GLOBAL ENVIRONMENT FACILITY

PROPOSAL FOR REVIEW

Project Title: **Reducing Biodiversity Loss at Cross Border Sites in East Africa**

GEF Focal Area: Biodiversity (with land degradation at 2 sites)

Country Eligibility:

Country	CBD Ratification	UNDP Support	GEF
Kenya	26/7/1994	X	X
Tanzania	9/3/1996	X	X
Uganda	8/9/1993	X	X

Total Project Costs: **$ 18.425 million**
GEF Contribution: $ 12.655
GEF PDF Block B: $ 0.244
Total GEF Contribution: **$ 12.899**

Financing Plan	Increment	Baseline	Description
GEF Contribution	$ 12.655		
Government	1.200	$ 1.690	Increment additional to Baseline
USAID	0.500		PERM
DANIDA		0.500	District Rural Dvpt Prog.
NORAD		0.100	Catchment Forests
UNCDF		0.200	Pastoralist Support
Netherlands		0.750	District Rural Support
UNDP		0.100	Country programmes
World Bank		0.300	Livestock Extension
Other Contributions[1]		0.430	various (see annex 5)
Total	**$14.355**	**$ 4.070**	
Total Project Costs	**$ 18.425**		

GEF Implementing Agency: United Nations Development Programme
Executing Agencies[2]: Kenya, National Environment Secretariat
Tanzania, National Environment Management Council
Uganda, National Environment Management Authority

Estimated Start Date: September 1997
Project Duration: Five years
GEF Preparation costs: $ 243,500 - PDF Block B (approved June 1996)

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[1] See Annex 5.

[2] Other Participating Agencies include:

Kenya: Forestry Department, Kenya Wildlife Service, National Museums of Kenya, Ministries of: Agriculture; Livestock Development; Economic Development & Planning. Districts of: Baringo, Kajiado, Taita, Taveta, Turkana,

Tanzania: Forestry Division, Wildlife Division (Ministry of Natural Resources and Tourism), Ministry of Agriculture & Livestock, Division of Environment (Vice-Presidents Office), Planning Commission (Office of President). Districts of: Bukoba, Karatu, Monduli, Same.

Uganda: Forestry Department, Ministries of: Agriculture & Livestock; Economic Planning; Finance. Districts of: Kotido, Mbarara, Moroto,Raika,

5. These sites correspond to GEF Operational Programmes as follows:

Site	Ecosystem	GEF Operational Programmes
1	Moist Evergreen Montane Forest of the Eastern Arc	3 - Forests 4 - Mountains
2	Northern Dry Evergreen Montane Forest	1 - Drylands, 3 - Forests 4 - Mountains
3	Southern Dry Evergreen Montane Forest	1 - Drylands, 3 - Forests 4 - Mountains
4	Lowland Swamp Forests	2 - Freshwater Wetlands 3 - Forests

Sites 2 and 3 also involve issues of land degradation in semi-arid environments.

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

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

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

Threats

8. While many sites are designated as protected areas of one kind or another there are significant gaps. Approximately one third of the closed forests in the Sango Bay/Minziro swamp forest ecosystem are unprotected. One third of the forest patches in the mountains of the Eastern Arc have not been reserved.

9. Whilst protected areas are seen as an essential element in any long-term biodiversity conservation strategy, merely designating sites as protected areas does not necessarily result in the conservation of their biological diversity. In all three countries forest reserve status has diminished in the past decade with little implementation of controls in many areas. There is massive illegal logging in Minziro and the Pares. Both the swamp forests of Minziro-Sango Bay, and the dry montane forests, are under immediate threat of degradation from over-use and encroachment The Eastern Arc Mountains forests, both the protected and unprotected patches, are threatened by excessive resource exploitation and encroachment. Protected Area mechanisms themselves need strengthening and integrating into local development planning systems

Root Causes

10. Biodiversity is regulated by the policies, laws and institutions of the natural resource sector (e.g. Forestry, Wildlife). However, biodiversity is lost through rapidly spreading agricultural land conversion, and through short-term resource over-exploitation. These are driven in part by agricultural and industrial promotion policies. In the absence of industrialisation, including effective livestock marketing, economic growth rests on the exploitation of natural resources -

either through the conversion of natural lands to agriculture, or by increased use of forest and wildlife resources. Privatisation policies without regulatory controls have led to gross over-use, and to the exclusion of community access in many cases. These problems are compounded by the failure to resolve conflicts between modern and traditional systems, in particular those associated with pastoralist water and grazing access, rights, and management systems - including the use of fire.

11. At a local level, continuing population growth of 2.8 to 3.5% pa, coupled with poverty, leads to high demand for land for conversion. Local communities have resisted plans for further reservation of land in central government protected areas as they lose both resource access and conservation responsibilities. Past reservation of hill forest in Kajiado led to rapid degradation of resources as traditional custodians lost access. Interestingly, in some of the cross border sites there are still strong traditional conservation ethics (the Loima Hills of Turkana for example).

Regulatory and Institutional Context

12. The main policy and regulatory institutions in all three countries are within central Government. Policies and laws are interpreted and implemented at Central, District and Local levels of government. While there has been an increasing trend towards decentralisation of planning, decision making, and resource management from Central to District level government in the past years, and in theory from District to Village and local levels, in practice decentralisation needs further elaboration and as yet there is little clarity of institutional mandates and responsibilities. Until policies which empower people to work together with government are firmly in place and implemented, then further biodiversity loss is unavoidable.

13. These backward and forward linkages between local level activity and the higher order district and central activity in policy and legislative issues are key to ensuring successful resource conservation. The present non-clarity of mandate and responsibility has exacerbated resource loss; especially at a time of changing patterns of decentralisation and privatisation. This proposal includes specific activities at all three levels, helping to ensure compatibility within the overall framework.

Project History

14. This proposal originated from discussions in the latter half of the GEF Pilot Phase 'East African Biodiversity Project' which was aimed at capacity building at national institutional level. Reviews of the first project stressed the need for much greater involvement with the biodiversity resources themselves and with the local forces that lead to biodiversity loss. The first project involved conservation agencies and neglected the main forces of conversion - the demand for land and short-term financial gain. While national level institutions capable of dealing with biodiversity issues are now in place, policy initiatives have to be extended to local levels. Valueing the comparative lessons from shared experiences in neighbouring countries, and the additional leverage that this gives, the three countries submitted a joint PDF Block B proposal to GEF which was approved by GEFOP in June 1996.

15. With GEF PDF Block B support a series of local, national, and cross-border workshops and consultations were conducted involving a wide range of stakeholders from local villagers to ministry officials (see Annex 2). Using a workshop based iterative ZOPP process involving

all stakeholders a problem tree (Annex 3), conceptual framework, and Logical Framework matrix (Annex 4) were developed for the project.

Conceptual Framework

16. Biodiversity loss is a direct result of decisions by individuals to convert natural habitat into agricultural land or cash value. Each conversion is thus a microcosm of the conservation or development debate. Often the forces of traditional development speed up the rate of conversion. Conservation inputs slow down rates of conversion. Whilst resource availability remains greater than demand biodiversity losses will be limited. When demand outstrips supply there will be significant losses.

17. Individuals make decisions to use resources (e.g. convert land), despite their desire to maintain such resources for the variety of benefits they offer. Decisions are made by people attempting to maximize their returns on investment (time, effort, money). The decisions are influenced by perceptions of, and community behaviour towards, the comparative supply and demand of biodiversity products versus land for cultivation. Decisions are made within the local policy and regulatory framework (including access, tenure and incentives/disincentives), and the resource user's value system (Is it legal? Will I get caught? Are there social taboos? or other values? What other options are available to me?).

18. At broader levels the village and local, but also the district and national, decision making processes that create the context for policy, its implementation, and ultimately individual decision making, reflect the same debate. Changing the outcome of these decisions will involve making each part of the debate (conservation and development) feel that they stand to gain from the proposed intervention. There will thus be a WIN - WIN situation. Intervention inputs must be seen to address both sets of needs.

Project Strategy

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

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

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

20. The project strategy is therefore is to provide alternative resource options and management strategies whilst at the same time strengthening conservation capability within communities and agencies, and strengthening the linkages between them.

21. The project will use entry points into the local District decision making systems (with linkages downwards to the village communities, and upwards to the central government policy making systems). It will directly target the need to create an appropriate local policy and decision making environment, and will address the key concern of developing sustainable conservation initiatives to reduce biodiversity loss at these sites. The proposal is based on donor collaboration, with the GEF intervention focusing more on the forest and wetland

biodiversity resources themselves, and other donors supporting the improvement of agricultural practices in the communities around the biodiversity sites.

PROJECT OBJECTIVES AND DESCRIPTION

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

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

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

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

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

(i) Creating the ability to interact with local people from within regulatory agencies;
(ii) The empowerment of local communities through building working partnerships;
(iii) Developing a regionally compatible policy / legislative framework to allow interaction across the full range of policies that affect biodiversity.

