GEF / UNDP Biodiversity Project PIMS 1231

REDUCING BIODIVERSITY LOSS

AT CROSS-BORDER SITES

IN EAST AFRICA

(KEN/97/G31, URT/97/G31, UGA/97/G31, RAF/97/G32)

PROJECT TERMINAL EVALUATION REPORT

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ACRONYMS AND TERMS

ACTS	Africa Centre for Technology Studies
CARE	Care and Relief Commission (an NGO)
CBBP	Cross Border Biodiversity Project
CBD	Convention on Biological Diversity
CBOs	Community-Based Organisations
COP5	Fifth Conference of Parties of the CBD
CVs	Curriculum vitae
DBSAP	District Biodiversity Strategy and Action Plans
DFM	District Forest Manager
EU	European Union
FAO	Food and Agriculture Organisation of the United Nations
FPO	Field Project Officer
FR	Forest Reserve
GEF	Global Environment Facility
GIS	Geographic Information Systems
GoK	Government of Kenya
ICDP	Integrated Conservation and Development Project
ICR	International Care and Relief (Sango Bay - Uganda)
IPF	International Panel on Forests
IRDI	Integrated Rural Development Initiatives
ITDG	Intermediate Technology Development Group (Kenya)
IUCN	World Conservation Union
IUCN-EARO	IUCN Regional Office for East Africa, Nairobi
JFM	Joint Forest Management
LOA	Letter of Agreement
M & E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MoU	Memorandum of Understanding
MS-TCDC	MS Tanzanian Centre for Development Co-operation
MTR	Mid-Term Review
MUIENR	Makerere University Institute for Environment and Natural Resources
NBSAP	National Biodiversity Strategy and Action Plan
NEAP	National Environment Action Plan
NEMA	National Environment Management Authority (Uganda)
NEMC	National Environment Management Council (Tanzania)
NEPAD	New Partnership for Africa's Development
NES	National Environment Secretariat (Kenya)
NEX	National Execution
NFA	National Forestry Authority (Uganda)
NGOs	Non-Governmental Organisations
NPM	National Project Manager
PFM	Participatory Forest Management
PRODOC	CBBP Project Document, 1998-2002
RCF	Regional Cooperation Framework of UNDP
RTA	Regional Technical Adviser
SNV	Dutch Volunter Service
SVI	Italian NGO (Karamoja - Uganda)
SSC	CBBP Site Steering Committee
ToR	Terms of Reference

TPR	Tri-Partite Review
TRA	Threat Reduction Assessment
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office
USD	United States of America Dollar
VI	Vi (meaning we), Swedish NGO (Sango Bay - Uganda)
WSSD	World Summit on Sustainable Development
WWF	World Wide Fund for Nature

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EXECUTIVE SUMMARY

The UNDP/GEF project "Reducing Biodiversity Loss at Selected Cross Border Sites in East Africa", also known as the East Africa Cross Borders Biodiversity Project (CBBP), is a regional (three country) GEF project implemented through UNDP, operational since April 1998. The overall objective is "To reduce the rate of loss of forest and wetland biodiversity in specific cross border sites of national and global significance in East Africa". This was to be achieved by establishing an enabling environment (policy, legislation, awareness) and by bringing demands on forest resources into balance with sustainable supply. There are two Immediate Objectives: (a) To establish an enabling environment that allows local sectoral and development agencies as well as local communities to promote the sustainable use of biodiversity resources; and (b) Resource demands brought into balance with supply at key resource sites.

The project has four components - three national (Kenya, Uganda, Tanzania - KEN/97/G31, URT/97/G31, UGA/97/G31), and one regional (based in Arusha, Tanzania - RAF/97/G32). The three national components are executed via National Execution (NEX) modalities, with the main national focal point being the relevant national environmental authority. The Regional component is executed by FAO and provides co-ordination and linkage between the three countries, as well as undertaking a series of regional activities.

The project as a whole functions at four levels - regional, national, district and community - and is designed to ensure strong linkages between them. Project interventions take place at eight paired cross-border sites as well as at national or regional levels.

The Terminal Evaluation of the project was carried out by two independent consultants between 23 and 21 December 2003. Four of the eight project sites were visited, and discussions held with a wide range of people from households and community leaders through District-level staff to heads of government departments. Most project staff were met.

Preliminary findings and recommendations were presented to a full Tripartite Review meeting (TPR) in Arusha on 16 December, followed by discussion. The findings and recommendations were generally accepted.

The project was very innovative and was based on a sound analysis of the East African conservation scene, along with emerging policy changes in the forestry sector. It was good in concept, and attempted to address real problems in conservation in a practical and appropriate way for the region. In many respects it was experimental as well as being ambitious (some might say over-ambitious), and should be judged as such. It grew out of the earlier regional UNDP/GEF East African Biodiversity Support project, taking the training - the capacity built - into conservation action at selected sites.

The project was complex in design, being both vertically (i.e. various levels from community to regional) and horizontally integrated (i.e. between countries & sectors). Although the design and logframe were not originally that sound, being too generalised, they were modified satisfactorily within two years using a nested logframe. One result of this was a significant loss of time and momentum, leading to the need to carefully focus after the Mid-Term Review and the dropping of some interventions. It also contributed to the project not getting all the joint forest management (JFM) plans approved before project termination, or into implementation on the ground. Despite this shortcoming, sustainability is such that much of the momentum and direction of the project is likely to be carried on by central government and district authorities.

The project nurtured a very committed group of people at all levels - it created a team involving not just project staff but also government officials, UNDP staff and many at District or community level. Good partnerships - institutional and personal - have been built based on the principle of comparative advantage, that is the use of an organisation or institution when it has experience and credibility in an area or topic. It was well-executed; adaptability and commitment have been key features. NGOs were used extensively to implement many of the alternative resource use and alternative income activities and for some regional studies or training. This proved to be a great strength.

At times the large number of interventions at community level do not all seem to address, or be clearly linked to, conservation concerns. The linkage is not just in its direct impact, but also in the minds of some of the beneficiaries.

A major concern of the Evaluators was that baseline data on biodiversity status and the economic situation of target communities was not obtained, and that monitoring of these parameters was weak. Although the project has undoubtedly had many achievements, it is not possible to determine clearly and unambiguously the impact of its interventions on target forests.

The main attributes and achievements of project were considered to be:

A. Formation, nurturing and use of partnerships; a good team spirit.
B. Use of NGOs with comparative advantage in the implementation of project activities.
C. Good vertical integration into policy - community, District, national. Getting conservation concerns into the planning process.
D. Adaptability, flexibility - ability to exploit conservation opportunities when they arise.
E. Development and use of the strong link in pastoral communities between catchment forests and the availability of water at their base in order to promote forest conservation.
F. A better appreciation of the value of forests by policymakers and directors of ministries of finance and planning through resource valuation exercises.

Twelve recommendations are given. In the immediate future the project, or those that take on its activities, should ensure that Threat Reduction Assessments (TRAs) are carried out at all targeted forests and in an objective and comparable manner so that the impact of project interventions on forest conservation can be determined. The project should also document and disseminate its major findings and lessons. It is important that the momentum that the project created is not lost, both nationally and locally.

It is recommended that UNDP/GEF ensure that future projects establish clear baseline data of conservation status against which the impacts of any interventions can be measured. A longer-term approach is needed for monitoring impact - both on biodiversity values and on the policy environment and peoples' attitudes. GEF should also publicise better and more widely the achievements and impacts from projects such as this.

There are a number of lessons learned; twelve are given. The importance of a strong team of committed people with shared vision is highlighted, as is the approach of working through existing institutions or bodies, especially those with comparative advantage in a particular field or in a group of communities. NGOs in this regard are very appropriate partners. The feature of working at multiple levels (community through to national/regional) has proved successful in getting conservation concerns into the planning arena, and ensuring they are based on a reality on the ground. The project also showed the benefits of a regional approach, creating a voice and momentum stronger than its individual constituents.

In Integrated Conservation and Development (ICD) projects, strong links must be made in the minds of the community, as well as among project staff, between interventions and conservation objectives. Interventions may not always be directed at a conservation problem, but the overall conservation objective needs to be clear to all participants and beneficiaries. Such links are very strong regarding water supply from catchment forests in pastoral areas, and the project made good use of this.

Finally, in order to show conservation impact to an increasingly sceptical donor and government community, projects need baseline data on biodiversity status and values, and must monitor any changes in this across their lifetime in a consistent and objective manner. Such an activity should be integral to project design, and adequately resourced.

1 INTRODUCTION

1.1 Brief Description

The UNDP/GEF project "Reducing Biodiversity Loss at Selected Cross Border Sites in East Africa", known in brief as the East Africa Cross Border Biodiversity Project (CBBP), is a regional (three country) GEF project implemented through UNDP, operational since April 1998. The overall objective is "To reduce the rate of loss of forest and wetland biodiversity in specific cross border sites of national and global significance in East Africa". This was to be achieved by establishing an enabling environment (policy, legislation, awareness) and by bringing demands on forest resources into balance with sustainable supply. CBBP was designed as an integrated conservation and development project (ICDP).

The project has four components - three national (Kenya, Uganda, Tanzania) and one regional, based in Arusha, Tanzania. The three national components are executed via National Execution (NEX) modalities, with the main national focal point being the relevant national environmental authority. The Regional component is executed by FAO and provides co-ordination and linkage between the three countries as well as undertaking a series of regional activities.

The project as a whole functions at four levels - regional, national, District and community - and is designed to ensure strong linkages between them. Project interventions take place at eight paired cross-border sites as well as at national or regional levels.

1.2 Purpose of Evaluation

GEF requires that all medium and large projects have a Mid-Term Review (MTR) to assess initial progress and help focus activities, as well as a Terminal Evaluation to assess achievements and implementation modalities and to draw lessons learned. The detailed MTR took place in March-April 2001.

This Terminal Evaluation is intended to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It documents lessons learned and makes recommendations to improve design and implementation of other UNDP/GEF projects. It includes an analysis and assessment of project achievements according to criteria set out by the GEF Also included are ratings on five aspects (outcomes/ achievements; implementation approach; stakeholder participation/public involvement; sustainability; and monitoring and evaluation procedures). Detailed Terms of Reference are given as Annex 1.

