1</b> The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices and regional offices of line ministries and local government institutions</p>	<p>Staffing and resources development plans developed and implemented for Basin Water Office, District Authorities and WUAs</p>	<p>1 – The required skills and technologies are identified, as well as their sources but are only partially developed</p> <p>As per .UNDP Capacity Scorecard</p>	<p>Staff and resource deficits for integrating SLM into watershed management decreased by at least 75% in water basin management agencies and other targeted institutions</p>	<p>Project Review of Capacity Development Indicator Scorecard</p> <p>Quarterly/Annual Reports of target institutions</p> <p>Project M&amp;E Reports</p>	
<p><b>Output 3.2</b> Output 3.2: The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions</p>	<p>Number of technical staff in Water Basin Offices, District and local government institutions, WUAs and Village structures completing skills and knowledge improvement training programmes</p>	<p>1 – The required skills and technologies are identified, as well as their sources but are only partially developed</p> <p>As per .UNDP Capacity Scorecard</p>	<p>At least 50% of technical officers in Water Basin Management Agencies, extension services and other targeted institutions have received training to enhance their knowledge and skills for integrating SLM into watershed management</p>	<p>Quarterly/annual Reports from District Offices/regional offices of line ministries</p> <p>Extension reports</p> <p>Project Training Reports</p> <p>Project M&amp;E reports (surveys)</p>	
<p><b>Output 3.3</b> Extension services are capacitated to promote adoption of SLM and promote alternative sustainable livelihoods</p>	<p>% of population in targeted villages aware of SLM and SLM-related activities in their area (as a result of the project) and satisfied with extension services</p> <p>Number of trained extension officers available to provide SLM messages in agricultural and livestock extension services</p>	<p>Ruvu Basin: 36 extension officers with fair levels of technical skill, but not enough officers in each ward and lack knowledge of modern SLM and current water and land-use legislation</p> <p>Zigi (Muheza): 12 extension officers; Technical capacity and knowledge is outdated and there are not enough officers in each ward</p>	<ul style="list-style-type: none"> <li>At least 50 % of land users in the target areas report an improvement in the extension services provided and number of trained extension personnel increased by 50%</li> <li>Increase of 25% in number of community members trained to serve as ‘para professional’</li> </ul>	<p>Quarterly/annual Reports from District Offices/regional offices of line ministries</p> <p>Extension reports</p> <p>Project Training Reports</p> <p>Project M&amp;E reports (surveys)</p>	<p><b>Risk:</b> Budget cuts or failure to fill empty posts leads to a decrease in the number of extension officers</p>

			<p>extension officers, with equal focus on men and women</p> <ul style="list-style-type: none"> <li>At least 75% of land-users in targeted areas aware of the benefits of SLM as a result of improved extensions services</li> </ul>		
<p><b>Outcome 4:</b> Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods</p>	<p>Reduction in extent of degradation in the Ruvu and Zigi catchments and improvement in the livelihoods of basin communities due to increased benefits from adoption of SLM practices</p>	<p>To be determined at project inception</p>	<ul style="list-style-type: none"> <li>Over 15,000 - 20,000 ha under direct SLM as a result of this project in the target areas in the Ruvu and Zigi catchments</li> <li>Household incomes increased by at least 25% in at least 40% of the households in participating villages, as a result of uptake of SLM practices introduced through the project, with special focus on most vulnerable households</li> </ul>	<p>TFS annual reports</p> <p>Project Reports</p> <p>Seedling regeneration and survival counts; % cover of desirable species</p> <p>Number of trees planted</p> <p>Socio-economic monitoring reports as part of the participatory project monitoring systems</p>	<p><b>Risks</b></p> <p>Factors such as climate variability or pests and disease cause degradation or cause tree mortality</p> <p>Ongoing immigration of people into the area leads to increased pressure</p>
<p><b>Output 4.1</b> Sustainable land management practices promoted and natural</p>	<p>% decline in illegal harvesting from protected forests</p> <p>% improvement in land</p>	<p>To be determined at project inception</p>	<ul style="list-style-type: none"> <li>Forest cover restored over at least 5,000 ha of riverine habitat in protected forests</li> </ul>	<p>Field surveys</p> <p>Extension agents reports</p> <p>Field assessments</p>	

rehabilitation facilitated in 10,000 ha of forest	cover in rangelands		<p>and 5 000 ha outside of protected areas</p> <ul style="list-style-type: none"> <li>• Land Cover improved by 25% over 2,000 ha of rangelands At least a 25% decline in the rate of illegal harvesting from protected forests</li> </ul>		
<p><b>Output 4.2</b> Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages</p>	% increase in household incomes and production rates as a result of SLM practices	To be determined at project inception	<ul style="list-style-type: none"> <li>• At least 2 new sustainable livelihood practices taken up in each of the target areas and contributing 10% to production and overall incomes</li> <li>• At least a 15 % increase in annual agricultural produce for key crops as a result of SLM practices introduced by the project in the target villages</li> <li>• At least 25% of households in target villages using clean energy cooking technology and 75% of households aware of alternative energy solutions through capacity</li> </ul>	<p>Commissioned socio-economic studies</p> <p>Farmer's financial records</p>	<p><b>Risk:</b> Natural disasters such as droughts or floods reverse the investments made by farmers</p>