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

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

(i) development and implementation of management plans which include mechanisms for the sustainable harvesting of key products.
(ii) the development of alternative supplies of major resources (fuel and poles)
(iii) the adoption of livelihood strategies by the stakeholder communities that reduce natural resource dependence
(iv) the development of strategies to address regional and transient forces, in particular those associated with pastoralist survival strategies including water, access rights, fire management, and grazing systems.

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

27. At the completion of the project, there will be:

(i) A policy and legislative environment conducive to the sustainable utilisation of biological diversity in the cross-border sites. Local communities and local and national level sectoral development agencies will be engaged in collaborative resource management programmes, with political support and a reduced incidence of lower-level corruption. Mechanisms will be in place for the effective management of conflicts, including those between modern and traditional systems.

(ii) Participatory Management Plans in place and under implementation for four cross-border biodiversity sites. Key resources will be reserved as conservation areas under locally appropriate and supported management arrangements, including under traditional resource management systems or partnerships between traditional and government systems. Plans will specify sustainable use regimes with stakeholder user groups monitoring offtake.

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

RATIONALE FOR GEF FINANCING:

28. Kenya, Uganda and Tanzania form the *megadiversity* region of East Africa. All three countries have made significant investments in resource conservation. All three have set aside more than 12% of their land area as protected areas, in Tanzania this is more than 22%. Combined government and donor protected area efforts in the three countries exceeds US$50 million per year. However, much of this effort has been focused on protecting the large mammal fauna of the region from unregulated exploitation. Meanwhile it is unplanned conversion and over-use that is the main cause of degradation and loss to forest, wetland and mountain ecosystems. These ecosystems are less well represented in the protected area networks. In most cases their protection was adhoc rather than planned. It is these ecosystems which are the target for this proposal, and specifically four globally recognized biodiversity ‘hotspots' within them.

29. All three countries are eligible for UNDP and World Bank support, are participants in the GEF, and have ratified the Convention on Biological Diversity. All three countries have active NEAP’s, Environment Policies, and Environmental Legislation processes, and are developing Biodiversity Strategy processes. All three countries are developing documents setting out priority

areas for investment in the field of biodiversity. These already confirm the global literature that identifies the selected areas as biodiversity hotspots, and identify these sites as priorities for national action. The GEF focal points in all three countries have confirmed that this proposal is a priority for GEF financing.

30. The proposal will assist all three countries in the implementation of the *Convention on Biological Diversity*. In particular it promotes regional cooperation *(Article 5)*, establishes sustainable development around protected areas *(Article 8)*, develops policy and fiscal incentives for conservation *(Article 11)*, includes training *(Article 12)*, and technical and scientific cooperation *(Article 18)*.

31. With respect to the *Guidelines for the GEF Biodiversity Work Programme, and the Programme Priorities of the Conference of Parties* it:

- is country driven and is endorsed as a national and regional priority by all three countries.
- directly promotes and strengthens human resources and skills and promotes the utilization of local and regional expertise.
- reduces risks from scientific uncertainty by increasing and improving environmental information to support decision making and action.
- addresses the root causes of global environmental deterioration through reducing institutional and policy weaknesses.
- builds capacity within local community and agency institutions to manage sustainable resource usages.
- assists countries in fulfilling their obligations under the Convention.
- attracts collaborative donor support and financing.
- encourages international cooperation, and contributes to building regional cooperation in implementing the Convention on Biodiversity.
- integrates biodiversity into Agricultural Development
- promotes the sustainability of project benefits.

32. The proposal directly addresses all four of the GEF Operational Programmes: Arid and Semi-arid Zone Ecosystems; Coastal, Marine and Freshwater ecosystems; Forest Ecosystems; and Mountain Ecosystems. Further, land degradation issues in drylands are addressed at two of the four sites (the northern and southern dry forests).

33. The project approach - directly addressing the individual decision making environment; working at district levels with backwards and forwards linkages into local and national planning, decision making, and regulatory systems; working with development agencies as well as conservation agencies; and addressing root causes of biodiversity loss through policy processes, has immediate application to other areas in the Region, and elsewhere in the tropics.

34. Cross-border approaches to biodiversity conservation are relevant within the region to the borders with Ethiopia, Mozambique, Rwanda and in time Sudan, Zaire etc, though these sites are even more complex due to their different histories, languages and institutions.

Project Linkages and Incrementality

35. Within the environment sector the proposal will build on and strengthen a variety of existing donor programmes addressing forest and watershed conservation, wetlands conservation and, in several sites, the issues surrounding pastoralist land-use. The project will

also build on projects in other sectors, in particular UNDPs Governance and Poverty Alleviation Programme, rural development programmes of the Netherlands and DANIDA, and Government efforts to strengthen Districts and to empower local communities. A series of donor discussions have taken place during the preparatory process and once this project starts a number of donors will realign their programmes to more closely support the biodiversity work.

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

SUSTAINABILITY AND PARTICIPATION

37. The basis of the project is to build partnerships, mechanisms and capacities within existing institutions. No new institutions will be created, instead existing institutions will be strengthened. The results of the project will be new policies, byelaws, traditional rules, consultation mechanisms, and ways of doing things at local, district, national and regional levels. The success of the project will be determined by its ability to develop and establish sustainable mechanisms for bringing natural resource supply and demand into alignment with each other, and creating a capacity within existing institutions to regulate this.

38. Sustainability is then dependent on both the success of project design and implementation, and on Governments (at all levels) willingness to maintain their baseline financing, from both their recurrent and to a limited extent their development budgets. Governments are putting an additional $1.3 million into the project areas over the project life cycle, as incremental cofinancing, over and above their baseline activities.

39. Governments have repeatedly affirmed their commitment to this project and to the pattern of activity on the ground in the target sites. District and local governments have expressed their support, as have the local communities consulted during the preparation process. The new East African Regional Cooperation Secretariat participated in some of the preparatory work, has placed environment high on its priority list, and has stressed its support for such regional initiatives.

Community Consultations and Commitments:

40. Local communities and their representatives were involved in project preparation, and their ongoing participation is vital to the success of the project. While the transition to sustainable harvesting regimes implies significant behavioural change, the project will work with communities to develop appropriate incentives to undergo, and maintain, this change. During preparatory consultations it was noted that despite the existence of various other “participatory projects” in all of the areas, an immediate comment from local stakeholders in the Districts was: ‘this is the first time that we have been consulted as to what should be done at local level’.

LESSONS LEARNED AND TECHNICAL REVIEW:

41. The point of departure for the proposal is the failure of existing reservation systems (protected areas) for forest and wetland resources. In the face of increasing development pressures, communities will not accept their exclusion from resource use.

42. While Integrated Conservation and Development Programmes (ICDP's) have made some progress in reducing pressures on protected areas, their limitations are increasingly understood, in particular their failure to empower local communities and their non-specificity with respect to the forces causing biodiversity loss. Similarly, community based natural resource management has shown the importance of decentralizing ownership, but is not yet a total solution. This project takes elements of both approaches - the development of alternative resource management strategies and the empowering of local communities, and combines them with multi and cross-sectoral policy, planning and management changes at local, national and regional levels, in order to shift the individual decision making environment towards one where the resulting decisions favour biodiversity.

43. The first GEF financed East Africa biodiversity project showed the importance of creating an "enabling environment" at the national policy level, but also clearly showed the need to extend this across sectors and down to district and local levels. Similarly, both the GEF financed Lake Victoria Environmental Management Programme, and the ASAL (Arid and Semi-Arid Lands) activities in Kenya demonstrate the need for communication and coordination at local and district levels, as well as at national levels, and between all of these. The difficulties associated with achieving the necessary levels of change in government policy and behaviour are clear and as the GEF STAP Technical Reviewer notes, high levels of leadership, facilitation and communication skills will be needed on the part of both project and key government staff. The project strategy to bring about change is to seek to create "critical mass" in a limited number of districts. By simultaneously harnessing the power of communities and donors at local levels and the lead environment agencies at national levels, significant leverage can be brought to bear. Such an approach lead to rapid shifts in institutional policy and behaviour during the GEF financed preparation of the biodiversity component for the second five year trimester of Madagascar's national environment programme. Leverage is also obtained through the cross-border linkages with shared learning and comparative experience generating a certain amount of pressure. The first GEF East Africa project also showed that technical linkages at regional level re-inforce political collaboration.

44. In response to the GEF STAP Technical Review the details of resource allocations between the various components and activities has been added (Annex 7). While the limitations of a 5 year project are clear given the depth of institutional change sought, once the necessary approaches are in place, maintenance will take minimal levels of support, again, the actual change process in Madagascar took only 18 months. Momentum towards such change has already been started during the project preparation process which essentially adds 1 year of preparatory activities to the project lifetime.