1.3 Methodology

The two international consultants, Jonathan Timberlake (Team Leader) and Dr Yakobo Moyini (henceforth, the Evaluators), arrived in Arusha on 23 November 2003. The first few days were spent being briefed by the Regional Technical Advisor (RTA) and current and past Tanzania national project staff, and looking over documents. This was followed by a 12 day trip visiting the Sango Bay/Minziro 'swamp' forests to the west of Lake Victoria (Tanzania/Uganda border), Kampala (meetings with Government and partners), Nairobi (meetings with Government and partners), Namanga (dry montane forest, Kenya/Tanzania border), Longido and Monduli (similar forests in Tanzania). Project sites in Karamoja/Turkana (Uganda/Kenya), Taita-Taveta (Kenya)

and Same (Tanzania) were not visited for reasons of time. However, Field Project Officers (FPOs) and partner NGOs from these sites were interviewed in-country. Field site visits included meetings with local steering committees, partner NGOs, District officials, household visits and brief walks through some forest patches.

Emphasis was placed throughout the evaluation on:

- Participation by as many as possible
- Looking for impact and sustainability of activities
- Lessons learned, both positive and negative, and
- Initial feedback from the evaluators where appropriate.

We attempted to evaluate the project not just on what was written some years ago in the ProDoc, but also on what it had tried to achieve - integration of conservation into planning across a range of levels, broad participation, and promotion of joint forest management principles.

Preliminary findings and recommendations were presented to a full Tri-Partite Review meeting (TPR) in Arusha on 16 December 2003, followed by discussion. The analysis, findings and recommendations were generally accepted, with perhaps some concern over our criticism of the occasionally poor links between livelihood interventions and conservation objectives. The consultants wrote up a draft report on the basis of this, which was submitted to the RTA on 21 January 2004. After review by project staff, Governments, UNDP and others, it will be finalised and submitted to GEF.

1.4 Report Structure

The Evaluation Report broadly follows the outline given in the ToR (Annex 1). After an outline of the purpose and evaluation method, the project and its approach are described. The findings of the Evaluators are described and discussed next under four headings - formulation and design; implementation and monitoring; results achieved; and project impacts. Included under the third heading are any specific country findings and issues. The overall ratings requested by GEF are included here.

Twelve Recommendations are given; four are directed at what the project and/or national authorities should do within the next six months, one to national authorities; and seven are directed to the GEF. This is followed by twelve Lessons Learned, most of which relate to successes or weaknesses of this project's approach. Terms of Reference, the review team itinerary, lists of persons met and documents consulted are given as Annexes, along with a brief account of the field visits and impressions gained.

2 PROJECT AND CONTEXT

2.1 Project Start and Duration

This five year UNDP/GEF regional project, with a budget of US$ 12.65 million from GEF, went through a PDF B stage starting in May 1997. It was designed in a participatory way with a number of stakeholders from government departments through to district authorities, across the three countries. The Project Document was developed and approved by the three countries in October 1997, after which it was approved by GEF Council in February 1998. Governments, UNDP and FAO signed in March/April 1998, although UNDP had approved start-up processes in November 1997. An Inception Report with detailed plans and Terms of Reference was produced in December 1998.

The project follows on closely from a previous UNDP/GEF Regional project "Institutional Support for the Protection of East African Biodiversity", covering the same countries, which ended in late 1996. This had successfully increased professional capacity in the region to address conservation issues. In many respects, the current project was designed to use this increased capacity for conservation activity at selected cross-border sites.

After the project Mid-Term Review in April 2001, it was decided to slow down what had been up to then the rather rapid rate of spending and to aim for a no-cost extension of one year (the whole of 2003). This was to ensure that forest management plans could be produced before the end of the project and be at least partially implemented, which did not look likely by the planned end in December 2002. The Cross-Borders Project officially finished on 31 December 2003, although national activities in Tanzania using project funds had more or less finished a year earlier. Some NGO contracts in the Kenya and Regional components are only due to expire in June 2004. Hence total project life will be around six years.

2.2 Problems Addressed

Under the 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", there are two Immediate Objectives: (a) To establish an enabling environment that allows local sectoral and development agencies as well as local communities to promote the sustainable use of biodiversity resources; and (b) Resource demands brought into balance with supply at key resource sites. The Immediate Objectives are couched more in terms of utilisation and development than conservation.

Objective A has three Outputs: (1) addressing government agency capacity; (2) community capacity; and (3) the policy institutional environment, while Objective B has four Outputs: (4) addressing the need for a participatory management strategy and action plan process for the sites of interest; (5) looking at alternative ways of using biodiversity resources; (6) looking at alternative land-use options and livelihoods; and (7) considering the broader planning perspective of District Environment Action Plans, pastoralist strategies, etc. Full details are shown in Table 1.

The project attempted to address these Objectives at eight cross-border sites (four pairs) of global and national biodiversity significance:

- Bukoba District in Tanzania to Rakai and Mbarara Districts (Sango Bay) in Uganda;

- Monduli District in Tanzania to Kajiado District in Kenya;
- Same District in Tanzania to Taita-Taveta District in Kenya;
- Turkana District in Kenya to Moroto, Nakapiripirit and Kotido districts (Karamoja) in Uganda.

Designed to be executed nationally, but with a strong regional co-ordination component, the project looked at the East African community as a whole, not at just separate countries. Its rationale is laid out in more detail in the 1998 Inception Report (pp. 4-11).

2.3 Global Environmental Goals

The project was designed to address conservation of globally significant biodiversity resources of the East African region. The key global environmental goals that CBBP sought to address were governed by the following agreements, conventions or treaties – Agenda 21, the Convention on Biological Diversity (CBD), and the International Panel on Forests (IPF).

During its implementation, a number of global environmental goals became relevant. These goals are contained in the:

- Convention to Combat Desertification (CCD),
- World Summit on Sustainable Development (WSSD),
- New Partnership for Africa's Development (NEPAD),
- Millennium Development Goals (MDGs).

The evaluation process examined the extent to which project formulation accommodated the provisions of the then existing global environmental goals, and whether features of the project were able to accommodate or contribute to the realisation of subsequent goals as a measure of its robustness.

2.4 Main Stakeholders

GEF is the source of project funding. GEF Council approved the project and receives evaluation reports. It is also responsible for ensuring that global environmental objectives are achieved.

UNDP is the UN agency implementing the project overall. UNDP Country Offices are responsible for disbursing funds to each country under National Execution modalities, and for procurement of major equipment. They are also the agency to which each national project component reports, and are responsible for calling the annual project Tripartite Reviews. A representative of the UNDP CO sits on each National Project Steering Committee and one sits on the Regional Steering Committee.

FAO is the Implementing Agency for the Regional component of the project, under agreement with UNDP. FAO supplies the services of the Regional Technical Advisor and authorises regional consultancies and training activities. It does not, as an agency, provide any other technical support.

National Government Implementing Agencies: Under National Execution modalities (where the Ministry of Finance is considered by UNDP to be the national Counterpart) each government has nominated its national environmental agency to be the project National Implementing Agency. These are: the National Environment Secretariat (NES) in Kenya; the National Environment

Management Council (NEMC) in Tanzania; and the National Environment Management Authority (NEMA) in Uganda.

Forest Departments / Agencies: As most project site activities are focused on forests and surrounding communities, and most of these forests are gazetted Forest Reserves, each national Forest Department is a key player. Staff from both Headquarters and District Forest Officers are closely involved, and are also beneficiaries.

District Authorities: District Councils and District-level staff of technical government departments are closely involved in site activities. Changes in legislation, as well as infrastructural changes, are made through or in conjunction with these institutions or persons. Each project site has a District Project Steering Committee, on which Council and District-level officers are well represented.

NGOs: A number of national and international NGOs have been contracted to carry out livelihood activities for the project at site level. These include the Intermediate Technology and Development Group (ITDG) and East African Wildlife Society (EAWS) in Kenya; International Care and Relief (ICR), VI Agroforestry (Swedish), Integrated Rural Development Initiatives (IRDI) and SVI (Italian) in Uganda, and Kakute (in reality, a small private company) in Tanzania. At a regional level, The World Conservation Union Eastern Africa Regional Office (IUCN-EARO), African Centre for Technology Studies (ACTS) and MS Tanzania Centre for Development Co-operation (Danish) have been involved with significant-sized contracts.

Local Communities: Local people and communities have been involved in the project as beneficiaries of a number of alternative livelihood activities, and as potential joint managers of forest resources. A number of CBOs have been formed, which become formal project partners at District level.

2.5 Results Expected

It was expected that the project would reduce the rate of biodiversity loss (or, to be more positive, to improve the status of forests and their biodiversity) in selected forest areas by:

- creating awareness locally of the importance of forest areas and their biodiversity,
- reducing demand for forest products (use substitution and alternative livelihoods),
- developing and implementing joint forest management plans between communities and regulatory authorities,
- increasing the capacity locally to manage forest areas,
- developing and promoting an enabling environment for joint forest management and forest conservation at national and regional levels.

The project set out to do this through working at various levels (community, district, national, regional), ensuring linkages and partnerships between communities, district authorities, NGOs, government departments and external technical expertise, and also between countries. The latter was done by working at four pairs of cross-border sites, and by having a regional co-ordination component linking the three nationally-executed sets of activities.

It was hoped that by giving communities both rights and responsibilities over nearby forest areas, and getting the district and national regulatory authorities to accept this, pressures on forest biodiversity would be reduced. Livelihoods would be improved and resource use pressures would be reduced, to the benefit of both conservationists and users. In this respect it was

considered at the time to be one of the 'new generation' of Integrated Conservation and Development (ICD) projects.

3 FINDINGS AND CONCLUSIONS

3.1 PROJECT FORMULATION

3.1.1 Implementation Approach

The project demonstrated a high level of participation during both its design and implementation. The logframe in the project document grew from three national logframes, which were themselves amalgamations of district processes. These came from a participatory and bottom-up development process involving engaging district agencies and donors and civil society partners in districts. It linked districts to central governments, and linked district partners across borders. At the district level there were village meetings to ensure buy-in by community leaders.

The initial logframe was a complex document (9 pages long with 51 activities related to 7 outputs). When implementation commenced, it did not take long to realise that the original logframe, being a document based on compromise, was (a) over-generalised with no site-specific relevance; (b) vague with poor indicators; and (c) generally thought to be over-ambitious.