			<p>building of men, women and youth</p> <ul style="list-style-type: none"> <li>• At least 25% of farmers in the target villages benefitting from accessing micro-finance and the development of new markets for agricultural products</li> </ul>		<p><b>Risk:</b> Social resistance to change in tradition slows uptake (to be mitigated through awareness-raising and working through champions)</p>
<p><b>Output 4.3</b> Sustainable livestock management technologies developed and tested and infrastructure developed to operationalise SLM in rangelands</p>	<p>% increase in number of farmers using SLM techniques</p>	<p>To be determined at project inception</p>	<ul style="list-style-type: none"> <li>• At least 50% of farmers trained in the use of sustainable land management techniques</li> <li>• At least 30% of livestock keepers adopt alternative livestock management technologies</li> <li>• At least 20% increase in number of farmers in target villages consistently applying 2 to 5 SLM techniques introduced by the project</li> </ul>	<p>Extension officer reports</p> <p>Community surveys</p>	<p><b>Risk:</b> Natural disasters such as drought or floods affect the ability of farmers to convert to SLM technologies</p>

**ANNEX B: RESPONSES TO PROJECT REVIEWS** (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

**RESPONSES TO PROJECT REVIEWS**

Review comments were received from both the STAP and the GEFSec on the original PIF. Detailed responses were provided to address these comments and changes were incorporated into the PIF which was ultimately approved. Some of the review comments were to be further developed and reported on at CEO Endorsement and it is these that are addressed in this Annex.

A. Comments received from the STAP:

1. Definition of Global Environmental Benefits, and identification of measures to estimate and monitor their outcome (STAP and GEFSec)

The contribution that the project will make to achieving Global Environmental Benefits (as specified in the UNDP/GEF guidelines on ‘Measuring Impact of Sustainable Land Management’), has been described in detail under paragraph 157 of the Project Document, and under Part II, Section B1, of this CEO Endorsement Request. Specific measures for estimating and monitoring impact have been identified and incorporated into the Strategic Results Framework (pages 99 - 112 of the Project Document). The indicators that will be used to measure achievement of the outcomes are summarised in the table below:

Global Environmental Benefit	Indicators to be used in the project
Land cover/Land use	<ul style="list-style-type: none"> <li>• Extent of land under different SLM land use types (measured in ha)</li> <li>• Extent of uptake of SLM measures (% increase in number of farmers using SLM techniques)</li> <li>• Extent of rangelands under improved livestock management practices (hectares)</li> <li>• % of livestock-keepers adopting sustainable rangeland management practices</li> <li>• % improvement in land cover in rangelands</li> <li>• % increase in land cover in agricultural lands</li> <li>• Extent of forest cover restored (hectares restored, seedling regeneration and survival counts)</li> <li>• % improvement in soil organic matter</li> </ul>
Land productivity	<ul style="list-style-type: none"> <li>• Increased annual production (% increase measured as kg or tons/ha, for 2-3 key crops)</li> </ul>
Water availability	<ul style="list-style-type: none"> <li>• % increase in overall annual flow rates improvement in water quantity</li> <li>• % decrease in sediment loads</li> <li>• Number of villages with improved access to potable water</li> </ul>
Human well-being	<ul style="list-style-type: none"> <li>• % increase in annual household income</li> <li>• % increase in number of farmers (particularly women) accessing microfinance</li> </ul> <p>(Other wellness indicators to be developed at project inception)</p>

Under Outcome 1, the project will develop a detailed monitoring and evaluation tool for tracking the adoption of SLM practices and the effects these have on land degradation and ecosystem services. This will be linked to a GIS-based database and decision-support system that will be developed to make spatial information available to aid landscape modelling, land use planning and monitoring the impacts of changed land use. Under Outcome 4, the project will

develop detailed indicators for monitoring the impacts of changed livestock management strategies on land cover, soil erosion and the condition of riverbanks as well as socio-economic impacts such as changes in income, nutrition security and other indicators of well-being).

## 2. Ecosystem services to be targeted and how they will be measured (STAP):

The specific ecosystem services to be targeted by the project have been described in the section of the PRODOC starting on page 59. They include regulation of hydrological flows (reducing or buffering runoff, improving soil infiltration and maintaining base flows), securing fresh water supply (quantity and quality of water); soil protection and control of erosion and sedimentation; natural hazard mitigation (flood prevention, peak flow regulation and reduction of landslides) and crop and livestock production. The project activities have been designed to implement an optimal mix of land and water management measures that should secure the targeted watershed services, thus strengthening water security and facilitating more sustainable planning, allocation and use of water. Measurable land use and water variables have been selected as indicators, following the recommendations of Smith *et al.* (2006- see References in the PRODOC), and include: water flow volumes, sediment loads, soil quality, land cover, and annual food production. These are described in the Strategic Results Framework (Section III, PRODOC). In some cases, where existing data was lacking or patchy, more detailed indicators will be developed with the participation of stakeholders at project inception.

In addition, the project will be implemented in selected sub-catchments that are expected to deliver more positive impacts to the hydrology of the rivers, whilst making the most direct socio-economic improvements. This selection has been made based on a combination of scientific criteria, socio-economic data, site visits and consultations conducted during the project formulation process.