PROJECT FINANCING AND BUDGET:

45. Summary Budget Table (GEF Contribution) ($ mill)

Component	Total	Year 1	Year 2	Year 3	Year 4	Year 5
Enabling Environment						
Agency Capacity	2.591	0.374	0.776	0.865	0.440	0.136
Working Partnerships/Empowerment	1.653	0.243	0.311	0.509	0.335	0.255
Policy/Legislative Framework	1.837	0.300	0.397	0.610	0.350	0.180
Balancing Resource Demand & Supply						
Resource Management	2.500	0.300	1.150	0.600	0.150	0.300
Alternative Resource Supplies	1.470	0.215	0.480	0.355	0.250	0.170
Alternative Income Generation	1.594	0.290	0.530	0.334	0.250	0.190
Pastoralist Land Use	1.010	0.008	0.382	0.300	0.220	0.100
Total	**12.655**	**1.730**	**4.026**	**3.573**	**1.995**	**1.331**

INCREMENTAL COSTS AND COST EFFECTIVENESS

46. The GEF Alternative will involve building on the existing interventions by district level development agencies and bilateral donors to create an environment in which local communities and district development agencies can work in partnership with national forestry, wildlife and environmental agencies on both sides of the border to promote the sustainable use of biodiversity resources. It will also lead to a balancing of resource demand and supply through the development of alternative economic activities, as well as developing alternative sources of natural resource products and sustainable management regimes.

47. Summary of Incremental Costs by Component ($ mill)

Component	GEF Increment	Government Increment	Other Increment	Total Increment	Baseline	Total
Enabling environment for sustainable use	6.081	0.600	0.300	6.981	1.408	8.389
Balancing resource demands and supplies	6.574	0.600	0.200	7.374	2.662	10.036
Total	**12.655**	**1.200**	**0.500**	**14.355**	**4.070**	**18.425**

The full Incremental Cost analysis is presented in Annex 7.

Cost Effectiveness:

48. This project targets four crossborder biodiversity sites of global significance in three countries. These are largely forested sites, but include the associated springs, water sources and wetlands which are derived from the catchments. Incremental costs for each site are around $300,000 per country per year.

49. Whilst most activity is site based, the emphasis on policy and regulatory frameworks means that the applications have greater utility than at the cross-border sites alone. In

particular, the components dealing with creating a realistic enabling environment have long-term investment value for GEF, both in the region and elsewhere.

50. In addition 'cost effectiveness' is ensured by :

- building on existing structures, and requiring no new institutional structures.
- using contracting mechanisms to obtain the services of institutions with proven expertise.
- using national and regional expertise where possible.
- minimizing the administrative structures and ensuring that managerial staff also serve technical functions on the ground. The ratio of project management costs to project technical inputs is estimated at a 1 : 6 ratio.

ISSUES, ACTIONS AND RISKS:

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

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

53. More risk is associated with the need to formalize the empowerment of both districts and local communities. While governments increasingly espouse the need for empowering people to manage local resources, action to put in place appropriate policy and legislative frameworks has been limited to date. A key risk is that Governments delay the implementation of such mechanisms, and that communities may not accept what is offered. However, since community empowerment is a generally accepted paradigm by major donors and international agencies, and since this project targets empowerment mechanisms in several ways, it is felt that the risk of potential slow government action is acceptable. Experience during project preparation also suggests that this commitment is real.

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

INSTITUTIONAL FRAMEWORK AND PROJECT IMPLEMENTATION

Institutional Framework

55. The project will be nationally executed simultaneously in all three countries. Coordination will be achieved through a Regional Steering Committee and Regional Technical Planning Meetings at cross-border sites. National Steering Committees will guide implementation within each country whilst Site Committees will coordinate activities across the border at each site. The Site Committees will be tightly linked to District Planning and Environmental Committees. The National Steering Committees will be chaired by the national agencies responsible for biodiversity coordination and implementation in each country and will bring together the various relevant national sectoral agencies, as well as district and local representatives. The Committees will be supported primarily by Site-based units working under the guidance of National Project Directors. Actual implementation will be through agreements and contracts with technical organisations, including government agencies at central and local levels, NGO's, CBO's, and the like, drawing as much as possible on national and regional expertise. Regional inputs will be coordinated by a small regional component.

56. Implementation Plan

Activity	Year 1		Year 2		Year 3		Year 4		Year 5	
Start-Up	**	**								
A1 - capacity		**	**	**	**					
A2 - partnerships		**	**	**	**					
A3 - policy frame			*	*	*	*	*	*		
B1 - management		*	**	**	**	**	**	**	**	
B2 - alt. resources			**	**	**	**	**	**	**	
B3 - alt. incomes			**	**	**	**	**	**	**	
B4 - pastoralists				**	**	**	**	**		
Evaluation					*					*

Monitoring and Evaluation

57. Monitoring of implementation will be maintained by strong Steering Committees at National and Site Levels, with annual linkage regionally at Regional Steering Committee/Tripartite Review Meetings. Monitoring of impacts, (including biological, social, economic, and policy) will be determined by indicators established as a part of project activities. External evaluations, which will examine both implementation and impacts, will be conducted at the end of years two and five.

Map Showing Sites

ANNEX 1 : GLOBAL BIODIVERSITY VALUES IN THE FOREST AND WETLAND ECOSYSTEMS OF EAST AFRICA AND SITE BIODIVERSITY SUMMARIES

Overall Priority Ecosystems based on GEF Operational Strategy Criteria

Ecosystem	System	Countries	Notes
FORESTS	*Eastern Arc	Kenya/Tanzania	Global Priority
	Albertine Rift	Uganda (Rw Zaire)	Global Priority
	Coast	Kenya/Tanzania (Moz)	Global Priority
	*Dry Mountains	Kenya/Tanzania/Uganda	
MOUNTAINS	*Eastern Arc	Kenya/Tanzania	See Above
	Albertine Rift	Uganda	See Above
	EA Volcanoes	Kenya/Tanzania/Uganda	
	*Dry Mountains	Kenya/Tanzania/Uganda	See Above
WETLANDS	Nile System	Uganda	
	E A Rift Lakes	Kenya/Tanzania/Uganda	Global Priority
	*Swamp Systems	Tanzania/Uganda	Global Priority
	Dryland Wetlands	Kenya/Tanzania/Uganda	Global Priority

* Sites addressed in this project

2 Cross Border Sites targeted in this proposal with district entry points

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

SITE BIODIVERSITY SUMMARIES

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

The forests of the Eastern Arc (a chain of block mountains) are globally acknowledged as one of the most important biodiversity sites in Africa, with exceptional diversity and endemism within several taxa (plants - endemic genera and species, birds, amphibia, invertebrates). This proposal targets two sites within cross border districts, which have attracted less attention in the past. The **Taita Hills** in Kenya must be East Africa's most threatened important biodiversity site, with several tiny fragments of remaining forest with 12 strict endemic taxa! On Tanzania's **Pare Mountains** there are similar forest patches surrounding a larger block - Chome FR of > 100 sq km. These mountain / hill blocks are well watered and relatively fertile. Population pressures are thus high with consequent growing demand for land and resources. The mountain forests are important catchments - for human use as well as for wetlands and seepages important as biodiversity foci. The two sites offer very similar problems, with different histories of attempted conservation actions. Cross-border cooperation could well find optimum solutions.

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

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

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

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

Table 1.1 Summary of biodiversity and conservation values for Moroto

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

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

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

The forest communities are of considerable biodiversity interest themselves, as are the `wetlands in drylands' communities lower down. These wetlands are the ultimate refuge for a much wider based biodiversity resource.

The forests are under pressure from commercial interests, and the seepages have attracted privatisation of land holdings to the detriment of other users.
Monduli District provides the entry point to several mountains (Monduli, Burko, Elsimingorr, Kitumbeine, Gelai and Longido) in Tanzania. Gelai acts as a major seepage to Lake Natron. Kajiado District has Oljoro Orok, the base of the (eg Namanga Nguriman Escarpment, Chyulu Hills etc.

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

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

The forests of Sango Bay and Minziro cover 400 km^2 in Rakai District of southern Uganda, and Bukoba District in north Tanzania. Occupying flat land along the Kagera River the area is the richest and most extensive swamp forest in eastern Africa and is classified as *Baikiaea-Podocarpus* seasonal swamp forest. These forests are the only site for this specialised community and are of considerable conservation importance. The swamp *Podocarpus* is a distinct sub-species.

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

Summary of biodiversity values in Sango Bay Uganda

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

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

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

ANNEX 2 : PROJECT PREPARATION PROCESS

Project preparation was undertaken with financial support from a GEF PDF Block B grant; (243,500$ approved in June 1996). This provided for consultancy input at national and regional levels, and a series of technical and stakeholder meetings at district, sub-district and village and individual levels. These meetings, permitting wide consultation, involving government, local communities, NGOs and donors are summarised below. Detailed records are maintained in the region.