Flexibility was built into the implementation approach, which facilitated correction of the weaknesses of the original logframe. This was done by breaking up the original logframe into a series of sub-activities and tasks with detailed budgeting, which were then fitted into UNDP project management processes. An external regional consultancy (S. Worah) was commissioned to look into the project's monitoring and evaluation system, and included making the logframe user-friendly and easily communicable. Changes, which were approved by National and Regional Steering Committees in 1999, involved the following:

- clustering of the original 51 activities under broad headings that illustrated the overall aim of each set of activities,
- re-linking activities and outputs to clarify the links between the two,
- breaking up multiple objectives into distinct activity-level objectives,
- adding a component on regional linkages,
- re-thinking indicators and verifiers.

Subsequently, the main workplans have revolved around site processes governed by a suite of site plans and site-based logframes. This arrangement enhanced verification of indicators and assumptions at site level.

3.1.2 Country Ownership and Drivenness

The project built on existing national and district institutional structures in the three countries. It also attempted to shift interest in biodiversity conservation into mainstream priorities. The project related well to the national environment action plan (NEAP) processes, environmental policies and environmental legislative processes of the three countries, and attempted to reinforce them. Specifically, since each country was in the process of developing a National Biodiversity Strategy and Action Plan (NBSAP) under the CBD the project added weight to these processes.

All three countries have been carrying out policy, legal and institutional reforms in the forestry sector. The project supported valuation of forest resources and contributed to sectoral policy analysis. For the first time in the history of East African forestry, directors of planning, treasury and forestry were brought together under project auspices for discussions to ensure that forest biodiversity issues received high level attention and were subsequently mainstreamed into overall and sectoral development plans. The recognition of an environment and natural resources sector by the Ministry of Finance in Uganda was partly due to the policy support process of the project through IUCN EARO[1].

Governments demonstrated their commitments through in-kind contributions. Out of a total proposed budget of US$ 14.355 million, $ 1.2 million was in-kind contribution by the three governments of Uganda, Kenya and Tanzania. However, actual disbursement was short of the proposed total by $ 0.5 million, resulting in $ 13.855 million of actual financing. Government contributions therefore represented approximately 8.7% of total direct project funding.

3.1.3 Stakeholder Participation / Public Involvement

The design, implementation and monitoring process ensured active participation and consultation of a wide variety of individual, community and institutional stakeholders. These included villagers, local leaders, CBOs/NGOs, government officials at local, district and national levels, donor agencies, and resource specialists.

Participation was an interactive activity - it involved empowering and building the capacity of communities to participate, which in turn allowed for increased levels of participation. This participation was by various village committees and upwards to district committees.

The site planning process was the core of participation in the first part of the project. The PFM and alternative income activities (via user groups) was the second.

3.1.4 Incremental Cost Concept

The three East African governments were estimated to be spending US$ 100 million annually on conservation. However, much of this funding is focused on protected areas, and largely on the large mammal fauna. Despite this level of baseline funding, the project planning team identified the following weaknesses:

- inadequate capacity for effective conservation,
- lack of awareness of biodiversity issues,
- a weak enabling environment for conservation at policy, legislation and programme levels,
- community antagonism to forestry processes,
- a dependence on forest products with lack of alternatives and considerable poverty,
- the lack of any planning framework within which conservation could take place, including participatory forest management processes.

Clearly the baseline funding for conservation was inadequate before the project started. Additional funding came from the three governments in form of co-financing; and through leveraging. Government contribution was US$ 1.2 million, all in-kind (an equivalent of $ 240,000 per annum). Leveraging of funds in Tanzania and Uganda was an additional $ 328,354. Leveraging by Kenya (for which data were not readily available at the time of the evaluation)

[1] *The Department for International Development (DFID) and the Royal Netherlands Government were the other significant contributors to the Sector Wide Approach Planning process.*

was estimated at over $ 100,000, giving a rough total of about $ 500,000, or an annual equivalent of $ 100,000 over the life of the project. Added to the baseline level of funding, the annual sustainable development level of funding would be $ 10.340 million in the region.

Subsequently, the GEF incremental cost support to the project was $ 12.655 million or 55% of total funding for conservation of forest biodiversity. The GEF funding was spent on different geographical areas - on less obvious, less protected or lower profile sites; and on institutional development processes. This approach was the innovation of the project.... its added value. It tackled issues not widely addressed at the time, namely cross-border collaboration and cross-sectoral capacity building, with a specific focus on forest biodiversity.

3.1.5 Replication Approach

The project aimed at developing an approach to cross-border collaboration in biodiversity conservation that should be replicable in other parts of the region. Replicability is seen at two levels - replicating the project model in different areas, and scaling up within same area with different donors.

It would be relatively difficult to replicate this project model in different areas, perhaps with the exception of Southern Africa. To a large extent this regional project succeeded because of the unique circumstances of East Africa, including a common history and common language. The project also benefited from the institutional capacity built during the first East African Biodiversity project. However, some aspects can be replicated elsewhere, such as the process of linking districts within a country, and the adoption of Threat Reduction Analysis (TRA) for monitoring. The Uganda Wildlife Authority is now using TRA methodology as part of its monitoring and evaluation system.

With respect to scaling up within East Africa, new projects are using or were derived from the CBBP process. Examples include:

- The GEF-funded Albertine Rift Forest Project in Uganda,
- Tanzania's Participatory Forest Management Planning Project (PFMP),
- Ford Foundation support for training in participatory Forest Management Planning.

Other areas suitable for replication through scaling up are: the value of site committees; the role of NGOs as intermediary agencies; the use of students to implement research activities; and the establishment of workable partnerships.

3.1.6 Cost-Effectiveness

The project complied with the GEF incremental cost concept. Before 1996/97 there was minimal investment in forest biodiversity conservation in the three countries; GEF support was above the sustainable development funding level.

The project completed planned activities and met (and in some cases exceeded) the expected outcomes in terms of achievement of global environmental and development objectives. It was on schedule and as cost- effective as planned.

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The project used the comparison approach to show that it did not exceed the funding levels of similar projects in the region. Overall average project cost was the lowest when compared with other East African sites. Total costs for each national set of sites under the CBBP was approximately the same at around $ 698,000-705,000.

Forest Site	Area (km^2)	Total cost (US$)	Cost (US$) km^2/year
Ngezi	30	138,000	4,600
East Usambaras	300	999,000	3,300
Jozani	60	180,000	3,000
Bwindi	321	609,900	1,900
Kenya sites (CBBP)	392	697,760	1,780
Tanzania sites (CBBP)	685	699,385	1,021
Udzungwa	1,100	1,100,000	1,000
Kibale – Semuliki	777	621,600	800
Mt. Elgon	1,145	801,500	700
All sites - average (CBBP)	2,900	2,030,000	700
Uganda sites (CBBP)	1,920	704,640	367

3.1.7 UNDP Comparative Advantage

Within the structure of GEF, UNDP was the most suited institution for the East African Cross Border Biodiversity Project. The World Bank focuses on large investment projects, UNEP on scientific research and training, while UNDP mostly handles projects concerned with capacity building and demonstration. UNDP has also accumulated extensive experience in poverty alleviation and governance issues, which suits the implementation of integrated conservation and development projects; it has substantial offices in all three countries.

UNDP benefited from lessons learnt during the first East African Biodiversity Project, which dealt with institutional capacity building of central institutions. It also was able to adapt to the changing paradigm of project execution. Subsequently, UNDP was able to move away from agency execution (i.e. the first East African Biodiversity project was all FAO executed via a Chief Technical Advisor) to an empowerment of national institutions with funds and authority going to them directly (NEX or national execution modality). This led to the separate empowerment of national institutions in each of the three countries and in what are effectively three separate projects; the fourth regional component provided the "glue".

UNDP was able to lower the cost of the regional component by having a part-time Regional Technical Advisor who was at the same time responsible for other UNDP/GEF projects in the region. However, the reduced time allocation had its flipside in that the RTA was not able to maintain a much closer supervision of all project activities. This was to some extent compensated for by having a wealth of lessons learnt coming from other projects the RTA was responsible for.

3.1.8 Linkages between the Project and Other Sectoral Interventions

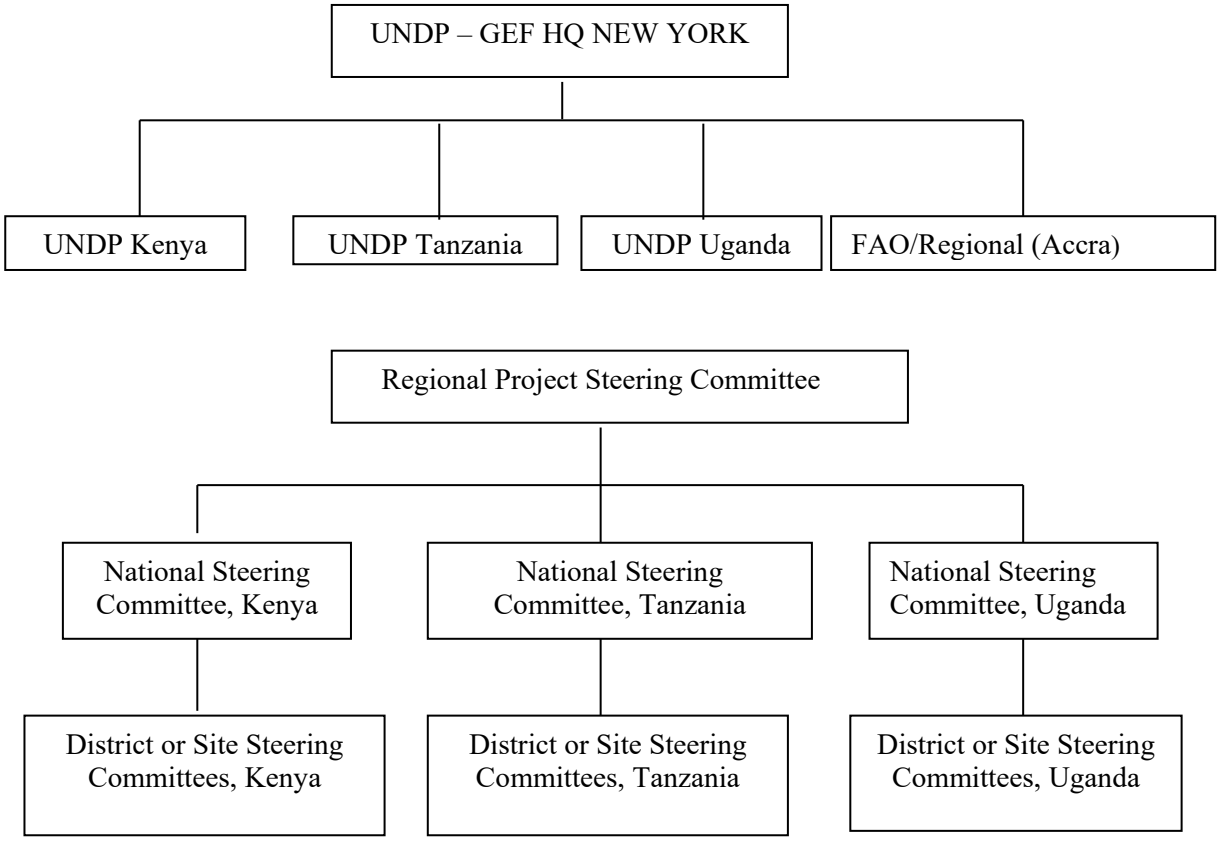
In all the three country components and the regional one, the project maintained effective linkages with other sectoral projects. In Tanzania, the project linked well with the Tanzania Forest Conservation and Management Project, a World Bank supported initiative. This project will inherit all the sites of the CBBP in Tanzania to continue with PFMPs. In Kenya, project sites will benefit from the EU Drylands project; while in Uganda, Sango Bay Forest Reserve is to receive support from the EU Natural Forest Management Project. Also in Uganda, the West Albertine Rift Project has borrowed experiences from the CBBP during its design phase.