## 3. Market assessment to ensure selection of appropriate IGAs and appropriate mechanisms for their success:

A detailed, though broad-scale, socio-economic study of both catchments was undertaken under the auspices of the Payments for Watershed Services projects implemented by CARE/WWF, the Tanzania Forest Conservation Group (TFCG), the Wildlife Conservation Society of Tanzania(WCST) and the Royal Society for the Protection of Birds (RSPB) in the Ulugurus and East Usambara Mountains (CARE Report, 2007). This information, in combination with current data collected through projects implemented by Sustainable Agriculture Tanzania (SAT) in the West Ulugurus, the Tanzania Forest Conservation Group (TFCG) in the East and West Usambaras, various projects in the Eastern Arc Mountains funded through the Eastern Arc Mountains Conservation Endowment Fund (EAMCEF), as well as information gathered through community consultations conducted during the PPG, was considered adequate as a basis for developing the activities and indicators under Outcome 4 of the project (which deals with livelihoods). Numerous IGA-related projects have been piloted elsewhere in the Eastern Arc Mountains and there is a solid body of knowledge in various institutions on issues such as developing access to markets, pricing policies and the likes (and the various other factors that need to be addressed to ensure the success of the IGAs), although currently the knowledge is not consolidated. What is most needed is a strategy for transferring and scaling up the approaches that are known to have worked elsewhere in these mountains. To avoid unnecessary duplication and redundancy, instead of commissioning a market assessment during the PPG it was considered that it would be more strategic to first convene a workshop with all the relevant institutions who hold this knowledge (such as Sokoine University of Agriculture, Ardhi University, the Tanzania Forest Conservation Group, Sustainable Agriculture Tanzania, CARE, the WWF, EAMCEF, the Critical Ecosystem Partnership Fund and so on) in order to pool their information and experience and identify any gaps or new information that is considered necessary. This will be an early activity carried out under Outcome 4, Output 4.2. Once this has been done, and the final selection of villages has been made, then a specific village-level market assessment will be conducted.

## 4. Gender equity and women's participation:

The issue of gender equity and how it will be managed is discussed under paragraphs 222 – 223 of the PRODOC. The project will strive in all of its activities to address gender empowerment and to ensure that project benefits are equitably distributed within participating communities, following key lessons learnt in the Payment for Watershed Services projects that have been recently implemented in the Uluguru and East Usambara Mountains (see Blomley, 2012: The View from the Mountain – lessons learnt from the EPWS project, Tanzania), and the Sustainable Rangeland Management project that has been implemented in north-eastern Tanzania (see Carpano, 2010: Strengthening Women's Access to Land: The Tanzanian Experience of the Sustainable Rangeland Management Project). Measures and targets have been built into the project design to support the inclusion of women in project activities and leadership positions.

The project will adopt a holistic approach that views gender as a part of a wider discussion on vulnerability, with attention also paid to other vulnerable groups and the use of specific pro-poor measures.

5. Climate change risks, trends and vulnerabilities:

In response to the review comments received, careful attention has been paid to describing the climate change risks and vulnerabilities faced by Tanzania and, in particular, the potential impacts these may have on agriculture, food security and livelihoods of farmers in the Ruvu and Zigi catchments. Climate change data, and the potential impact of different climate change scenarios on agriculture in Tanzania was obtained from: McSweeney *et al*, 2010: UNDP Climate Change Country profiles: Tanzania; Arndt, *et al*, 2011: Climate change, Agriculture and Food Security in Tanzania; and Rowhani *et al*. 2011: Climate variability and crop production in Tanzania). These issues are described in the ProDoc in paragraphs 13 – 16. Activities have been built into the project that will strengthen the resilience of communities in the two river catchments to the possible impacts of climate change, such as the adoption of climate-smart agriculture including a greater diversity and more resilient crops, as well as soil conservation measures and adaptive water management measures (as per Lenton *et al.*, 2009), linked to an awareness-raising programme.

6. Adaptive water management and mainstreaming climate change across all project components:

The concept of integrated watershed management as described by Lenton *et al.* (2009) , Lenton (2011) and UNEP (2012) has been used to shape the integrated approach to land and water resource management taken in this project, and some of the project activities have been modelled on those described in case studies in Lenton *et al*, 2009. The project design has also been informed by the principles and practices outlined in the UNEP publication: *Status Report on the Application of Integrated Approaches to Water Resources Management* (UNEP, 2012).

7. Deforestation and fuelwood harvesting:

Output 4.1 of the project has been focused on reducing human-induced pressures and restoring degraded forests both within and outside of forest nature reserves. The project will implement measures that deal with practical forest restoration and rehabilitation (e.g. assisted natural regeneration and enrichment planting projects, establishing tree nurseries, managing alien invasive species); reducing the dependency on timber for fuelwood and construction (for example through the introduction of alternative technologies for cooking, lighting and heating and awareness-raising on the health benefits of reducing use of charcoal for cooking); sustainable forest management (through development and implementation of community led forest management plans); awareness-raising and training to raise the profile of the importance of forest conservation; and involving and incentivising the involvement of communities in monitoring and enforcing sustainable forest use and forest management practices. The Project will work with the Tanzania Forest Service (TFS) and forest-adjacent communities to develop and implement forest management plans and to develop strategies to manage fire, illegal logging, illegal mining, firewood collection and riverbank conservation. Working with the TFS and relevant NGOs and CSOs, the project will work with communities to draw up co-operation agreements and develop innovative, non-financial incentive schemes for reducing harvesting pressures within forests (e.g. benefits such as the provision of simple, reverse-osmosis water purification kits in return for successful protection of/restoration of forest patches). The project will also identify sites that may be suitable for rolling out the Sustainable Charcoal Project that is being successfully implemented in the Kilosa District by the Tanzania Forest Conservation Group. Development of the activities under this Output has drawn on the vast body of experience that has been developed in the Eastern Arc Mountains through projects such as the UNDP-supported GEF-financed ‘Conservation and Management of Eastern Arc Mountains Forests (CMEAMF)’ and ‘Enhancing the Forest Nature Reserves Network for Biodiversity Conservation in Tanzania’ projects, as well as numerous other forest restoration and management projects managed by the Tanzania Forest Conservation Group (TFCG), MJUMITA (a community foresters network), WWF and other NGOs and CSOs, as well as water resource management project’s elsewhere in the world (such as the Sukhormajri project in India).