THE UGANDAN PROCESS : In Uganda the process was supervised by NEMA. Two participatory National Workshops were held, the first examined biodiversity problems at the sites, the second examined possible solutions. Local leaders and resource specialists attended, bringing much grass roots experience to these sessions.

A consultant team visited both field sites, seeking discussions with local farmers and people using forest resources within villages and in the forest setting. In **Karamoja** special attention was paid to the sub-county decision making processes (LC3). Water was seen as an extremely important issue. People were aware of the value of forest for catchment, but stated the lack of any alternative, meant that there was no choice BUT to use the forest un-sustainably. In **Rakai/Mbarara** the team visited forest sites and village communities using the forests. Community institutions discussed the problems of unclear jurisdiction between centre and district authorities. Closure of all forest use meant there was no incentive for the communities to conserve.

THE TANZANIA PROCESS : In Tanzania two National Workshops were held; the first addressing problem issues, the second addressing potential solutions. They were attended by District & Central Government specialists, NGO's, Donors, Resources persons and Community representatives. A consultant team made field visits within the districts, involving grassroot discussions and district leadership workshops:

In **Bukoba** the team visited village farms, logging sites within Minziro forest and held discussions with villagers, both men and women, and ward councillors, CBOs, field level staff and the District elected Chairman. A successful cross-border meeting with Ugandan colleagues (officials, representatives, CBOs) led to immediate decisions on collaboration, including timber smuggling. In **Monduli**, visits were made to Monduli and Kitumbeine Forest Reserves; and to Ketumbeine and Gelai villages where discussions were held with villagers. The team visited Lakes Natron and Eyasi (now split into Karatu District) and discussions were held with district leaders on the conservation status of those lakes. In **Same**, the team visited the villages of Chome, Bwambo and Mamba/Mwiamba where discussions were held with the villagers and ward leaders on state of Chome and associated forests.

THE KENYA PROCESS : Kenya held the same pattern of national workshop, with strong District representation. A consultant team visited sites, villages and people in Turkana, Taita and Kajiado. In **Turkana** the DC emphasised the need to empower people to manage their resources to break growing donor (famine-food) dependence. People in **Taita** and **Turkana** emphasised their dependence on forest resoures and traitional conservation mechanisms. In **Kajiado**, the team were able to discuss donor cooperation issues with ASAL & Netherlands,

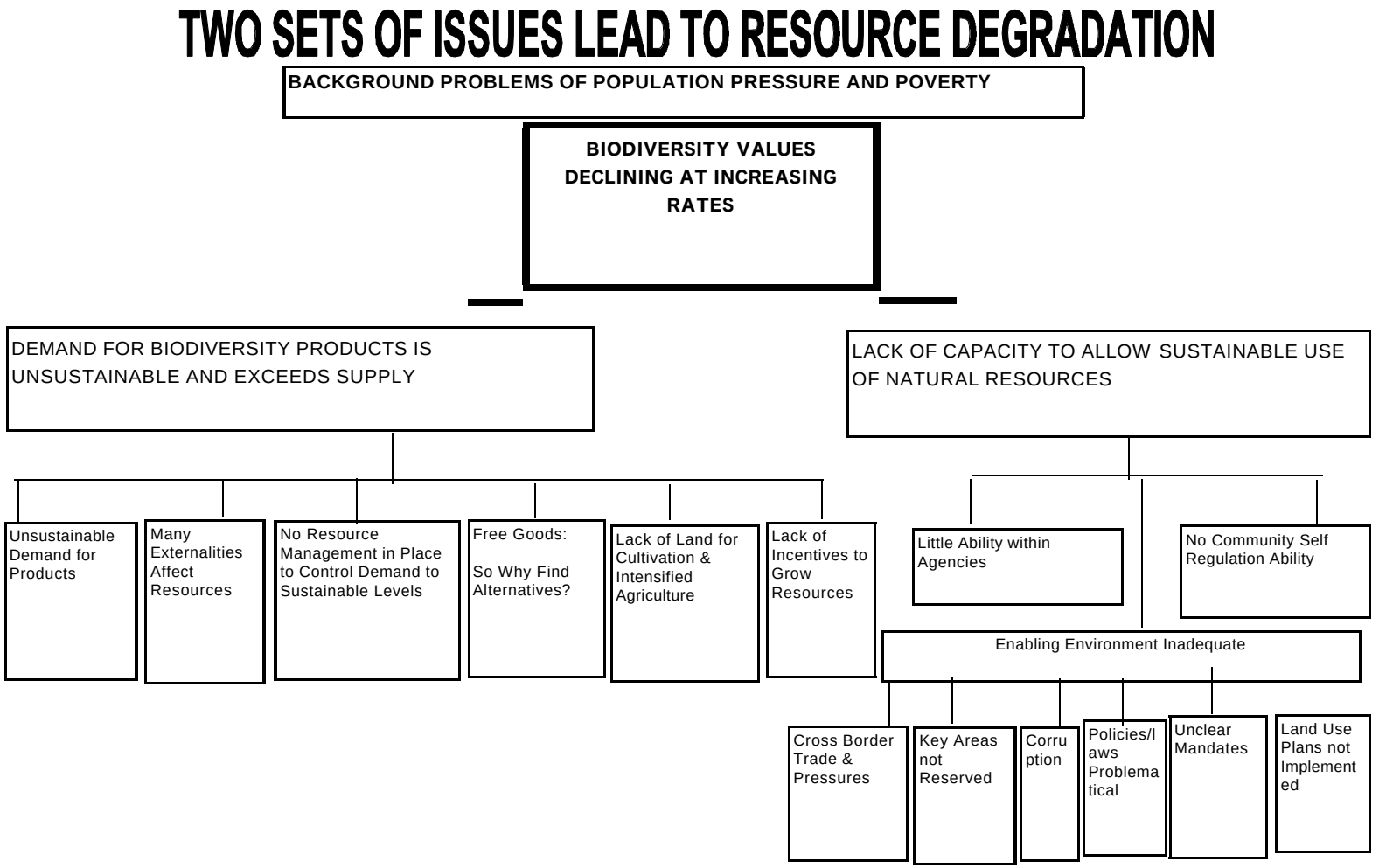
as well as District. At all sites the input from Women's CBOs was especially strong. The team also visited forest areas with local villagers, looking at resource use.

Finally: All three countries participated fully in the two regional meetings in Nairobi and Arusha, where the national approaches were harmonised into a regional proposal. The Kenyan and Ugandan teams met at their common border, Uganda and Tanzania met at Mtukula on the border (described above) and Kenya - Tanzania met in Arusha. Cross-border issues were the topic of these meetings. Discussions with the East African Cooperation Secretariat emphasised the need to develop such meetings into more detailed protocols of cooperation.

The process emphasised linkages with both other donors and the NGOs working in the target sites, exploring areas of collaboration and looking at their mechanisms of implementation and paticipatory processes.

Discussions were cross-sectoral - bringing the conservation agencies together with those more usually seen as impacting on biodiversity.

ANNEX 3. PROBLEM TREE



ANNEX 4 : PROJECT LOGICAL PLANNING FRAMEWORK

OBJECTIVE/ACTIVITY	INDICATORS	VERIFICATION	ASSUMPTIONS
Overall Objective **To reduce the rate of loss of forest and wetland biodiversity in specific cross border sites of national and global significance in East Africa**	No further extinctions; natural forest & wetland habitats maintain endemic species. Reduced rate of habitat loss.	Existing surveys, reports, and monitoring processes set up within the project. National socio-economic indicators.	National and local sustainable development inputs are working. No catastrophic climatic or other natural event takes place. Trained people to implement activities.
Immediate Objective A **An enabling environment in place which allows local sectoral and development agencies as well as local communities to promote the sustainable use of biodiversity resources**	Site based management teams with sustainable use strategies. Local communities benefit from sustainable resource management and reduce demand on natural environment & sp Biodiversity resources are adequately valued Socio-economic benefit from species recovery and the protected area conservation measures that are put in place.	Meetings, reports Surveys, interviews, socio-economic indicators Financial reports	The willingness to participate exists in communities. Donor interest in sites is maintained Appropriate staff are in place, and remain. Modern resource valuation methods are accepted
Immediate Objective B **Resource demands brought into balance with supply at key resource sites**	Reduced demand for biodiversity products. Supply of alternatives increased & more non-destructive use.	Meetings, reports Ultimately, forest condition itself.	Alternative resources can be found for and accepted by local people Communities buy into district plan.