3.1.9 Indicators

The original set of indicators in the Project Document were relatively weak or absent where monitoring of long-term impacts was concerned. Formulation of indicators is an iterative process that extends throughout project development and should ideally begin as early as possible. This is what the project did with its revision of the logframe. However, even with this improvement, the project did not come up with a costed long-term monitoring plan to demonstrate impact. Ideally, it should have state, pressure and response indicators. Monitoring of these would cost about 15% of budget. This requirement should have been built into the project budget. In future, GEF projects, particularly those dealing with ICDs, should be encouraged to make budgetary provisions for a well thought out monitoring plan.

3.1.10 Management Arrangements

The Cross-Borders Biodiversity Project was in reality managed as four projects. The first three were the national components, while the fourth was the regional component. The overall project administrative structure of three national components (NEX) with a regional linkage component (Agency Execution) worked well. It represents what UNDP/GEF terms Multiple Execution (MEX) Modalities.



The project had strong oversight mechanisms. At the apex was the Regional Project Steering Committee (see diagram above). Each country had a National Steering Committee, and a District and/or Site Steering Committee (e.g. in Karamoja which covered three districts).

The Project worked through partnerships, and invested time and effort in developing and fostering them. They include:

- Government national sector (environment, forestry and agriculture),
- Government national agencies to district agencies,

- Government district agencies (environment, forest and agriculture),
- Government to NGOs (e.g. ITDG, World Vision, East African Wildlife Society),
- NGOs to communities,
- District agencies to communities and to NGOs,
- INGOs to government (IUCN, ACTS).

Many of these partnerships have built lasting relationships that will continue beyond the project's lifetime, based on an appreciation of mutual benefit.

The project successfully demonstrated the use of NGOs as intermediary service delivery mechanisms in Uganda and Kenya. In Tanzania, credible NGOs were not available at project sites, but one could also detect some degree of reluctance by Government agencies to use them. In Uganda, the mechanism of using NGOs proved so successful that the Aid Liaison Department of the Ministry of Finance, Planning and Economic Development now wishes to use it as a model for future projects. A true government-NGO partnership has therefore been established, replacing what was previously an atmosphere of mistrust.

3.2 PROJECT IMPLEMENTATION

3.2.1 Financial Planning

The project was able to identify sources of co-financing as well as leveraged and associated financing. Where NGOs were used as intermediary execution agencies, they also made contributions to project efforts as leveraged funds. The original project document showed co-financing of US$ 0.5 million to come from bilateral sources. Unfortunately, this did not materialise.

The project exhibited significant weaknesses with respect to financial control. Project funds in Tanzania were exhausted well ahead of the extended project period. The same happened in Kenya. On the other hand, Uganda's expenditure flows were on track. Kenya's management team was hampered in making informed decisions regarding the budget at any time as funds had to first go from the UNDP CO to Treasury before disbursement to the project account. In Tanzania, accounting for funds spent on a whole quarter went missing. The error was only detected two years later at UNDP Headquarters!

Generally, there were no major audit queries. Funds were spent on the items budgeted for. Audit Reports, including management and technical issues, were prepared for each year from 1998 to 2002; those for 2003 are being prepared. There were no negative comments from any of the audits.

3.2.2 Monitoring and Evaluation

Project Implementation: Monitoring of project activities and expenditure was good, with feedback and redirection where thought necessary. Regular co-ordination meetings were held, as well as the formal National and Regional Steering Committee Meetings and Tri-Partite Reviews. Reporting (internal and external) was good.

Biodiversity: A major concern of the Evaluators was with the monitoring of the biodiversity attributes and status of the forest areas, the very things that were stated in the Overall Objective. There are a number of points here:

Firstly, the Objective ("To reduce the rate of loss of forest biodiversity in specific cross-border sites....") was stated in terms of a change in rate of loss. That implies one must not only know what the actual status of the forest is prior to project activities, but also the rate at which this is changing, requiring three (or at least two) prior measurements. This exercise has to be repeated at the end of the project to get the change in rate. Obviously this is too difficult for practical purposes, but at the very minimum a baseline is required of forest status and of at least some significant components of its biodiversity. The Objective would have been better stated as "improved biodiversity status", with some guidance as to what this signified.

Secondly, the method to measure change in status adopted by the project, after experimenting with such things as fixed bird-recording transects (which were found to be too variable and serendipitous), was to use a proxy. The proxy was a minimum set of stated threats to each forest area, while the means to measure them was a new recognised technique called Threat Reduction Assessment (TRA). When first tried out, at Chome FR in Tanzania (Persha & Rodgers 2001), this was done carefully - the threats were clearly disaggregated, the parameters that would most clearly be a measure of changing threat status were carefully articulated, and the fieldwork (random walked transects across the area) was done as comprehensively and objectively as realistically possible. Scoring was realistic, and scores for the different threats were not combined.

TRA is an appropriate technique to use to determine changes resulting from project interventions, especially in systems where single species or groups are not the focus of conservation attention - where there is more than one biodiversity issue. It gives indications of impact in a short time, and can also, with care, be used retroactively where a baseline does not exist. However, its value is dependent on careful, critical and consistent use.

Thirdly, when the technique was used across the other project sites, there seemed to be a less clear articulation of the threats than at Chome (for example, "overcutting of trees... through debarking and digging of roots", "destruction of boundary markers"), and the parameters were not as rigorously articulated or scored (for example, 100% reduction of threat is when "people cut poles after getting permits" or "pitsawyers get licences"). The values become relative as the goalposts are not firmly set and can change. For example, perhaps the number of permits issued for pole-cutting is in excess of that sustainable, or any level of pitsawing is having an adverse effect on tree population structure of certain tree species. At times a proxy of a proxy seemed to be used. That is, instead of recording the number of recently cut stumps, what was apparently recorded was only those that had been cut illegally, without a clear indication if the level of legal cutting had changed over the period, or was indeed sustainable. The link to actual biodiversity was often too far removed to be useful.

For some forests, such as Ol Donyo Orok (Namanga) and Longido, the major "ecological service" provided was a continued supply of water. But TRA as used did not seem to address this, or use a direct or proxy parameter to measure it. Developing a closer link in monitoring to the major service would have helped convince both communities and outsiders.

Fourthly, fieldwork did not seem to be consistent, either within a particular site over time or between sites. In Monduli and Longido it was the community members (who varied on each occasion) that determined both the route and the attributes that were measured; they also determined the proportion by which this was said to have changed (inevitably positively). Some threats were said to have been reduced by 100% within a year, and others were weighted such that a change had a disproportionate effect on total score. This might be good for community involvement and developing "ownership", but it does not make for a good objective determination of change.

The project cannot expect to convince donors or a sceptical public (or government department!) of the positive effects of interventions if TRA is used in such a manner. A more rigorous and consistent application is required.

The Table below gives a summary of the TRA results seen.

Area	**TRA score**	**Main cause**
UGANDA		
Sango Bay, Aug 2000-Jun 2003 (3 yrs)		
forest interior	43.5 %	Pitsawing
forest edge	39.3%	kraal construction
Moroto FR, Jan 1999-Oct 2002 (3.5 yrs)		
forest interior	40.3%	commercial firewood
forest edge	55.5%	Fires
Morungole FR, Jan 2000-Oct 2002 (2.5 yrs)		
forest interior	24.4%	Hunting
forest edge	35.0%	Hunting
Timu FR, Jan 2000-Oct 2002 (2.5yrs)		
forest interior	39.9%	wood cutting
forest edge	35.0%	Hunting
TANZANIA		
Chome FR, Mar-Dec 2001 (0.75 yrs)		
forest interior	24.2%	Fires
forest edge	26.9	Fires
Longido FR, Jan 1999-Mar 2002 (3 yrs)		
forest as whole	78%	fire, cutting
Longido FR, Mar 2002-Jun 2003 (1.25 yrs)		
Longido village	78.1%	Fires
Kimokonwa village	92.1%	Fires
Monduli FR, Jan 2002-Jun 2003 (1.5 yrs)		
Olarash, forest edge + interior	71.7%	grazing, timber
Sinon Ngarash, forest edge + interior	90.7%	trees, poles
Emairete, forest edge + interior	32.0%	Debarking
Enguita, forest edge + interior	32.6%	Timber
Mlimani, forest edge + interior	81.2%	Timber

The project recognised that TRA scoring breaks down when threats become worse, such as happened at Chome FR where illegal logging increased significantly (owing, it must be said, to external factors beyond the reasonable scope of the project).

In addition to limitations of the monitoring efforts in forest areas, there was no real effort made to monitor effects on beneficial communities or on the rate of uptake of interventions. A baseline was needed of such things as income levels and of awareness, to be compared to a measure of these at project end, and in some years to come. How much benefit have these interventions been; to whom in the community; were they cost-effective? Will these levels persist or increase over the next five years? NGOs that implemented some aspects of the project, especially the development components, did carry out some baseline survey and monitoring work. However, these were not widely distributed.