B. Responses to GEFSec comments:

Review comments were received from the GEFSec on the original PIF submitted in June 2013. Detailed responses were provided to address these comments and changes were incorporated into the revised PIF which was ultimately approved in August 2013. Some of the review comments were to be further developed and reported on at CEO Endorsement and it is these that are addressed in this section. Those comments that were considered to be adequately addressed during revision of the PIF are not addressed again here.

1. GEFSec comment: Question 5: Strategic alignment with national development strategies:

As per the recommendation from the GEFSec, a detailed analysis of national policies, strategies and plans was undertaken during the PPG, as reported under Part II, Item A1 of this Endorsement Request, and in the PRODOC. The analysis revealed that the project is well-embedded in national priorities and the national decision-making system, which augurs well for its sustainability and the potential for scaling-up in the future. The project makes an important contribution to successful delivery of the national water and natural resource management policies. In particular, the project is fully consistent with components of the National Action Plan v.2, the Water Sector Development Strategy and the draft Operational Programme for Effective and Sustainable Protection and Conservation of Water Resources. It also gives effect at local level to five of the key areas of intervention outlined in the Integrated Investment Framework (IIF) and Integrated Funding Strategy (IFS) for Sustainable Land Management in Tanzania. The Project will contribute to meeting national targets that have been set under these programmes and the coherence of the project indicators with those of the Operational Policy and the IIF and IFS will ensure consistency in data collection and reporting.

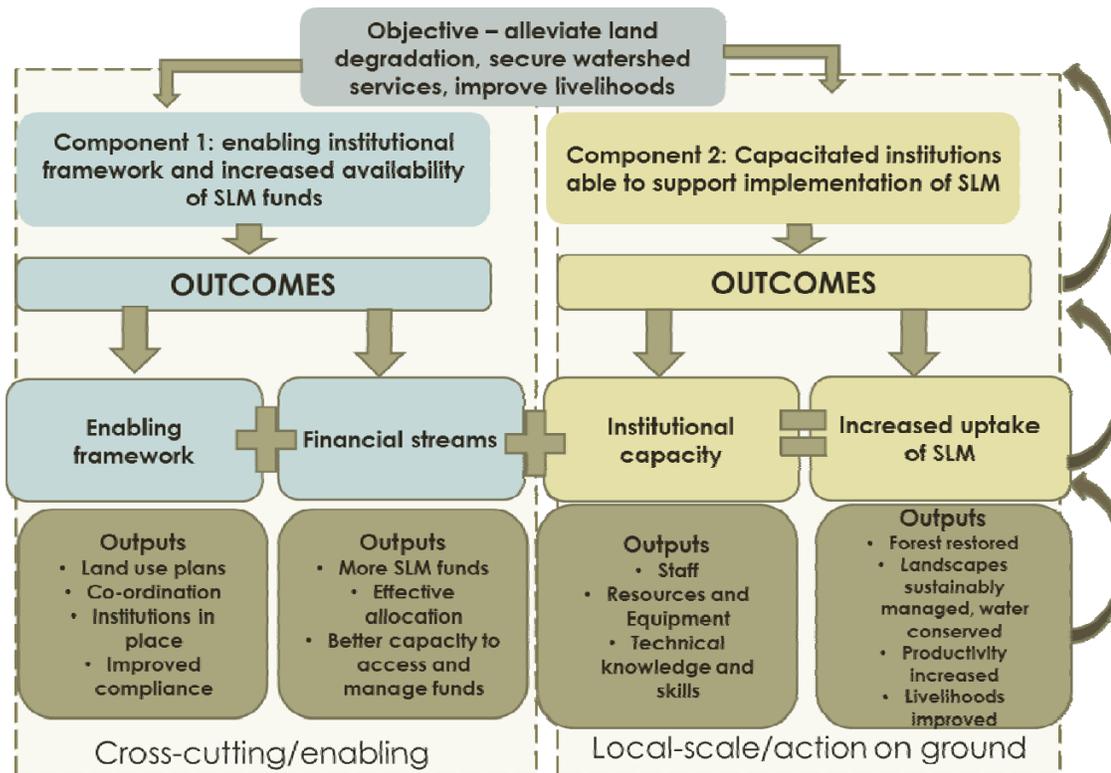
2. GEFSec comment: Question 7 – clarity of the components and outcomes and outputs in the project framework.

In their comments on the original PIF, the GEFSec made extensive recommendations for improvement of the clarity of the Components, Outcomes and Outputs in the project framework. Although these were revised at the time, and these revisions were built into the approved PIF, further improvements have been made during the PPG, as described briefly on page 5 of this CEO Endorsement request, and as detailed in the table appended as ANNEX E to this document.

Specific issues that required further attention during the PPG and that needed to be reported on at CEO Endorsement included: (i) the relationship/linkage between the two components of the project; and (ii) Improved focus of the Outcomes and Outputs (see Part II A, above).

*Relationship between the two components of the project:* The two components of the project are inextricably linked. It is well-established (UNEP 2012) that a key component of achieving integrated water resource management is to ensure increased co-ordination in development planning between water managers and other planners and resource users. One of the main impediments to the integration of SLM into watershed management at the landscape scale in the Ruvu and Zigi catchments lies in the lack of institutional, human and financial resources and capacity needed to deliver on Tanzania's progressive policy framework. Sectoral interventions tend to be narrowly focussed, with different ministries and agencies using different planning procedures, with little cross-linkage between programmes of action. This results in un-coordinated action, extensive duplication and redundancy, ineffective allocation of resources and weak stakeholder linkages and participation. The effectiveness of the decentralised water management system operating in the country is compromised by weak and variable capacity, uneven geographic coverage, conflicts of authority and limited managerial success. Many stakeholders are either unaware of the importance of using sustainable land management practices or water conservation measures and they are either unwilling or unable to comply with water basin regulations. These issues are compounded by the lack of effective land use management plans and inadequate funding.