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

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

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

ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
Output A3 An enabling environment for biodiversity conservation created, with compatible and effective policy and legislative frameworks.	Existing conflicts resolved and conflict resolutions implemented. NGOs, CBOs design and implement sustainable conservation regulations	Management reviews Meetings Number of NGOs and CBOs involved in site specific biodiversity activities / issues.	Project partners meet capacity targets Local communities invest NGOs support regulatory frameworks.
A3.1 To clarify resource management mandates and improve coordination among relevant agencies, NGO, donors.	Reduced conflict between agencies and people, increased frequency of contact.	Records of meetings, work plan reports.	That increased frequency of contact is attainable.
A3.2 To analyse the policy environment affecting biodiversity, to ensure effectiveness and compatibility in country and region.	District approaches, are integrated across sectors. Integrated cross-border approaches.	Documentation. Minutes of meetings. Cross border protocols exist.	Policy issues are accessible, and that there is willingness to discuss issues.
A3.3 To seek to modify policy issues where appropriate, so as to enhance biodiversity conservation.	Biodiversity - friendly policy interpretations in place within District settings	Policy changes in place. Changes accepted locally.	Discussion on change is welcomed by authorities.
A3.4 To review the legislative framework affecting biodiversity at local/central levels.	Biodiversity - friendly legislation in place and functioning at district and local levels	District byelaws.	Authorities are willing to discuss legislative issues.
A3.5 To promote awareness of legislative and biodiversity issues.	Reduced transgressions, increased discussion of legislation issues.	Records at local levels. Resource status improves.	Projet has an adequate impact to measure change.
A3.6 To promote the landuse plans and guidelines at sites of special biodiversity significance.	Land use plans adopted within project sites	Documents and field checking as to acceptance by people.	Land use plans can be developed that are implementable.
A3.7 To review potential reserve mechanisms, including traditional systems, for biodiversity sites.	Acceptable reservation systems are available, including traditional approaches supportive to people.	Reports and field discussions.	Local authorities accept traditional inputs & elders accept agency controls.
A3.8 To promote political support for resource conservation.	Politics include biodiversity issues positively at local levels	Reports, field discussions. Political statements in press.	Political leadership see merit in conservation
A3.9 To put in place incentives to promote sustainable resource use.	Fiscal incentives in place, and perverse incentives changed.	Byelaws, rules, gazettement notice.	Acceptable,implementable incentives developed.
A3.10 To develop and run training courses in policy analysis.	People trained within defined curriculum.	Course records and documents.	Training courses are able to change systems.

ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
Output B1 Participatory management plans for key biodiversity sites developed, approved & implemented.	Management plan exists, supported by stakeholders, approved and implementation underway.	Document is there, minutes of acceptance meetings and field inspection.	That income earning alternatives will be maintained after the project.
B1.1 To develop an interactive and participatory management plan process within target districts.	Planning team in place, with adequate stakeholder representation.	Plan underway. Meetings in place with participation.	Partners can collaborate & authorities accept need for plan.
B1.2 To establish baseline data on rate of loss of biodiversity.	Information on change in forest / wetland area/status is available.	Reports available.	Sufficient detail developed to permit monitoring
B1.3 To undertake inventories for: a) wood products b) biological indicators c) crop germ plasm d) user group NTFPs	Resource inventories are available for these products and ready for incorporation into the management plan process.	Inventory reports Plan document	Simple methods developed which incorporate local skills.
B1.4 To undertake user survey of biodiversity & natural resources.	User groups have given data, which are incorporated into a report.	Reports, user group records	User groups cooperate
B1.5 To carry out livelihood analysis of target populations.	Populations have given information, which is in report.	Reports, Community records	Communities cooperate
B1.6 To undertake full resource valuations for target sites.	Forest/wetland resources have been assessed for local/national values.	Reports, methods documented, stakeholders involved	Methods are appropriate for these sites
B1.7 To incorporate traditional resource conservation strategies into biodiversity management plans.	Management plans have such information, approved through stakeholder participation.	Plan documents, field discussion as to process.	That conservation traditions are compatible with modern strategies
B1.8 To identify and assess water sources and associated wetlands in and around the biodiversity sites.	Information on values and threats collected and presented in usable formats.	Reports, maps	
B1.9 To develop user friendly data bases / resource centres for biodiversity issues at local level.	Databases in place which serve management plan processes and act as local resource centre.	Field observation, that databases are in use. Reports.	
B1.10 To develop sustainable use technologies for 2/3 selected key biodiversity products eg forest poles	Strategies developed and discussed with local people and agencies.	Documents, meeting records	That such technologies can be developed which are acceptable to people.

ACTIVITY / INTERVENTION	OBJECTIVE INDICATORS	VERIFICATION	ASSUMPTION
and crop germplasm.			

B1.11 To develop a monitoring, evaluation and environmental audit component involving local people.	Monitoring processes underway within plan process and resource use activities.	Documents, work-plans, user group records.	Local people can be persuaded to participate and are accepted by Govt.
B1.12 To initiate the implementation of key provisions of the management plan: including: a) reservation, b) boundaries, c) sustainable use methodologies etc.	Work plan for implementation work plan approved. PA Reservation process underway. Boundaries approved & demarcated. Guidelines for sustainable use in place.	Document, records of meetings Records of meetings, gazettement Site activity.	Plans are practicable and fundable. Agreement on reservation is possible.

ACTIVITY / INTERVENTION	**OBJECTIVE INDICATORS**	**VERIFICATION**	**ASSUMPTION**
Output B2 Alternative resources and less destructive resource use strategies promoted which reduce demand for biodiversity products.	Alternatives are assessed and included in extension package. Alternatives are being adopted. Demand on forest produce drops.	Documentation in extension service.	Alternatives are acceptable to people.
B2.1 To identify possible resource alternatives and to establish baseline data on their utilisation.	Alternative resources are documented.	Reports. Local community meetings.	Alternatives are available and acceptable.
B2.2 To develop site specific extension packages for key alternatives for local communities.	Alternatives are included in extension packages.	Documentation, field observation.	Extension services agree to integration and become functional.
B2.3 To strengthen integrated extension services.	Extension services motivated and delivering package to audience.	Field observation. Farmer response.	As above.
B2.4 To raise awareness of need for alternative resources within local society.	Local communities accept need for alternative resources.	Meetings, field observation. Increased use of alternatives.	That awareness can help to bring about changed behaviour patterns
B2.5 To develop and disseminate effective and efficient resource use technologies (stoves, charcoal kiln) and non-destructive uses.	Technologies which are efficient and less destructive are adopted.	Field sampling, reports. Resource status is improving	People willing to invest in such activity.
B2.6 To promote use of identified alternatives at key sites, and monitor use of such alternatives.	Alternatives are in use in target communities.	Field sampling and reports. Resource status is improving.	Alternatives are acceptable - see above.

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

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

ANNEX 5 : OTHER DONOR INTERVENTIONS AROUND PROJECT SITES

Financial figures are based on best estimates of overall donor activity in the coming 5 years, reduced down to the actual sites for this proposal and fields of concern.

1 DANIDA Taita Taveta Dt Kenya (Taita Hills Eastern Arc Site). $500,000

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

2 NORAD Mountain forests of Arusha, Kilimanjaro, Tanzania (Pares/Dry Mts). $100,000
Phase 3 of a long term low-key support to catchment forests in north and eastern Tanzania is just beginning. Main issues are to support sustainable timber production without impairing catchment properties. Works through central government forestry not district forestry. The GEF project will complement initiatives with focus on biodiversity issues and on district forests and people.

3 UNCDF Pastoralist Support in Kotido, Karamoja, Uganda. (North Dry Mts). $200,000

A new project undergoing planning in late 1996/1997. A desire to cooperate from project development. Details not yet known. Linkages to church groups.

4 USAID Tanzania : Strategic Objective 2: `Foundation Established for Adoption of Environmentally Sustainable Natural Resource Management Practices'. $200,000
This includes activity under the developing PERM project (Participatory Environmental Resource Management) which is working in the south of Monduli District. This has important linkages in the field of social analysis for resource use and community empowerment, especially in pastoralist areas; and in the analysis of wildlife resource use constraints.

PERM will undertake several activities within the Monduli site which are part of the project alternative. This will include input to the policy analysis and resource studies, bringing in a wildlife perspective into landuse plans, resource tenure etc. This is provisionally costed at up to $500,000.

5 USAID The Greater Horn of Africa Programme is being developed. Sustainable use of natural resources by local communities will be a key activity with considerable room for collaboration. Programme is mainly Kenya & Uganda in our region. Amount unknown.

6 Netherlands District Rural Support Programme. $750,000

The Netherlands have strong integrated rural resource management programmes within three of the focal Districts. These are Bukoba, Tz,(Minziro Forest); Monduli, Tz; and across the border in Kajiado, Kenya (Maasai Mts). Activities include support to agricultural improvement, district coordination and planning, and land use planning. Programmes welcome the GEF intervention and see room for considerable compatible cooperation. Netherlands will

strengthen inputs to agriculture around the focal ecosystems, GEF will concentrate on natural resource activities.

7 UNDP Governance, Capacity 21 and Country Programmes. Principally Tanzania - $100,000.

8 European Union Support to Forest Sector in Uganda. $200,000.

Long-term support to institutional development of centre and districts, low key staff support etc. New phase under development.