3.2.3 Execution and Implementation

National Execution modalities and procedures have generally worked well. There were problems in Kenya with the halting of UNDP disbursements due to governance/accounting concerns in 1999, resulting in delays in project activities there for almost a year. But project management made strong, and ultimately successful, efforts to overcome this through exemption. Even now, however, the bureaucratic procedures for Kenya are cumbersome, although this has not unduly affected the present project implementation processes. Country ownership is strong, and the National Steering Committees have been strong and effective.

UNDP Country Office systems, both for procurement of equipment and disbursement of funds, worked well. UNDP personnel had a good commitment to the project, its objectives and its progress. A good working relationship between project staff and UNDP COs was developed, and this undoubtedly greatly facilitated project achievements.

UNDP/GEF had minimal role in the project after it was signed as the GEF Regional Coordinator was also the project Regional Technical Advisor. Occasional oversight was given by other GEF Africa staff (M. Niamir-Fuller) and by UNDP/GEF staff in New York (John Hough). The system worked well, and there were no apparent problems.

FAO executed the Regional Component of the Project at the request of the three governments and UNDP. It was selected due to its positive role in the earlier regional capacity-building project, however the new project's links were to be through the recently-decentralised FAO Regional HQ in Accra, Ghana - on the other side of the continent, with poorer communication links to East Africa and little chance to meet or interact. The project no longer had access to the breadth of experience and resources of FAO HQ in Rome.

FAO's role in this project was purely administrative - procuring services and provision of funds. Despite the provision of an 8% overhead fee (around US$ 187,000 over the 6 years), this was not enough to allow technical support, which was to be provided from other sources.

FAO Ghana satisfactorily carried out routine tasks, e.g. replenishment of imprests, contractual disbursements when due, or when travel requests need to be processed. Although this did generally take a week or so, such actions could often be done at short notice. The system began to break down when "out of the ordinary" activities needed to be performed. Two examples:

Example 1: During the development of Letters of Agreement (LOA) for the three regional contracts (IUCN-EARO, ACTS, MS-TCDC), after their approval by a TPR in 2000, procedures followed those of the first project when LOAs could be prepared up to a value of $ 500,000 (these were below $ 300,000). Everything was agreed, including by FAO Accra, until the need for signature by FAO in Rome. No one wanted to put this to Rome, who under new regulations had to sign any contract over $ 100,000. The project lost a year in finding ways to overcome this.

Example 2: The administrative process over our own recruitment where, despite the initial request for our input (as approved by Governments and UNDP) to FAO Accra on 10 October (with itinerary, ToRs and CVs), the actual approved contracts only finally came the day after the field mission ended on 18 December. We note that much of the confusion is due to the apparent dysfunction between the Operations section of FAO Accra (with whom the RTA deals on a frequent basis) and the Personnel Section, who have the responsibility for recruitment.

These confusions and delays, in our opinion, have caused significant additional administrative time and resources to be spent by the RTA and the Regional component of the project. The time of the RTA is already at a premium, and the delays and costs, which were paid for out of the project, depleted resources available for other activities over the 6 years.

It would seem that the downsizing of the FAO Regional Offices (e.g. staff reductions), has caused these to now have insufficient capacity to handle such assignments. Devolving project administration to the host country FAO office would have been a better solution.

3.2.4 Co-ordination and Operational Issues

The project was well co-ordinated by the RTA in Arusha. Each of the three national components were separately budgeted, and the National Steering Committee/UNDP Country Office and national project staff administered it. The RTA's role, apart from implementing regional components, was to ensure project goals were achieved, to maintain a balance across the three national components, and to provide technical advice where necessary.

The main reason the project worked well was that a team was formed across the three countries, a team comprising not just project staff but also government officers, NGOs and UNDP offices. Problems when they arose were rapidly resolved; communication was good and timely. There was a shared vision, and shared purpose.

The major operational problem was with Kenya when UNDP Nairobi halted disbursement of UNDP funds, including from this regional project, due to concerns over governance and non-transparent accounting procedures at the Kenya Ministry of Finance, where all monies initially went. Project activities in Kenya came to a standstill, including salaries of project staff. The project made strong efforts to get exemption, invoking the regional, non-national nature of the project as a whole. Eventually, after delays of almost a year, the Kenya Government and UNDP agreed that funding could be resumed into a designated GoK account where transparency was clearer. This was the first time this had happened, and set a path for other donor-funded projects.

The delays arising from FAO's unwillingness to sign large contracts with organisations such as IUCN and ACTS were overcome by project management by sub-dividing the original project to below the threshold.

Both cases illustrate a committed and pro-active approach to co-ordination and implementation.

3.3 PROJECT RESULTS

3.3.1 Attainment of Objectives

The project addressed the provisions of Agenda 21 of improving the conservation of biological diversity, the sustainable use of biological resources, as well as equitable sharing of benefits as further elaborated in the Convention on Biological Diversity (CBD). It addressed 13 out of 20 Articles of the CBD, including the goal of integrating strategies for the conservation of biological diversity and the sustainable use of biological resources into national development strategies and plans.

At the 55th Session of the United Nations General Assembly (September 2000), Heads of States of Governments resolved to adopt in all their environmental actions a new ethic of conservation and stewardship. This included the resolution to intensify their collective efforts for the

management, conservation and sustainable development of all types of forests and to press for the full implementation of the Convention on Biological Diversity and the Convention to Combat Desertification. The project, although formulated earlier, contributed to these goals.

The NEPAD Environment Initiative recognised that one of its core objectives must be to combat poverty and contribute to socio-economic development in Africa. The initiative targets eight sub-themes including: combating desertification, wetland conservation, invasive alien species, support for cross-border conservation areas to build on the emerging initiatives, seeking partnerships across countries to boost conservation and tourism and thus create jobs. These goals also were in harmony with those of the project.

Goal 7 of the Millennium Development Goals (MDG) is to ensure environmental sustainability; and in this context, the project supported the meeting of MDG targets in the three countries.

The African Ministerial Statement to the World Summit on Sustainable Development (WSSD) in 2002 noted that the wealth of biological diversity found in the region is a major resource for Africa and most of the African economies are highly dependent on this resource. The ministers also recognised the scientific and economic opportunities attached to this source of wealth and the imperative of ensuring these opportunities directly benefit Africa. They committed themselves to developing and implementing national legislation for the protection of the rights of local communities, farmers and breeders, for the regulation of access to biological resources, and for bio-safety in line with the OAU Model Law. The Ministers welcomed the establishment of the United Nations Forum on Forests (UNFF) and called for it to become the vehicle for the full implementation of the International Panel on Forests (IPF)/International Forest Forum (IFF) proposal for action for the sustainable management of all types of forests. They were also convinced that bushfires contribute to the reduction of forest cover so they recognised the need to initiate a large-scale campaign to combat bushfires, and to do so with the support of GEF and other funding agencies. Although planned earlier, the project contributed to these objectives.

The fundamental objective of the project was conservation of forests or, specifically, to reduce the rate of loss of forest biodiversity. This was to be achieved by reducing threat levels (alternatives to use of forest products, moves to JFM, etc.), and creating a conducive environment (policy, legislation, awareness) within which such activities can flourish. Table 2 shows results and achievements against both objectives and activities. Some of the issues are discussed further under Impacts (section 3.4).

Did the project achieve this fundamental objective? To determine that one needs to have a measure of the rate of biodiversity loss both before and after - or at least a clear indication of the status of forests and their biodiversity before and after project activities. It also begs the question of what was the rate of forest loss in these areas beforehand. Owing to known difficulties and high variability in monitoring most biodiversity directly, this was attempted by using a proxy for biodiversity status - the level of threat - using Threat Reduction Assessment methodology (see Section 3.2.2). Unfortunately this was not done rigorously and consistently enough across the project sites to give an unambiguous answer. Anecdotal evidence suggests threats and levels of unsustainable utilisation were greatly reduced in many forests, e.g. Sango Bay/Minziro, Ol Donyo Orok, Monduli, but such anecdotal evidence is unlikely to convince sceptical funding agencies.

The project registered many achievements, but it cannot say with any high level of confidence, that it met all its objectives. While impacts on biodiversity are difficult to determine, what can be stated categorically is that the interventions targeting the 'D' aspects of the ICD approach

succeeded, for example water sources were developed and improved cooking stoves were adopted.

Table 2. Assessment of Achievements

HIERARCHY OF OBJECTIVES	INDICATORS	ACHIEVEMENTS
Overall Objective To reduce the rate of loss of forest biodiversity in specific cross border sites of national and global significance in Kenya, Uganda and Tanzania.	• No further species extinctions recorded • Threat Index shows significant decrease for all sites. • Area of forest cover does not decrease. All biological communities maintain integrity and are regenerating.	• Probably achieved, but no objective evidence produced (airphotos, consistent TRA). Species loss/gain not recorded
Immediate Objectives **A.** An enabling environment in place at key cross-border sites which supports the sustainable use of biodiversity	• Legal/policy frameworks at regional, national and local levels in place and supportive of biodiversity conservation. • These frameworks are implemented at ground level. • The capacity (knowledge, skills, attitudes) of site district officials has increased. • Involvement of local communities in decision-making in Environment Committees and JFM processes.	• National policies in place with input from CBBP, but not possible to verify specific project impact. Policy frameworks only recently in place. • Some district & village bylaws in place. • Some CBBP impact for logging bans. Minziro & conservation Sango Bay). • Gazetting of Taita. • Capacity at local level greatly increased. JFM plans developed with communities; many strong local Environment Committees.
B. Resource demands brought into balance with supply at key sites	• Forest management plans approved and in place, which contain frameworks for regulated use of key resources. • Level of regeneration of key natural resource species has increased. • Level of use/extraction of key natural resources considered sustainable.	• Many forest mgmt plans in place from 3 countries, with elements of conservation; approved by communities but not yet by Forest Depts. • Anecdotal evidence on improved regeneration in many forest areas, but not measured. • Use of natural resources is under JFM with levels set participatorally & regulated.