*Component 1* of the project deals with the cross-cutting, enabling issues that need to be addressed (planning, co-ordination, putting institutions in place, implementing the law and securing SLM funds), whilst *Component 2* includes local-scale, practical interventions for implementing SLM (staff, physical resources, technical knowledge and skills, and implementation of forest restoration and sustainable land management activities that improve livelihoods and alleviate land degradation). By addressing the issues that are clustered under Component 1, the project will build the foundation for implementing the activities clustered under Component 2. The plans developed in Component 1 will determine where SLM is implemented. The relationship between the different components of the project is depicted graphically in the figure below.



**Terms of Reference and sustainability mechanisms for the multi-stakeholder catchment committees:** Multi-stakeholder catchment committees are provided for under national water policy, which also provides broad terms of reference for these structures. The specific terms of reference for the committees to be formed under this project will be developed in a participatory manner, with full involvement of participants. The ToRs will also be informed by the Terms of Reference that were developed under the Uluguru Landscape Framework (a product of the UNDP/GEF-funded CMEAMF project) for Landscape Co-ordination Committees.

Wherever possible, the project will work with existing structures that already have well-defined roles and legitimacy and credibility within communities, rather than creating new structures, as this improves the chances they will have a sustained life into the future.

3. GEFSec Comment: Question 8 – clarity of the Global Environmental Benefits.

This has been addressed under Part II, Item A of the CEO Endorsement request.

In achieving the Global Environmental benefits, certain trade-offs may need to be made. The project will strive in every way to ensure that benefits are equitably distributed across communities, including specific groups such as women, the poorest of the poor and other vulnerable groups (e.g. people who were resettled because of the construction of the Kidunda dam). Deliberate pro-poor measures will need to be introduced to ensure that the adoption of SLM measures does not only favour middle income and richer households, and other social factors may influence the rate of uptake of SLM. Investing in equity may involve some trade-offs in terms of efficiency and effectiveness, as the immediate environmental gains of working with the poorest farmers may be lower (as their land-holdings tend to be very small) – which is why the area of land over which the project will work has been scaled back from what appeared in the PIF. However, being more socially inclusive is one of the ‘costs’ of a long term investment on which there will be eventual returns.

4. GEFSec comment: Question 10: Role of Civil Society Organisations

Strong participatory approaches were followed during the project development process. Field-based community consultations were held during the two field missions that were conducted, and the stakeholder analysis undertaken during the PPG focussed particularly on identifying CSOs that could be involved in the project.

There are a variety of community-level institutions that play an important role in using and managing water and land resources. These include (but are not limited to: (i) UWAMAKIZI (*Umoja Wa Wajulima Wahifadhi Mazaringira Kuphuhwi-Zigi*), a farmer's association that was formed as executor of land-use changes linked to the Equitable Payment for Watershed Services (EPWS) project that was implemented in the Zigi catchment; they have received support from Tanga-UWASA and have an ongoing interest in implementing sustainable land management practices in the Zigi catchment. They have a current membership of 470 people (out of a potential 5,977) in 5 villages; (ii) The JUWAKIHUMA (*Jumuiya ya Wakulima wa Kilimo Hai Usambara Mashariki*) Organic Spice Grower's Association is a well-organised farmer's group that produces and markets organic spices in Muheza District. Their formation in 2008 was facilitated by a grant from the African Development Foundation. With a membership of over 600 farmers, Juwakhuma has an interest in building more sustainable livelihoods around organic spice growing and in expanding the land under organic spice-growing by 2,000 ha per year; (iii) WAKUAKUVYAMA (*Wakiluma wa Kuhifadhi Ardhi na Kutunza Vyama vya Maji* – or 'farmers for soil and water-source conservation), is a farmers' association that was originally formed under the CARE/WWF PES project that was implemented in the Mfizigo sub-catchment in the Uluguru Mountains; it is now a formally registered NGO with a management committee made up of representatives from 19 member groups in the Mfizigo sub-catchment of the Upper Ruvu; (iv) The JUKUMU Management Committee, with members from 21 villages, manages the Ukutu Game Management Area (which lies in the lowlands of the Ruvu catchment, taking in the alluvial plains between the Mkulazi River and the boundary of the Selous Game Reserve).

Organisations such as WWF, CARE, Tanzania Forest Conservation Group, Eastern Arc Mountains Conservation Endowment Fund (EAMCEF) and Sustainable Agriculture Tanzania (SAT), as well as CSOs such as UWAMAKIZI, JUWAKIHUMA and the Zigi-Mkulumuzi Water User Association) were invited to participate in the stakeholder workshops and to present the lessons learnt from their projects so that these could help shape the design of the current project. Similar opportunities for collaboration, knowledge exchange and lesson-sharing will be created throughout the life of the Project, as described under the various outputs in the Project Strategy.

Wherever practicable, the project activities will be implemented through partnerships between these NGOs, CSOs and the relevant government agencies, and this should further ensure good alignment between this project and other initiatives, as well as promoting the cost-effectiveness of the Project. The project will focus on enhancing social capital for promoting wise and informed watershed management and the adoption of sustainable production systems. Farmer's associations such as UWAMAKIZI, JUWAKIHUMA and WAKUAKUVYAMA, as well as Water User Associations, will play a central role in mainstreaming SLM amongst communities in the two catchments.

#### 5. GEFSec comment: Question 11 – Risks and mitigation measures

A thorough risk analysis was carried out during the PPG and for each potential risk, a mitigation strategy has been developed, as described under Part II, Question A6 of this CEO Endorsement Request, and in paragraphs 232 – 238 of the PRODOC.