9 World Bank Support to National Environmemnt Management Authority (Ug $100,000)
Livestock Programme South Uganda (Ug $50,000)
Agricultural Extension Uganda and Tanzania Ug & Tz ($150,000)
(Also via Agencies : eg KWS in Kenya, see under Government below).

10 Belgium via University to National Museums of Kenya $100,000

Biodiversity Surveys in Taita Hills. Limited to selected faunal groups.

11 JICA Agroforestry support in Pare Mountains $50,000

12 GTZ Traditional Irrigation Activity (TIP) in Pare Mountains $50,000

11 NGOs in all three countries Varied activities; East African Wildlife Society, Lutheran Group, World Vision, CARE.

Tanzania : $80,000
Uganda : $75,000
Kenya : $125,000

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

Tanzania : $550,000 (includes Centre and District inputs)
Uganda : $455,000 (includes Centre and District inputs)
Kenya : $685,000 (includes Centre and District inputs)

ANNEX 6 : BUDGET DETAILS : PATTERN OF OUTPUTS & INPUTS

A) Table of Total Costs per Output

Component	TOTAL	Year 1	Year 2	Year 3	Year 4	Year 5
A Enabling Environment						
A1 Local agency capacity	**2.591**	0.374	0.776	0.836	0.440	0.136
A2 Working partnerships/empowerment	**1.653**	0.243	0.311	0.509	0.335	0.255
A3 Policy/Legislative framework	**1.837**	0.300	0.397	0.610	0.350	0.180
Sub-Total	**6.081**	**0.917**	**1.484**	**1.955**	**1.125**	**0.571**
B Balancing Resources						
B1 Resource Management	**2.500**	0.300	1.150	0.600	0.150	0.300
B2 Alternative resource supplies	**1.470**	0.215	0.480	0.355	0.250	0.170
B3 Alternative income generation	**1.594**	0.290	0.530	0.334	0.250	0.190
B4 Pastoralist land uses	**1.010**	0.008	0.382	0.300	0.220	0.100
Sub-Total	**6.574**	**0.813**	**2.542**	**1.589**	**0.870**	**0.760**
TOTAL	**12.655**	**1.730**	**4.026**	**3.573**	**1.995**	**1.331**

B) Line Item Budget

Budget Line	TOTAL	Year 1	Year 2	Year 3	Year 4	Year 5
Personnel:						
International RTA	**0.520**	0.140	0.110	0.090	0.090	0.090
National NPD x3	**0.450**	0.090	0.090	0.090	0.090	0.090
NPO/SPO 11	**0.763**	0.100	0.160	0.163	0.165	0.175
Support Staff	**1.024**	0.200	0.220	0.225	0.225	0.154
Travel Regional	**0.058**	0.100	0.012	0.015	0.011	0.010
National Travel	**0.240**	0.350	0.050	0.070	0.050	0.035
Mission/Evaluate	**0.120**	0.005	0.050	0.005	0.005	0.055
Contracts:						
Regional Policy Issues	**0.669**	0.085	0.244	0.255	0.085	0
National Contracts	**6.410**	0.510	2.370	1.980	1.020	0.530
(see table C below for detail)						
Training/Workshops:						
Regional Activity	**0.610**	0.065	0.220	0.260	0.045	0.020
National Activity	**0.390**	0.050	0.090	0.090	0.080	0.100
Equipment:	**0.850**	0.400	0.250	0.170	0.020	0.010
Operations/Sundry	**0.551**	0.400	0.160	0.160	0.109	0.082
TOTALS	**12.655**	**1.730**	**4.026**	**3.573**	**1.995**	**1.331**

C) National Contractual Activities: (Institutional and Major Individual Contracts)

Component	Contract Details	Total	Year 1	2	3	4	5
A1 Agency Capacity	Training Packages	0.46	0.03	0.20	0.20	0.03	0
	PRA Training Inputs	0.15	0	0.05	0.09	0	0
	Working Conditions	0.26	0	0.10	0.10	0.03	0.03
A2 Working Partnerships	Identify Support CBOs	0.06	0.06	0	0	0	0
	Training to CBOs	0.60	0.12	0.12	0.12	0.12	0.12
	Traditional Knowledge	0.06	0	0.06	0	0	0
	Document Land Tenure	0.18	0	0.06	0.06	0.06	0
A3 Policy/Legislative Framework	Land Use-plans	0.36	0	0.12	0.12	0.12	0
	Reservation Plans	0.09	0	0	0.09	0	0
	Political Awareness	0.12	0	0	0.06	0.03	0.03
	Legislative Awareness	0.09	0	0.03	0.03	0.03	0
B1 Management Planning & Implementation	Assess Resource Loss	0.09	0.06	0	0	0	0.03
	Resource Inventories	0.60	0	0.45	0.15	0	0
	Resource User Surveys	0.15	0	0.15	0	0	0
	Livelihood Analysis	0.15	0	0.09	0.06	0	0
	Water/Wetlands Invent	0.24	0.06	0.18	0	0	0
	Develop Database	0.09	0.03	0.03	0.03	0	0
	Resource Centres	0.09	0	0.06	0.03	0	0
	Sust Use Methods	0.18	0	0.09	0.09	0	0
	Set-up Monitoring	0.15	0	0.03	0.03	0.06	0.03
	Plan Implementation Activity	0.26	0	0	0.06	0.06	0.14
B2 Alternate Resource Supplies	Identify Resources	0.09	0.06	0	0	0	0.03
	Alternative Developments	0.36	0	0.12	0.12	0.06	0
	Site Specific Package	0.18	0	0.06	0.06	0.06	0
B3 Alternate Income Generation	Income Strategies	0.09	0.06	0	0	0	0.03
	Pasture Use Plans	0.15	0	0.09	0.03	0.03	0
	Pastoralist Land Use	0.15	0	0.09	0.03	0.03	0
	Agric Coordination	0.15	0.03	0.03	0.03	0.03	0.03
	Ecotourism	0.15	0	0.06	0.03	0.03	0.03
	Site Water Use Plans	0.15	0	0.03	0.06	0.06	0

B4 Pastoralist land use	Local BD Strategy	0.27	0	0.06	0.12	0.06	0.03
	Water use Planning	0.12	0	0	0.09	0.03	-
	Pastoralist Plans	0.12	0	0	0.09	0.03	-
TOTAL		**6.41**	**0.51**	**2.37**	**1.98**	**1.02**	**0.53**

** Includes biodiversity, wood products, crop germ plasm and few non-timber products at 4 sites in the three countries.

ANNEX 7 : CALCULATION OF INCREMENTAL COSTS

Broad Development Goals

Over the last 30 years all three countries have clearly demonstrated significant commitment to the conservation of their biological diversity. All have set aside more than 12% of their land area as protected areas (Tanzania has actually set aside more than 22%). Combined government and donor protected area efforts in the three countries exceed US$10 million per year. However, while clearly committed to the conservation of biological diversity all three countries are also committed to agricultural and industrial development. Consequently biodiversity is lost through rapidly spreading agricultural land conversion, and through short-term resource over-exploitation. These are driven in part by agricultural and industrial promotion policies. Privatisation policies without regulatory controls have led to gross over-use, and to the exclusion of community access in many cases. While there has been an increasing trend towards decentralisation of planning, decision making, and resource management from Central to District level government in the past years, and in theory from District to Village/local Government, progress has been slow.

At a local level, continuing population growth of 2.8 to 3.5% pa, coupled with poverty, leads to high demand for land for conversion. Although improved agricultural production and alternative income generating activities are being developed, these are not linked to natural resource sustainability.

Baseline

While significant effort has been focused on protecting the large mammal fauna of the national parks, the forest, wetland and mountain ecosystems that are less aesthetically, and economically, attractive have received considerably less attention. In all three countries forest reserve status has diminished in the past decade with little implementation of controls in many areas. Current levels of input to protection and resource management at District levels are very low, though in monetary terms lost opportunity costs through not developing these areas are perhaps offset by exploitation , though the costs are incurred by governments while illegal users profit. Baseline inputs addressing the development of sustainable alternatives are higher where these are the target of donor funding, though these are normally targetted at agricultural support and without linkages to sustainable resource management may increase encroachment and overexploitation of the biodiversity sites. The baseline situation is essentially a continuation of overexploitation and encroachment. Where conservation agencies attempt action conflicts with local communities and resource users will escalate.

Global Environmental Objective

The global environment objective is to maintain the significant biodiversity at 4 east African biodiversity hotspots. It is anticipated that additional global environmental benefits will stem from the cross sectoral agencies and institutions at different level of government learning how to cooperate with each other and local communities in support of biodiversity conservation and sustainable use. Also, biodiversity considerations will be mainstreamed into the individual, local, and district planning and decision making processes of all sectors. Legal and policy frameworks will be put in place in all three countries to enable local, district and national

communities and agencies from all sectors to work together in developing the conservation and sustainable of biodiversity.

An additional benefit from the project will be the elaboration and testing of a replicable approach to both cross-border and local "decision making" approaches to biodiversity conservation. This approach can be applied at other cross-border sites in the region and elsewhere.