A1 Regulatory /development agencies at local level (in key sites) promote sustainable use of biodiversity **A2** Local communities participate fully in resource conservation at key sites **A3** Compatible and effective policy and legal frameworks in placeat key sites **A4** Cross-border conservation issues are effectively addressed	• National and District agencies maintain or increase funding and staff allocations for conservation related issues in target sites. • Communities involved in conservation decision making through Environment Committees and JFM/CFM processes. • New/revised supportive policies and legislation in place at target sites. • New guidelines and byelaws support BD conservation at site levels. • All district site-pairs have effective cross-border discussion mechanisms that include conservation as an agenda item.	• Councils & district technical officers supportive of project & activities. Many activities taken on by local offices. • Local active Environmental or Conservation Committees formed in number of sites; JFM ideas in place. • National forestry policies in place, or nearly so. Project had important, but indeterminable impact and influence. • Some District authorities have made bye-laws, but not sure how many or to what extent these have been implemented. • Cross-border liaison at Minziro/Sango Bay & Kajiado/Monduli good. Liaison very limited at other paired sites.
B1 Participatory management plans for key biodiversity sites approved and implemented **B2** Alternative and less destructive resource use strategies adopted, which reduce negative impacts on biodiversity **B3** Alternative income strategies that reduce biodiversity impacts are adopted by local communities	• Participatory forestry management plans are approved and in place. >75% of recommendations implemented at all sites. • Majority of households in target villages are using alternative resource use strategies to reduce non-sustainable resource use. • Increasing %s of people (men and women) are using alternative income generation activities.	• Mgmt plans developed in very participatory way & approved by communities at number of project sites (Minziro, Sango Bay, Namanga, Longido, Monduli, Chome, Karamojong forests) So still awaiting completion and all not yet approved by national authorities. National govts (Tz, Ug) have agreed to take on some sites for JFM under own or other funding. • Many alternative resource uses adopted (piped water, biogas, improved stoves); use of stoves widespread in number of project sites, but uncertain how much this has reduced forest resource use. • Alternative income strategies in place at some project sites (soil bricks, beekeeping, Jatropha oil, crafts, ecotourism, zero-grazing), but uptake limited to minority of community. Impact on forestry biodiversity not clear. • NGOs performed well; in some cases follow-on funding obtained.

3.3.2 Sustainability

Strong efforts were made to ensure sustainability after project funding finished, as strong as could be expected. This was done in four ways:

- Integration into existing structures, institutions and legislative frameworks. For example, the Sango Bay JFM process has been taken on by the EU-funded Forest Management Project in Uganda.

- Ensuring field staff, many of whom were seconded initially, would get taken back into local or national government structures and could carry on with the same or similar activities. For example, the FPO for Namanga has been taken back into the National Environment Management Authority in Kenya, although he is still stationed at the project site, and the FPO for Minziro was taken back and promoted at the end of the project to District Environmental Officer with broader responsibilities than just forests.

- Through the use of NGOs which can (and have) sought and received additional funding to carry out livelihood activities. For example, ITDG have received significant additional funding for activities in the Turkana area.

- Through the use of CBOs and development of self-funded and motivated local Conservation or Environment Committees to patrol forests and create awareness. For example, Oldofomaa, a CBO in Namanga has now registered and will manage water supplies put in by the project, charging user fees and using the funds for maintenance.

3.3.3 Capacity Building

The project was not designed for capacity-building as such, in fact it came out of a previous capacity-building project and was more directed at applying capacity built previously to specific conservation activities on the ground. However, additional capacity was built.

- A cadre of committed conservationists was built, building on the team developed under the previous project. All are remaining in the East African region - one has moved to the WWF Ecoregions Programme, while others will be absorbed into Forestry Departments/Authorities or the National Environmental Authorities.

- A number of people involved at District level (e.g. Council Executives, council employees or District Forest Officers) have been given significant hands-on experience in participatory planning and joint forest management, both formally through specially-designed training courses (e.g. at MS-TCDC, Arusha), and through implementing these activities.

- Staff from national forestry authorities have been given some formal training in the JFM approach and practices at the MS Training Centre in Arusha and at MUIENR in Kampala.

- Some NGOs have now increased capacity in implementing alternative livelihood activities such as tree nurseries (Minziro, Monduli), improved wood stoves (Minziro, Sango Bay, Monduli), hay-making (Namanga), soil-stabilised blocks (Namanga) and stall-fed cattle (Sango Bay). They also have an increased ability to obtain funding for these and similar activities.

- Small private companies have been able to get established, for example Kakuto in Monduli with Jatropha oil extraction, and Carmatec for biogas digesters.

- Some private individuals in communities have established small businesses making improved wood stoves (e.g. Minziro), improved bee hives (Namanga) and tree nursery business (Minziro).

- Communities, or at least some segments of them, have been empowered to take on decision-making regarding forest management, and through CBOs to form small income-generating groups, such as Kassambya water hyacinth women's group in Minziro and Kinyoraa women's craft-making group in Longido.

- Project staff have received formal training in PFM, project management, participatory planning, etc. at the MS Training Centre at Arusha or at MUIENR at Makerere in Kampala, as well as a wealth of practical experience.

3.3.4 National Findings

Kenya

- After initial problems (personnel, security, drought), the project made good progress in Turkana through ITDG (peace initiatives, etc.).

- There was very good use of strong NGO partners, especially ITDG. This changed attitudes among original stakeholders, including the GoK.

- Activities were perhaps not fully "institutionalised" or "domesticated" in Government owing partly to institutional changes in the Forest Department and NES. Enabling Forest legislation is still not in place.

- It greatly opened up the possibilities and utility of JFM. A good example of JFM planning and harmonisation of policies can be seen at the Namanga site.

- Project succeeded in getting the threatened and very important Taita forest formally gazetted.

Uganda

- There were no apparent problems with implementation or spending patterns. There was a strong institutional base, although recently Forestry is in transition to a NFA.

- Good use of locally known NGOs for livelihood activities, such as ICR, IRDI, Lutheran Church and especially SNV in Karamoja.

- Sango Bay was a success - there is a sense of local ownership. It has been used as flagship for ICD projects and JFM initiatives, both inside and outside Uganda. Threats to the forest have been reduced, even in the face of pressure from some errant government officials and large investors. If the Forest Reserve returned to its previous "owner", most project activities would have been wasted.

- There was not always a strong linkage between conservation and development objectives in some Sango Bay interventions (i.e. they sometimes benefited people that are not really dependent on forest products)

- Project has prepared JFM plans for nearly all the six forest reserves at the two sites through a strongly participatory process.

- Forest biodiversity inventories and values are clearer than for many other sites as they were done previously by the Forest Dept.

- TRAs were done more systematically than elsewhere.

Tanzania

- There is an enabling policy and good legal framework. Project helped to influence detail in the Tanzania Forest Programme and stimulated the introduction of JFM to the Forest Dept.

- There was a smooth transition of some project activities into the Forest Dept., which also provided additional financial support to project activities.

- There was little use of NGOs (apparently none were particularly suitable) and only limited use of CBOs. Interventions were mostly by central Government and project staff.

- There were good achievements at Minziro in community empowerment and getting people to assume responsibility for forest management and proposals for benefit sharing arrangements.

- Linkage of provision of water to forest conservation/biodiversity values was successful at Longido Mountain and at Namanga (on Kenya border).

- Good cross-border linkages developed at both Minziro and Longido/Namanga.

- Project raised the profile of Chome FR as an important biodiversity area. However, despite interventions, illegal logging has increased owing to external market forces. The project and the Forest Department are addressing this threat.

- Successful adoption by local company and the community at Monduli of Jatropha oil technology, an alternative livelihood strategy.

3.3.5 Regional Findings

- Regional co-ordination ensured a good level of integration across region and between the three national components. A team was formed.

- The location of the Regional Office in Arusha, able to feed in to the East African Community and cost-effective for travelling, was a sound one.

- Time allocation for the RTA was insufficient to adequately cover the range of activities; the position should have been full-time. Nonetheless, the RTA's involvement in other GEF projects brought important lessons into the project compensating for the time shortfall.

- With the RTA as both project staff and also the GEF Regional Coordinator led to a great ability of the project to communicate at national and regional levels and better utilise opportunities ("opening doors").

- The project provided a valuable economic valuation of forest values across the region through IUCN-EARO. This information facilitated better appreciation of forest biodiversity resources by policymakers.

- It also provided detailed policy analysis and training for the natural resource sector (both for national and site levels) through ACTS and helped harmonise policy. However, there have been delays in completion of this component. At its conclusion, local leaders will be exposed to methodologies for policy formulation and drafting of bye-laws.

- Project helped link the three East African Forest Departments and Environmental Management Agencies. It also helped bring these institutions together with ministries of Finance and Economic Development.

- Helped set up regional ICD training courses (at MS-TCDC in Arusha and at MUIENR in Kampala) through partnerships with WWF and CARE, and also provided training in participatory planning and joint forest management there.

- Helped articulate many botanical and bird biodiversity values for most forest sites, along with preliminary checklists, through partners such as the National Museums of Kenya, Missouri Botanic Garden Tanzania Training Programme, Tanzania Association of Foresters, and MUIENR.

- Helped strengthen national GIS units, generally based in Forest Departments, which were used in forest planning.

- Set up and maintained a good website, both for communication and also for dissemination of documents.

- Initiated and backstopped participatory site planning process, leading to JFM plans.

3.3.6 Overall Assessment

The table below gives the ratings required by GEF under the five stated criteria. High scores are given for Implementation, Participation and Sustainability. Outcomes/Achievements refer to the extent to which the project's environmental and development objectives have been met. This is scored as only Satisfactory as it is not clear at this stage how well the project has done; it will only become clear in 3 to 5 years time when (a) JFM plans are operational, (b) communities' attitudes and use of forest land and products have "settled down"; and (c) there is an unambiguous assessment of the status of the forests and their biodiversity. Monitoring and evaluation was ranked MS largely because of difficulties encountered in measuring and monitoring impacts.