#### 6. GEFSec comment: Question 12 – consistency and co-ordination with other related initiatives in the country/region:

The project will build on the lessons learnt in the numerous SLM-and water resource- focussed projects that have run – and are still operating – at other locations within the Uluguru and East Usambara Mountains. In particular, the project aims to create close linkages with and build on the lessons learnt and successes of: (i) the Payment for Ecosystem Services projects implemented by WWF/CARE and the Wildlife Conservation Society of Tanzania/Royal Society for Protection of Birds in the East Usambara and Uluguru Mountains; (ii) the forest restoration projects run by TFCG, WWF and MJUMITA in the Bunduki Gap in the Uluguru Mountains, and at various locations in the East Usambaras; (iii) the Sustainable Charcoal Project being piloted by the Tanzania Forest Conservation Group (TFCG), MJUMITA and TaTEDO in the Kilosa District (Morogoro Region); (iv) the alternative energy technology (brick rocket stoves and solar lanterns) projects implemented by CARE and TaTEDO in various villages; (v) the SLM and alternative livelihood work (e.g. beekeeping, spice-growing) being led by the Eastern Arc Mountains Conservation Endowment Fund (EAMCEF), TFCG and other NGOs and CSOs in the West and East Usambaras and the Uluguru Mountains; (vi) the ByT project (which promotes organic and SLM farming practices) and farmer training being provided by Sustainable Agriculture Tanzania; (vii) various agricultural support programmes such as the Uluguru Mountains Agricultural Development Project, and other similar initiatives; (viii) the Infonet-Biovision Project (that maintains a web-based information hub that makes available information on SLM production practices); (ix) the IUCN's Pangani River Basin Management

Project (which generates information, supports equitable provision and wise governance of freshwater resources to meet livelihood and environmental needs, and assist with the formation of participatory forums; and (x) iWASH (Integrated Water, Hygiene and Sanitation) programme, which works in the Wami-Ruvu Basin to provide training in principles of Integrated Water Resources Management, and supports the development of Water User Associations. In addition the Project will work to create linkages with the Sustainable Rangeland Management Project being implemented in the Dodoma/Manyara Region and will build on the achievements of recently completed and current UNDP/GEF initiatives, including the Kilimanjaro and Miombo Woodlands projects, the Forest Nature Reserves project and the extensive body of work being coordinated by the Eastern Arc Mountains Conservation Endowment Fund (EAMCEF) in other mountain blocks within the Eastern Arc.

During the project formulation process organisations such as WWF, CARE, Tanzania Forest Conservation Group, Eastern Arc Mountains Conservation Endowment Fund (EAMCEF) and Sustainable Agriculture Tanzania (SAT, as well as CSOs such as UWAMAKIZI, JUWAKIHUMA and the Zigi-Mkulumuzi Water User Association) were invited to participate in the stakeholder workshops and to present the lessons learnt from their projects so that these could help shape the design of the current project. Similar opportunities for collaboration, knowledge exchange and lesson-sharing will be created throughout the life of the Project, as described under the various outputs in the Project Strategy. Wherever practicable, the project activities will be implemented through partnerships between these NGOs, CSOs and the relevant government agencies, and this should further ensure good alignment between this project and other initiatives, as well as promoting the cost-effectiveness of the Project. In particular the Project will co-ordinate closely with the WWF, CARE and TFCG in relation to the PES projects that were piloted in the East Usambaras and the Ulugurus – although the current project will not itself focus on PES, it will build on the lessons and outputs of the PES projects and will focus on enhancing the social capital that these projects built for promoting wise and informed watershed management and the adoption of sustainable production systems.

The project will also work to ensure strong linkage with international and regional networks such as WOCAT (the World Overview of Conservation Approaches and Technologies - an international network of soil and water specialists) and TerrAfrica (a NEPAD-led partnership present in 24 African countries) that supports the development of innovative solutions to sustain landscapes, address land and water degradation and adapt to climate change. The Government of Tanzania, assisted by TerrAfrica partners, is establishing a National SLM Platform to oversee and co-ordinate the development and implementation of the National Framework for SLM. The National Framework and Platform for SLM will be supportive of multi-partner, co-ordinated efforts – such as this Project – that are in line with the objectives and approach advocated by the TerrAfrica partnership. As the TerrAfrica lead GEF Agency for Land Degradation and the Co-ordinator of the UN agencies in Tanzania, UNDP will ensure close co-ordination of these broader SLM initiatives with the Project.

**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>5</sup>**

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

<b>PPG Grant Approved at PIF: US\$ 100,000; AWARD: 00076618; PROJECT ID: 00087916</b>			
<b><i>Project Preparation Activities Implemented</i></b>	<b><i>GEF/LDCF/SCCF/NPIF Amount (\$)</i></b>		
	<b><i>Budgeted Amount</i></b>	<b><i>Amount Spent To date</i></b>	<b><i>Amount Committed</i></b>
Baseline studies and stakeholder consultations, and Project Document and DEO Endorsement Request prepared.			
<b>Total</b>	<b>100,000.00</b>	<b>72,058.64</b>	<b>27,941.36</b>

<sup>5</sup> If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities.

**ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)**

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)

NOT APPLICABLE

effected since approval of the PIF

	Wording in PRODOC		Nature of and reason for the change
<i>Department Offices and land management baseline investments</i>	<b>Component 1:</b> <i>Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management</i>		Minor re-wording to improve clarity, no substantive change
Management in place mainstreaming of 10,000 ha of land in 10 Catchments through implementation of an integrated (INRM) framework; regular application of	<b>Outcome 1</b>	Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resource Management in the Ruvu and Zigi catchments.	Minor re-wording to improve clarity. 'INRM' has been replaced with 'IWRM' as this was considered to be more appropriate, given that the focus of the project is on integrated watershed management <i>sensu</i> Lenton et al (2009) and UNEP (2012), and this encompasses INRM. The target has been adjusted and removed from the Outcome description (see explanation given under targets) as it has reference to the LD PMAT (which is specified as an indicator in the SRF).
	Outputs		
Land Use Management Plans (ILUMPS) ensuring optimal allocation of land to generate critical environmental and development benefits	Output 1.1: Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.		Minor re-wording, acronym removed
Multi-stakeholder committees are established in 7 districts and are active in promoting co-ordination and dialogue in support of mainstreaming SLM into other sectors, programmes and policies	Output 1.2: Multi-stakeholder committees are established (or strengthened) and are active in promoting co-ordination and dialogue in support of mainstreaming SLM into other sectors, programmes and policies		Minor re-wording
Water User Associations (WUAs) and River Committees are formed and/or become effective in all key sub-catchments with the Water	Output 1.3: Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-		Minor re-wording; 'Water Use Associations', replaced with 'Water User Associations' as this is the correct term

<p>1.4 The definition and description of land management crimes and the ability or relevant institutions and their personnel to recognise and ensure prosecution for the land and water related crimes improved by at least 100%; Rates of successful prosecution for land and water use crimes increased by 100%</p>	<p>Output 1.4: Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to identify and prosecute water and land-use infringements and harness greater compliance</p>	<p>The original intent of this Output remains unchanged (i.e. to address the problems of weak enforcement and low compliance with water basin regulations), but the focus has been shifted to be more proactive and constructive and to make the Output more achievable. It was the consensus of the project development team, and stakeholders consulted during the PPG, that focusing on definition and description of land management crimes would be inappropriate for this project, as well as unnecessary, as these crimes are well-articulated in relevant legislation. It was considered more appropriate to focus on raising awareness of the legislation (amongst authorities and users) and capacitating water basin authorities to identify infringements when they happen, and address the reasons why the rate of infringement is currently so high. It was also agreed that focusing on increasing prosecution rates would not necessarily bring about the desired change in behaviour of land and water users (i.e. to increase their compliance with the regulations, thus reducing the need for prosecution) – i.e. instead of the project reporting on a 100% prosecution rate as a measure of success, it would be preferable to report increased compliance (although those infringements that do still take place should be successfully prosecuted and improved systems for monitoring this should be put in place). Focusing on prosecution could also breed a generally conflictual relationship between the Water Basin Offices and the water users – a situation that might hamper success in other aspects of the project. It was, therefore, agreed that the emphasis of this Output should be shifted to focus on raising awareness of land and water use legislation, addressing the capacity and operational shortcomings that are currently responsible for weak enforcement and putting in place measures to improve compliance.</p>		
<p><b>Outcome 2</b></p>	<p>Finances for SLM investments increased and existing financial</p>	<p><b>Outcome 2</b></p>	<p>Finances available for SLM investments are increased by</p>	<p>Minor re-wording to shorten and improve clarity</p>

	contributions from the forestry, agricultural and rangeland sectors better aligned to support SLM practices more effectively, thereby reducing pressure on competing land uses in the landscapes		accessing new streams of public finance and more effective alignment of existing sectoral contributions	
Outputs:		Outputs:		
2.1 Economic valuation of the costs/benefits of different SLM practices and production systems provided and being factored into decision making as well as being used as a basis for brokering new public finance for SLM		Output 2.1: New streams of public finance are identified and accessed		Minor re-wording to shorten and place emphasis on the intended output rather than the means by which it should be achieved; no substantive change
2.2. Realignment of existing streams and brokerage of public finance resources for SLM funding increases funding available for SLM by at least 10%		Output 2.2: Sectoral (forestry, agriculture and water) allocations to SLM are re-aligned		Re-worded to place emphasis on the desired result, no substantive change
2.3 Guidance and resource distribution criteria for allocations provided and allocation leading to improvement in the efficacy of SLM investments (reduce overlap and redundancy)		2.3. The effectiveness of SLM investments is improved.		Re-worded to shorten, no substantive change.
<b>Component 2:</b> <i>Landscape level uptake of SLM measures avoids and reduces land degradation (LD) delivering ecosystem and development benefits over 50,000 ha (10,000 ha forests, 10,000ha rangeland, 30,000ha agricultural lands)</i>		<b>Component 2</b> <i>Reducing the effects of land degradation on watershed services and improving livelihoods through increased landscape level adoption of SLM measures in the Ruvu and Zigi catchments</i>		Minor re-wording. Targets removed to relevant parts of the Strategic Results Framework
<b>Outcome 3</b>	Institutional capacities emplaced for promoting sustainable forest and land management in the Ruvu and Zigi catchments through INRM across the landscape, evidenced by the UNDP-GEF Capacity Development Scorecard (focussed on institutional collaboration)	<b>Outcome 3</b>	Institutional capacity is built for promoting sustainable land and forest management in support of Integrated Water Resource Management in the Ruvu and Zigi catchments	Minor re-wording to shorten; 'IWRM' has replaced 'INRM' (see explanation given under Outcome 1) and reference to the Capacity Development Scorecard has been shifted to the Indicators and Means of Verification columns in the SRF.
Outputs		Outputs		
3.1 Institutional capacity enhancement programmes (based on capacity assessments) prepared and implementation started, leading to fully staffed		Output 3.1: The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices and		Re-worded to shift emphasis onto the intended result - improved institutional capacity (staff and resources) for SLM - rather than the capacity