GEF Alternative

The GEF Alternative will involve building on the existing interventions by district level development agencies and bilateral donors to create an environment in which local communities and district development agencies can work in partnership with national forestry, wildlife and environmental agencies on both sides of the border to promote the sustainable use of biodiversity resources. It will also lead to a balancing of resource demand and supply through the development of alternative economic activities, as well as developing alternative sources of natural resource products and sustainable management regimes.

Scope of the Analysis

Three distinct but overlapping system boundaries can be identified:

Geographical : The focus is the specific site, for example the forest-wetlands complex of the Minziro area in North-West Tanzania in Bukoba District. The geographical system boundary includes the forest and wetland patches around Minziro Forest Reserve, and the area associated with the reserve in which the people who impact the forest live and work.

Sectoral : All those sectoral agencies and organisations whose activities impact the site. These include local, district and national agencies, as well as the private sector and NGO's. Impacts may be direct, such as through logging or agricultural expansion or promotion; or indirect, such as those of Revenue departments which collect taxes, and hence impose the need to earn cash income.

Institutional: This is the overall institutional framework that affects an individual resource users decision making. It stretches from the local household/householder decision making system to the national policy making organs of central government. It includes central and local government agencies as well as the social and cultural parameters that originate in traditional and family institutions.

Incidental Domestic Benefits will include the development of an understanding of the linkages between natural resource management and sustainable development at local and community levels, knowledge of alternatives, and through their implementation, to the sustainable management of natural resources. Increased cooperation and reduced conflict between local, district and national communities and agencies should also result, improving the effectiveness and efficiency of both natural resource, but also the full range of development, policy implementation. Legal and policy frameworks will be put in place to facilitate such cooperation and support community based management of natural resources.

While many of the project activities will generate national as well as global benefits, such as the development of alternative fuelwood sources around the Taita forests in order to take the pressure off the natural forests, these benefits are difficult to quantify, are widely shared, and raise issues of distribution. For example, to the Government of Kenya there is little economic benefit from the Taita people using non-forest sources of fuelwood instead of using natural forest areas. Thus there is no economic rationale for the government to spend money on developing alternative fuelwood sources for the Taita people, other than in order to protect the globally important biodiversity.

Costs

Project Costs are as follows (US$ millions)

Project Component	Baseline	Alternative	Increment	GEF
Agency Capacity	0.552	3.343	2.791	2.591
Working Partnerships	0.332	2.385	2.053	1.653
Policy/Legislative Framework	0.524	2.661	2.137	1.837
Total: Enabling Environment	**1.408**	**8.389**	**6.981**	**6.081**
Resource Management	0.427	3.077	2.650	2.500
Alternative Resource Supplies	0.580	2.200	1.620	1.470
Alternative Incomes	1.345	3.089	1.744	1.594
Patoralist Land Use	0.310	1.670	1.360	1.010
Total: Resources	**2.662**	**10.036**	**7.374**	**6.574**
Project Total	**4.070**	**18.425**	**14.355**	**12.655**

Summary Incremental Cost Matrix

	Baseline	Alternative	Increment
Global Environmental Benefits	Globally significant biodiversity lost at all sites including endemic species, genera and taxa.	Globally significant biodiversity will be maintained in 5 critical areas. Cross sectoral agencies and institutions at different level of government will learn how to cooperate with each other and local communities in support of biodiversity conservation and sustainable use. Biodiversity considerations will be mainstreamed into the individual, local, and district planning and decision making processes of all sectors. Legal and policy frameworks will be put in place in all three countries to enable local, district and national communities and agencies from all sectors to work together in developing the conservation and sustainable of biodiversity. Elaboration and testing of a replicable approach to both cross-border and local "decision making" approaches to biodiversity conservation.	
Domestic Benefits	Overexploitation and encroachment continue. Conflicts escalate. Improved agricultural production and alternative income generating activities developed but not linked to natural resource sustainability.	Sustainable management of natural resources at district and local levels. Understanding of linkages between natural resource management and sustainable development established at local and community levels. Increased cooperation and reduced conflict between local, district and national communities and agencies. Legal and policy frameworks in place to facilitate such cooperation and support community based management of natural resources.	
Costs ($ mill)	$4.07	$18.425	$14.355

Detailed Incremental Cost Matrix ($ millions)

Benefit	Baseline	Alternative	Increment
A.1. Agency Collaborative Capacity			
Global Environmental Benefit	Biodiversity continues to be lost.	Globally significant resources in cross-border sites are better managed as collaborative management capability is in place.	
Domestic Benefits	Resources continue to degrade as communities and governments in conflict.	Resources managed sustainably as agencies collaborate with communities.	
Costs	$ 0.552	$ 3.343	$ 2.791
A.2 Working Partnerships/Community Empowerment			
Global Environmental Benefit	Biodiversity resources continue to degrade.	Biodiversity conserved as communities manage resources sustainably as a consequence of being empowered.	
Domestic Benefits	'Awareness' but no real participation in resource management. Conflict between stakeholders.	Reduced conflict as greater benefit sharing between governments and communities. Resources used sustainably.	
Costs	$ 0.332	$ 2.385	$ 2.053
A.3 Policy/Legislative Framework			
Global Environmental Benefit	Biodiversity resources continue to degrade	Biodiversity managed sustainably under empowering legal/policy framework	
Domestic Benefits	Natural resource sector laws and land use plans slowly reviewed and implementation mechanisms put in place.	Efficient management of resources and improved revenue collection.	
Costs	$ 0.524	$ 2.661	$ 2.137
B.1. Resource Management			
Global Environmental Benefit	Continued loss of biodiversity.	Biodiversity loss reduced. Protected areas and other conservation regimes re-established and effectively managed.	
Domestic Benefits	Immediate satisfaction through resource mining.	Resource use becomes sustainable.	
Costs	$ 0.427	$ 3.077	$ 2.650
B.2. Alternative Resource Supplies			
Global Environmental	Biodiversity lost as	Biodiversity maintained as	

Benefit	resources overexploited.	alternative sources of resource products are developed.	
Domestic Benefits	Short term local benefit as resources exploited.	Sustainable supplies of natural resource products from managed sources.	
Costs	$ 0.580	$ 2.200	$ 1.620
B.3. Alternative Income Generation			
Global Environmental Benefit	Biodiversity destroyed as resources are mined.	Biodiversity used sustainably.	
Domestic Benefits	Immediate access to needed products. Long term hardship.	Value added activities in place such as ecotourism, handicrafts, etc.	
Costs	$ 1.345	$ 3.089	$ 1.744
B.4. Pastoralist Land Use			
Global Environmental Benefit	Biodiversity lost as forests degrade.	Biodiversity protected as resource pressures lifted.	
Domestic Benefits	Short term land use strategies practised. Conflicts between traditional and modern systems.	Land use strategies sustainable and conflicts between traditional and modern systems resolved.	
Costs	$ 0.310	$ 1.670	$ 1.360
Total	**$ 4.070**	**$ 18.425**	**$ 14.355**

ANNEX 7: GEF STAP TECHNICAL REVIEW

Reducing Biodiversity Loss at Cross Border Sites in East Africa

GEF Technical Review of Project Brief

Michael J.S. Harrison 6 February 1997

1. Overall impression

This is an excellent proposal. It is well structured, well justified, and in particular the process of project design has been exemplary - emphasising, as it does, an ongoing process, active and wide stakeholder participation, and a clear focus on institutional causes of biodiversity degradation. The focus on developing institutional capacity, on creating an enabling environment, on improving district, national and regional cooperation, and on specific site actions, is an excellent combination, and addresses many of the roots of the problems so clearly articulated in the brief.

The project is clearly urgently needed, and shifts attention away from a focus solely on protected biodiversity areas, to raise the profile of "unprotected" areas, and to integrate concerns for biodiversity conservation into mainstream development planning and management.

The project deserves support, subject to a few concerns I have set out below. The more important concerns relate to the clarity on some activities and whether there is a clear understanding behind the proposal of what is involved in these, and secondly to the question of the time span over which the project is implemented, and whether the same money over a longer period would be better.

2. Relevance and priority

The project builds on existing National and District institutional structures in the three countries concerned, and attempts to shift interest in biodiversity conservation into mainstream priorities. It also relates to existing NEAP's, environmental policies and environmental legislative processes, attempting to reinforce these. Specifically, under obligations to the Convention on Biodiversity, each country is developing a Biodiversity Strategy and this project will add weight to this process.

The project addresses CBD articles 5,8,11,12 & 18, including regional cooperation, sustainable protected area development, policy and fiscal incentives, training and technical cooperation. It also follows the guidelines on biodiversity work set out by the Conference of Parties, in terms of its approach and priorities.