CRITERIA	RANK	COMMENTS
Outcomes/ Achievements	S	Scored highly on activities dealing with development activities. Conservation achievements take time to show. Activities such as inventory, boundary opening and PFM plans in place.
Implementation Approach	HS	High levels of staff commitment - field, national & regional. Good use of NGOs who were present on the ground. Except for Kenya during earlier stages, timely disbursement of funds.
Stakeholder Participation	HS	Highly participatory at all levels. Benefited from effective NGO mobilisation & sensitisation.
Sustainability	HS	Brought in as much as could be done. Involvement of Govt. + District personnel ensures continuity. NGOs have leveraged additional funds to continue with activities, but mostly on the 'D' side.
Monitoring & Evaluation	MS	Project activity monitoring highly satisfactory. Problem lies in measuring & monitoring of impacts - biodiversity & uptake. Weaknesses in application of TRA model & selection of indicators.

3.3.7 Replicability

The project grew out of a particular East African context - the policy framework and direction it was going, the state of expertise, the existing institutions with their attendant strengths and weaknesses. It was designed with these in mind, hence its immediate replicability to areas outside East Africa is limited. However, there are a number of attributes and approaches of the project that would be applicable positively elsewhere in Africa.

The Evaluators think the following the most important (also see Lessons Learned):

- The development of a team comprising not just project staff, but also government officers at a range of levels, NGO staff, research and documentation institutions, District employees, and UNDP staff.

- The vertical integration of activities from community through district to national and regional levels. Local concerns can get brought into the national forum, and national-level decisions are informed by a reality on the ground.

- The ability to transcend national boundaries to give an added strength in implementation, which also helps overcome what may be purely national problems.

- The use of partners with comparative advantage in implementing activities, especially those that have a proven track record and community trust at a local level.

- The use of interventions that have a very strong linkage with conservation, such as water supply from catchment forests.

3.4 PROJECT IMPACTS

The major project impacts are listed below and briefly explained.

- Awareness of forest conservation issues has been increased at a number of levels - regionally through publicity, presentations at COP5 and WSSD; nationally through publicity, involvement of Forest Dept. staff in the project; and especially locally through project intervention and activities at sites.

- It has led to easier or more rapid introduction of joint and participatory forest management ideas at national and site levels and their incorporation into policy and legislation. This is partly because the project provides some of the few practical examples of this from across the region.

- It has raised the national, and in some cases regional, profile of selected forest areas, particularly Chome FR in Tanzania and Sango Bay/Minziro on the Uganda/Tanzania border. In the case of Sango Bay this has led to various government departments, District council and the surrounding communities actively supporting maintenance of forest reserves in the face of land claims from a large investor, which would probably not have happened without the project and its activities. However, this heightened awareness doesn't seem to have worked in the case of Chome FR where demand for camphor (*Ocotea*) timber from the Middle East has led to greatly increased rates of illegal logging.

- A strong regional team was developed that had an impact on decision-making beyond its numbers and institutional placing or direct responsibilities. It is not clear if this team can continue to have the same impact now that the project - the focal point - is over.

- A number of existing Forest Reserves have been reaffirmed, in particular with surrounding communities, and forest boundaries re-demarcated. For example, prior to project activities the Karamoja site forests in Uganda were beginning to be viewed as open access properties. The project has changed this perception. Reserve boundaries have not changed, but the zonation and permitted uses have.

- It has reduced the utilisation of forest products (timber, poles, grazing, hunting), and occurrence of damaging processes (soil erosion, fire) in a number of forest areas. However, it is not yet clear how sustainable this is, or what actual effect it has had on forest biodiversity.

- Communities around catchment forests, particularly in semi-arid pastoral areas, are now more aware not just of the ecological goods and services provided by these forests, but also on the necessity for careful management to ensure their sustained provision. This includes the realisation that opportunities have to be foregone, and that management often involves intervention and the expenditure of resources (labour as well as money).

- It has improved the livelihoods of some households, but possibly relatively few and disproportionately the better-off or more innovative. Perhaps this is inevitable and not a problem.

- The Taita Hills in Kenya have finally been gazetted as a Forest Reserve after many years of trying. Possibly the project took a less top-down or protectionist approach, but it is also true that there is now very little forest left and catchment values are becoming increasingly apparent.

- It has allowed leveraging of funds by NGOs and others for additional livelihood activities both at the project sites and elsewhere.

4 RECOMMENDATIONS

Project Level

1. Attempts should be made, probably by national Forest Department and NEMA staff as the project has now virtually finished, to carry out a final round of Threat Reduction Assessments. Criteria should be carefully crafted beforehand to get as close as possible to actual biodiversity conservation status, and applied carefully and comprehensively in the field (as was done for Chome FR) at all sites where significant project activity has occurred. This is needed to convincingly demonstrate any conservation impact.

2. The Project Terminal Report should clearly address issues of impact on biodiversity at each site (e.g. threatened species, change in species' status, change in extent or integrity of forest), as well as the improved linkages between conservation and development in the surrounding communities resulting from project activities. It should also comprehensively cover what the impacts have been at regional, national, District and community levels.

3. The Project should document and disseminate the major lessons learned over the last six years in a format suitable for wider circulation, both regionally and internationally. Consideration could be given to a short video and a glossy, high-impact publication, in addition to articles in international journals or similar publications. The existing website should be retained, possibly by UNDP, to help disseminate documents and findings.

4. National governments should ensure that the biodiversity values (species diversity, endemism, species status, forest cover, ecological services) of the selected project sites are adequately documented and monitored. GEF and former project staff could perhaps play an important role here, along with national institutions such as natural history museums, herbaria, university biology departments, and natural history societies.

National and UNDP / GEF

5. The momentum achieved by this and the preceding project (GEF Regional Capacity Building) should be built upon in other East African GEF, UNDP or Small Grants projects, as well as by the national environment agencies, Forest Departments, other donors and NGOs. National authorities should give particular emphasis to taking Joint Forest Management into implementation (as is being done at some sites in Uganda and Tanzania). The GEF Small Grants Programme is especially suited to some smaller, alternative use interventions.

UNDP / GEF

6. The undoubted benefits of the integrated regional approach in this project – the synergy, the impact on policy and awareness, and in addressing cross-boundary conservation issues – should be taken into account when formulating other GEF projects. The value of regional partnerships and teamwork should be recognised.

7. GEF needs to better publicise cases of achievements and impacts found in projects funded by them. This particularly applies to links into policy - "getting conservation into the planning process". Too often the lessons and impacts are lost in 'grey' literature of very limited distribution.

8. GEF, UNDP and Governments should use NGOs and similar civil society organisations wherever appropriate in the implementation of project activities. They are often a cost-effective means of implementation, with significant "comparative advantage". Contracting modalities should be streamlined so that disbursement requirements are sufficient for oversight, yet not result in lengthy gaps in implementation. Reporting requirements should focus on achievements and problems, and on documentation of product, rather than on "jumping through hoops" or process.

9. Future projects should establish clear baseline data against which to measure impact as part of initial project activities. These should also incorporate, where possible, biodiversity indicators. A long-term approach to monitoring impacts should be adopted, not one that is solely project-bound. A specific budget line item should be devoted to monitoring of impacts both during and after the project period, perhaps around 10-15% of budget.

10. Indicators in project logframes need to be firmer, even if there are few of them. These indicators should relate as closely as possible to actual biological values.

11. Conservation projects, especially those exploring innovative methods across a wide range of partners, need a longer time-frame for implementation than five years. Not just to show impact, but also to bring people on board and build up sustainable (i.e. non-project driven) implementation of activities. GEF should bear this in mind in formulation of future projects, perhaps by having contingent phasing over an 8-10 year period. Inputs in the latter period could be low-level but strategic in terms of input/resources, e.g. provision of periodic technical support, monitoring, advocacy, awareness-raising, provision of peer-pressure, mentoring of implementers.

12. That GEF carry out a follow-up assessment in a further five years time of the conservation and community/District awareness impacts of this project, such as: How has capacity been used?, What has been the sustainability of community activities?, and What is the current forest status and that of its biodiversity?

5 LESSONS LEARNED

- In project implementation a team of committed people with a strong shared vision are central to project success. Such a team can overcome many obstacles and any flaws in project design. Human commitment is essential for a project to succeed, whatever the design or activities.

- In ICD projects there should be clearly-articulated links between the C (conservation) and the D (development) if the activities are to have a sustained impact on conservation. Livelihood interventions should be explicitly linked during implementation, and be appropriate in type.

- ICD projects should explicitly target resource-user groups and the local private sector in livelihood interventions and alternative use strategies. Local enterprises can sometimes be among the larger users of natural resources (e.g. firewood for eating houses, construction wood for local builders). Small rural households should not be the only targets.

- Linkages between forest conservation and water supply are strong in arid and semi-arid pastoral areas. This provides a good entry point for conservation projects, especially those concerning catchment forests.

- Multiple entry points can be a useful way of approaching conservation, but taking on too many can detract from efficacy. It can also lead to project managers following up the most successful intervention in terms of implementation and uptake, but one that isn't necessarily the most appropriate or effective from a conservation perspective.

- The approach taken by this project in working simultaneously and flexibly between different levels - vertical integration, from community through national to regional - and working through existing institutions and legislative frameworks has been successful in getting conservation concerns into the planning process.

- Communities are willing to take on responsibility for forest management; and that governments can accept this (JFM). However, this project has not yet been able to show whether this management can work in practice.

- With the approach that this project took (multiple levels, working through existing institutions, participatory planning, joint management), achievements are often slow to appear, longer than the normal project lifetime. Participatory planning takes a great deal of time and is, therefore, expensive. However, these inputs are essential for project ownership. Conservation impact is not normally apparent in five years. Project proposals, time-frames and evaluation need to take this into account.

- In project implementation, partnerships with institutions with comparative advantage are very cost-effective and beneficial. Projects should try to use existing institutions that already possess expertise and ability. NGOs perform particularly well in this regard as they are far less bureaucratic and are generally results or product-orientated. In particular, NGOs are more able to seek additional funding for activities that have already commenced, leading to greater sustainability.

- Regional projects might appear to be more expensive and cumbersome than purely national ones, but their impacts can be greater. This is due in part to peer-pressure and "competitiveness" between nationals from different countries, but also because they allow the participants to speak more strongly and confidently in regional forums. Impediments that are purely national in nature are sometimes better overcome if the project is regional owing to a country or participants not wanting to be left behind or "shown up".

- Clear impact-orientated indicators are needed in a logframe in order to determine conservation impact. This is especially the case in complex regional projects with a range of circumstances and situations.

- The provision of baseline data on, for example, forest status and biodiversity, is needed before project interventions start. This should form part of project activities. One must be able to show convincingly improvements in biodiversity status arising from project activities to an increasingly sceptical world.