institutions (or reduction in staffing or other capacity deficits) in the Water Basin Offices, regional offices of the line ministries and extension service of the 7 districts		regional offices of line ministries and local government institutions		enhancement programmes (which are the means of achieving the Output)
3.2 Training programmes (based on skills and training needs assessment) prepared and implemented leading to increased technical knowledge on mainstreaming SLM into land and water management processes amongst the extension service, technical staff of the Water Basin Offices, technical staff of the relevant line ministries, WUAs and land users		Output 3.2: The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions		Re-worded to shift emphasis onto the intended result - improved technical knowledge and skills for mainstreaming SLM - rather than the training programmes (which are the means of achieving the Output)
3.3 A more effective implementation of the extension and other SLM advocacy measures lead to at least a 50% increase in adoption of improved SLM measures by land users in the 7 districts		Output 3.3: Extension services are capacitated to promote uptake of SLM and promote sustainable livelihoods		Re-worded to shift emphasis onto the desired result - an improved extension service - as this was considered more appropriate under this Outcome (which deals with improving capacity for implementation of SLM); no substantive change
3.4. Livestock management technologies developed, tested and appropriate infrastructure established to operationalise SLM in the rangelands, in line with the ILUMPS, namely: decrease stocking rate in moderately degraded pastures; (ii) provision of watering points away from river beds.		Shifted to Outcome 4 as Output 4.4		This Output was shifted under Outcome 4, which relates to on-the-ground implementation of SLM and SRM, as it was considered more appropriate there.
<b>Outcome 4</b>	Incentives for increasing tree cover within the SLM context leads to increased forest cover and ecological connectivity between and within different forest blocks; securing watershed and other ecosystem services.	<b>Outcome 4</b>	Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods	During the PPG an intensive consultation process was followed, involving communities in the catchments, implementing partners and key stakeholder institutions. The consensus of opinion was that the focus of this Outcome should be landscape-level uptake of sustainable land management practices as a means of reducing land degradation, and securing watershed services. It should also deal specifically with poverty alleviation as this is one of the causes of the ongoing land degradation, and the cascading effects this has on watershed services, in these catchments. Ecological connectivity was not considered to be a primary outcome and increasing tree cover was seen as only one way of reducing land degradation. The Outcome has, therefore, been re-worded to reflect this reasoning – the revised wording shifts the focus to the change the project hopes to bring about (securing watershed

			services), rather than one of the means by which this will be achieved (increasing tree cover).
<b>Outputs</b>	<b>Outputs</b>		
4.1 10,000 ha of riverine forests acquire higher protection status that reduces human induced stressors (e.g. from deforestation, fire, unsustainable forest/wood harvesting) significantly to allow natural rehabilitation	Output 4.1: Sustainable land management practices promoted and natural rehabilitation facilitated in 10,000 ha of forest		The revised Output 4.1 represents a combination of Outputs 4.1 and 4.2 from the PIF. During the PPG a project development workshop was held in Dar es Salaam, at which 60 representatives of some 28 government agencies, NGOs and CSOs participated in a process to develop the project activities and targets. It emerged that the original Output 4.1, which was to bring 10,000 ha of riverine forest under greater protection, was considered both unrealistic and inappropriate for this project, for the following reasons: (i) the reality in the Uluguru and East Usambara Mountains is that most remaining, intact forest is already included in various forest reserves, and it would be difficult to bring an additional 10,000 ha of intact riverine forest under formal protection ((ii) the Amani Forest reserve in the Zigi catchment is itself only 8,300 ha in extent and the Uluguru Forest Reserve some 24,000 ha in extent; setting this project a target of securing an additional 10,000 ha for protection, and restoring a further 10,000 ha, especially in a project that has so many other Outputs, was considered unachievable; (iii) the process for bringing forests under formal protection is a lengthy and time-intensive one that is beyond the scope of this project, especially considering that it also includes a range of other outcomes relating to institutional arrangements, capacity building, securing funds for SLM and landscape-level uptake of sustainable land and rangeland management practices to alleviate land degradation, secure ecosystem services and improve livelihoods; (iv) There is another UNDP/GEF-funded project in the Eastern Arc that has focussed on bringing priority forests under greater protection and it was considered an unnecessary duplication for this project to attempt the same. It was thus agreed that a more appropriate and achievable Output for this project

		would be to reduce human-induced pressures and facilitate restoration of degraded forest both within and beyond the boundaries of protected areas. It is for these reasons that the focus of Outcome 4.1 has been shifted to forest rehabilitation and reducing human-induced pressures on remaining forest using a variety of means.
4.2 Uptake of forest landscape management practices in the wider landscape (outside the 10,000ha of higher protection) and within the linear ecological corridors (primary linkages) and stepping stone corridors (secondary linkages) increased by at least 50% leading to improved flow of watershed services	In the Prodoc the old Output 4.2 has been absorbed into new Output 4.1 (see above)	
	4.2. Household food production and incomes increased by 30% (for actively participating villages) through uptake of sustainable income generating activities	This Output relates to old Output 4.3 in the PIF; it has been re-worded to shorten it and improve clarity, but without any substantive change (although targets have been adjusted to be more realistic, as reflected in the SRF).
4.3 Uptake of alternative and sustainable income generating activities throughout the landscape increase household food production (at least by 30% for 3 or 4 key crops) and incomes by 30% for actively participating households.	In the Prodoc, old Output 4.3 has become new Output 4.2 (see above)	
	4.3. Livestock management technologies developed and tested and infrastructure developed to operationalise SLM in rangelands	This Output was shifted from Outcome 3 (where it was Output 3.4), as it was thought to be more appropriately placed under Outcome 4.