3. Background and justification

The scientific and technical background to the project is well presented, as is the analysis of the problems and root causes of biodiversity degradation. This analysis is clear, sets the agenda

for optimal project interventions, and focuses the framework for the project clearly. These problems are deep-rooted, and the programme to address them is ambitious, but clearly a priority, particularly with respect to creating an enabling environment for institutional development and cooperation.

The problems include open access resources, illegal logging, over-use of resource, pollution, industrial development, intensive agriculture, privatisation of limited resources, exclusion of community access, failure of reservation policies, weak institutional capacity, and lack of understanding of individual decision-making processes. The bigger issues of population and poverty are also recognised.

There is allusion to the political will needed for success of this project, and a recognition that cooperation, decentralisation, greater local empowerment, and sectoral integration are essential but currently very slow developments. There is also little clarity in institutional roles and responsibilities. However, in so far as the appropriate institutions and fora already exist for these processes to develop (e.g. NEAPs, central and district planning bodies with an environmental remit, the new East African Regional Cooperation Secretariat), one has to conclude that political will is growing and will remain supportive and committed.

4. Scientific and technical soundness

The approach is scientifically and technically sound. There is good justification for the biological importance of the sites selected for project intervention, as set out in the background notes and in Annex 1.

5. Objectives

The objectives are clearly set out: building institutional capacity and an enabling environment, developing alternative resources to balance supply and demand, and developing a specific regional plan for the Rift Valley lakes. Work is to be conducted primarily through existing district decision-making structures, and where possible donor collaboration and complementarity sought.

Objective A: The creation of an enabling environment is crucial, but will be by far the most difficult objective to achieve. It means getting to the very heart of government and decision-making processes at all levels, with all its undercurrents and political influences. To be successful and sustainable, this will mean addressing issues of democracy, accountability and transparency - this is a difficult task, will take a long time, and will require considerable skills in facilitation of change processes, long-term building of relationships, and an understanding of power structures. This is an ambitious but laudable objective, requiring considerable political will and a long-term perspective.
Objectives B&C: The other objectives are relatively easier, they are more technical , in the sense of being more activity-based: planning, developing alternative supplies, developing new strategies, producing the regional action plan for the lakes, developing site-specific actions to implement this plan.

6. Activities

The activities are clearly structured, the logical framework has been used well as a descriptive tool for project design and clarifies some of the detail and thinking underlying the overall project approach. Many of the activities set out will contribute to achieving the specified output. However, there are a few queries on some of the activities:

A1.5 & A1.6 "develop capability to interact" and "strengthen Environment Committees" are somewhat vague. It is not clear how workshops, seminars and fora will develop such capability (these are not indicators of "capability to interact" - incidentally, the same is true for most of the other indicators suggested - they are not indicators). All other activities in Output A1 focus on training and infrastructure, which are necessary but not sufficient activities for the Output. Institutional strengthening and capacity building requires a programme of activities that build a common understanding and vision, that develop skills, that develop systems for consultation and planning, that develop and implement strategies, that clarify roles and responsibilities. These are not reflected in the activities listed, and training per se will not deliver institutional change.

A2.5 "develop joint collaborative management protocols" - a simple concept, but underlying this is a major set of activities and processes. Indeed, many international agencies developing approaches to joint or collaborative resource management devote entire projects to this. The legal, policy, social and institutional elements involved in this require much elaboration in the brief. As with the points made in the above paragraph, the other activities for this output focus on training, documenting, promoting, analysing: these are inadequate in themselves to deliver "local communities actively participating in resource management". For example, a programme is needed for: . local skills training (participation skills, technical skills, administrative and planning skills, conflict resolution skills), . parallel skills development in government and CBO agency staff, . local institutional development, building on traditional and legal forms of village government, . legal and policy support to allow new formalised documentation of agreed joint / collaborative management plans, . support to ensure adequate wealth and gender equity and representation in decision-making and benefit sharing in local communities.

A3.9 "incentives". This will require clarification, as to the kinds of incentives that are considered. Fiscal incentives are suggested, but there are many others, including land rights, usufruct rights, decision-making powers, communal or private resource ownership, etc. A number of the other activities under this output will no doubt address some of the points made in the above paragraph, relating to policy and legal reforms.

B1.1 "participatory management plan process". A number of the points made at A2.5 above apply here.

In general, the activities are comprehensive, but some logical confusion arises from the way the Outputs are specified, inevitably overlapping or drawing on activities elsewhere. It is often unreasonable to pick out specific weaknesses in a logframe when its main value has been as a planning and descriptive tool. The above comments may be presentational rather than substantive. No doubt the logframe will be developed further during implementation, as an operational tool, at which point the detail will be specified and clarified.

7. Participatory aspects

The design process appears to have been excellent, with active participation and consultation of a wide variety of individual, community and institutional stakeholders. This is clearly set out in Annex 2. The participants have included villagers, local leaders, CBOs/NGOs, government officials at local, district and national levels, donor agencies, and resource specialists. The project approach is based largely upon facilitating institutional development processes, and as such the continued participation during implementation of these same stakeholders should be assured.

8. Global benefits

Global benefits are set out well. These are based on globally significant biodiversity, including threatened, rare or endemic taxa and habitats. Further benefits in terms of replicable models for cross-border collaboration in biodiversity conservation should also ensue.

9. GEF strategies and plans

The programme covers the full range of GEF operational programmes (drylands, forest, mountains and freshwater), in a number of high priority biodiversity ecosystems. The justification for the choice of these ecosystems and cross-border sites is strong, in terms of their threat from the usual range of factors, in addition to specific threats from lack of cross border collaboration and understanding.

10. Replicability

The project aims to develop an approach to cross-border collaboration in biodiversity conservation that should be replicable elsewhere in the region, and elsewhere in tropical developing countries. There will certainly be a number of lessons that will derive from this project experience that are applicable elsewhere.

There are a number of other regional cooperation programmes for biodiversity conservation in Africa from which this project may draw, and comparisons made (e.g. the EC Central African sustainable forest management project - although this is more frought with difficulties of different regional languages, colonial and political histories, institutional structures).

11. Capacity building

As discussed above under Objectives and Activities, the strength of the project lies in its basis in institutional development and capacity building. This has been well formulated and designed, and appears to have the active commitment of all major institutional stakeholders, at the local, district, national and regional levels.

12. Project funding

The figure of US$50m per year in PA funding in the three target countries is remarkable (although a figure of $10m per year is given in Annex 6), and leads one to ask: “to what effect?”, and thus “what difference will another $4m per year ($20m over 5 years) from GEF make?” The brief is clear that much of this existing funding is focused on PAs and on large

mammal fauna. The GEF funding will be targeted to different geographical areas (on less obvious, less protected or lower profile sites), and on institutional development processes. This appears to be the innovation of the project, its added value, that it tackles issues not being widely addressed, namely cross-border collaboration and cross-sectoral capacity building with a specific focus on biodiversity.

The balance in budget on different components is difficult to judge without seeing what the money is to be spent on. Relating to the points raised in section 14 on lessons learnt (below), it would be particularly useful to make a judgement on how the money allocated to Agency Capacity, Working Partnerships, and Policy/Legislation will be spent (see comments also at 13, Time Frame).

13. Time frame

A time span of 5 years to effect meaningful institutional change is a minimum. The brief recognises that such institutional and process changes cannot be achieved in a short time span, and GEF should recognise that 5 - 10 years may be more realistic. Without seeing the budget detail, a conclusion from this is not easy, but one option may be to consider spreading the funding over a longer period, so that relatively "higher spending and shorter inputs" can be more sustainably applied to "lower spending, longer inputs". This will depend very much on how the money is to be allocated and spent within the budget, and what is envisaged for a follow-up of "low level donor support to nurture and monitor the resulting systems". Some follow-up will be essential, and may best be programmed now. Progress gained in institutional change in 5 years may easily be reversed if the change is not wide enough or deep enough to be sustained.

13. Additional comments

Donor cooperation:

A number of donors and donor projects have been consulted, and have agreed to cooperate, participate, or even realign to fit the overall objectives of the GEF project, and support the biodiversity-focused work. These are set out in Annex 5 (with some gaps). It is not always clear what assurances have been given, but the principle of cooperation seems clear, and in particular the identification of areas where GEF funding can complement donor projects, in particular agricultural development projects, by introducing a stronger focus on biodiversity as part of farming systems development.

Lessons learnt:

The experience of ICDPs is cited, and their increasingly understood limitations. It would be useful to clarify briefly what these are, and how the project works around these limitations. These allude to (i) a lack of focus on empowering local communities - my comments about activities at Output A are relevant, and should be resolved in the brief; and (ii) cross-sectoral policy, planning and management changes at local, national and regional levels - my comments at section 5 (Objective A) above, on political will, democracy, transparency and accountability are relevant here. To facilitate change in such processes at the heart of government, creating the enabling environment, requires special sets of skills in project staff and in key government

staff - leadership, facilitation and communication skills, vision. This understanding is not clearly spelled out.

ANNEX 8 : LETTERS OF GOVERNMENT SUPPORT