Annex 1. TERMS OF REFERENCE

Objectives of the Evaluation
The UNDP GEF Task Manager has initiated this terminal evaluation for the project, as part of standard UNDP GEF M & E process. The evaluation is therefore being undertaken as part of the normal M & E cycle within project management, incorporating new guidance from GEF Secretariat where relevant.

The evaluation is designed to accomplish the following issues:
- An analysis of the attainment of global environmental objectives, outcomes/impacts, project objectives, and delivery and completion of project outputs/activities (based on indicators).
- Evaluation of project achievements according to GEF Project Review Criteria:
  - Implementation approach
  - Country ownership and drivenness
  - Stakeholder participation and public involvement
  - Sustainability
  - Replication approach
  - Financial planning
  - Cost-effectiveness
  - Monitoring and evaluation
- Each terminal evaluation will include **ratings** on the following criteria:
  - Outcomes/ Achievement of objectives (the extent to which the project's environmental and development objectives were achieved)
  - Implementation Approach
  - Stakeholder Participation/Public Involvement
  - Sustainability
  - Monitoring & Evaluation.

Terminal evaluations should present and analyze main findings and key lessons, including examples of best practices for future projects in the country, region and GEF (technical, political, managerial, etc.). Evaluations should also have an annex explaining any differences or disagreements between the findings of the evaluation team, the IA/EA or the GEF recipient organization. Note that a terminal evaluation is not an appraisal of a follow-up phase.

The main stakeholders of this evaluation are three-fold:
- The GEF family from GEF Council through GEF Secretariat, the GEF Implementing Agency staff in UNDP GEF from HQ, Regional Field Staff and UNDP Country Office Staff.
- Government Agencies with a stake in the sustainable use and conservation of biodiversity, from national policy makers and decision makers, technical agencies to decentralised field staff. These link to the Non-Government Partners in project implementation, in particular in regard to livelihood activity.
- The local communities who were seen as one group of primary beneficiaries of the project, and who bear the direct costs of forest conservation.

Methodology or Evaluation Approach
The methodology to be used by the evaluation team may include information gained from:
- Documentation review (desk study);
- Field and office interviews;
- Field visits and field group discussions / debates;
- Questionnaires;

- Participatory techniques and other approaches for the gathering and analysis of data.

Products Expected from the Evaluation

As per the general introduction, the overall or primary objective of the evaluation is to review the extent of impact (measured in terms of sustainable outcomes) on the project's objectives and outputs. A second objective is to identify strengths and weaknesses in implementation so as to derive lessons for future project programming. A third objective is to assess the opportunities for replication and multiplier effects.

In addition, the international and regional policy context in which the project operates has seen significant evolvement in recent years. This includes the approval of the Millennium Development Goals (MDGs), Water, Energy, Health, Agriculture and Biodiversity Framework (WEHAB), following the Johannesburg World Summit on Sustainable Development, and articulation of the New Plan for African Development (NEPAD). An extra emphasis of the evaluation will be on providing suggestions as to how such forest projects can link to such global policy processes.

More specifically, the Terminal Evaluation will undertake the following tasks:

- Assess progress towards attaining the project's national and global environmental objectives. Assess progress towards achievement of project outcomes in particular. The effectiveness of these actions given the available funding will be considered.
- Describe the project's adaptive management strategy – how have project activities changed in response to new conditions, and to the TPR process; and, have the changes been appropriate, in particular to the issue of capacity and capacity building.
- Review the clarity of roles and responsibilities of the various agencies and institutions and the level of co-ordination between relevant players. In particular to review the capacity and performance of the project secretariat components at district, national and regional level.
- Assess the value of the contracted activity, via Civil Society, Academia and Government in this project (note that it varies from country to country); and comment on the advantages disadvantages in the use of such partnerships in implementation.
- Assess the importance of the regional process in this project, as to the appropriateness of project design, and derive lessons for further projects with regional or cross-border interests.
- Assess the level of public (stakeholder from community to academia) involvement in the project and conclude as to whether this involvement has been appropriate to the goals of the project.
- Describe and assess efforts of UNDP (CO and UNDP-GEF) in support of the project implementation.
- Review and evaluate the extent to which project impacts have reached or still have the potential to reach the intended beneficiaries.
- Assess the level of sustainability of project outcomes and describe the key factors that have affected such sustainability. Assess the likelihood of continuation of project outcomes and benefits after completion of GEF funding.
- Assess whether the Logical Framework Approach (LFA) and performance indicators have been used as project management tools; and review the implementation of the project's M and E plans.
- Describe the main lessons that have emerged in terms of:
  - Strengthening country ownership / and country drivenness;
  - Strengthening stakeholder participation, and the use of partnerships in implementation;
  - Application of adaptive management strategies;
  - Efforts to secure sustainability;
  - Knowledge transfer; and

- Role of M&E in project implementation.

In describing all lessons learned, an explicit distinction needs to be made between those lessons applicable only to this project, and lessons that may be of value more broadly, including to other ICD projects.

Implementation Arrangements
The evaluation will be conducted by an international consultant team of two, recruited for a period of 21 days. UNDP-GEF will finalize the TOR with FAO who will recruit the consultant team. The project and UNDP country offices in consultation with FAO will be responsible for logistical arrangements (setting up meetings, organizing travel).

The evaluation will commence on 24 November 2003, and will present key findings to the Project TPR in mid-December 2003, and a draft report by 20 December 2003. A Final Report will be submitted to FAO and UNDP no later than 31 December 2003; incorporating a response to comments on the first draft, provided by UNDP, Governments of Kenya, Tanzania and Uganda and the project.

The evaluation will be conducted in a participatory fashion. The primary purpose of the evaluation is to document lessons learned from project implementation. For this to happen all stakeholders must fully understand and identify with the evaluation report, even if they might disagree with some of the contents. The evaluation will start with a review of the key project documentation including key reports and correspondence. It will include visits to Project Offices, the relevant offices of Government and selected national partners and stakeholders, with interviews (by phone if necessary) with key individuals both within the project, UNDP, the government, and independent observers of the project and its activities, as well as implementing and executing agency personnel. Field visits to project sites will also be conducted to view activities first hand and to meet with site contractors, local leaders, and local government officials.

Annex 2. **ITINERARY**

Sun 23 Nov		Travel to Arusha (JT, YM)
Mon 24		Arusha; meet RTA and NPM, read documents; project overview
Tue 25		Arusha; read documents, broad questions; meet past NPM, UNDP CO
Wed 26		Arusha; read documents, broad questions
Thur 27	AM	Fly to Bukoba via Mwanza
	PM	Meet FPO in Bukoba
Fri 28	AM	Bukoba; meet District team/Steering Committee
	PM	Minziro; tree planting, handicrafts, stoves
Sat 29	AM	Minziro, forest walk, forest boundary, village meeting/Environment Ctte.
	PM	drive to Kyotera via Mtukula border, meet Uganda NPM
Sun 30	AM	Kyotera, with village and NGO partners, forest walk
	PM	Forest walk, Tz–Uganda football match
Mon 1 Dec	AM	Kyotera, meet District Steering Committee
	PM	Drive to Kampala, Meet UNDP CO
Tue 2	AM	Kampala; meet NPC in NEMA, meet Karamoja FPOs
	PM	National Steering Committee meeting at NEMA
Wed 3	AM	Visit MUIENR Makerere, Nature Uganda, Forestry Dept.
	PM	Fly Kampala/Nairobi
Thur 4	AM	Nairobi; courtesy call NEMA, meet with Turkana/Taita FPOs
	PM	Discussion Group
Fri 5	AM	Nairobi, courtesy call on UNDP and Ministry
	PM	Regional Partners ACTS/IUCN/partners EAWS/ITDG
Sat 6	AM	Drive Nairobi/Namanga, meet District & Site Team
	PM	Namanga, field visits - crafts, beekeeping, stoves, soil blocks, hay
Sun 7	AM	Namanga, community meeting at Oremanie water scheme
	PM	Visit water intake, Namanga mountain
Mon 8	AM	Drive Namanga /Arusha, via Longido
	PM	NPM
Tue 9		Arusha, Public Holiday - Monduli Forest
Wed 10	AM/PM	Day in Monduli; meet District officials, communities, AIA interventions
Thur 11		Reading documents
Fri 12	AM	Visit MS-TCDC Training Centre
	PM	Reading documents
Sat 13		Report writing
Sun 14		Presentation/report writing
Mon 15		Presentation/report writing, meet NPMs
Tue 16		TPR meeting, present findings
Wed 17		YM returns Kampala; JT report writing
Thur 18		JT report writing
Fri 19		JT report writing
Sat 20	AM	JT fly to Johannesburg
Sun 21	AM	JT fly JHB to Bulawayo

Annex 3. **PERSONS MET**

Tanzania
Mr Iddi **Hassan**, Forest Officer, Monduli District
Dr John **Hough**, Principal Technical Advisor – Biodiversity, UNDP-GEF New York
Mr Solomon **Kalage**, CBBP FPO, Same
Mr M.P. **Lubambula**, Resident District Executive Director, Monduli
Ms Gertrude **Lyatuu**, UNDP Environment Officer, UNDP-CO Dar es Salaam
Mr Adolf **Matungwa**, National Project Manager, CBBP, Tanzania
Mr John Munyoli **Musyoka**, Training Centre for Development Co-operation, Arusha
Dr Alan **Rodgers**, CBBP Regional Technical Advisor, Arusha
Mr John **Salehe**, WWF Eastern Africa Regional Programme Office, Nairobi. Previously National Project Manager Tanzania
Mr James **Yonazi**, Assistant FAO Representative, Dar es Salaam
Dr Sejah **Woral**, WWF-UK trainer, MS-TCDC, Arusha

Minziro Site
Mr Abdu **Banobi**, Woodlot farmer, Kyaka
Mr **Chimagu**, Council counterpart to CBBP FPO, Bukoba
Mr M.K.F. **Kabairuka**, Engineer, Bukoba
Dr Feliciano **Kilahama**, Principal Forest Officer, Forestry & Bee-keeping Division, DSM
Ms **Maagi**, Regional Natural Resources Officer, Bukoba
Mr Z. **Mbyana**, DED Bukoba
Mr **Munyambo**, District Forest Officer, Bukoba
Ms Goody **Pamba**, District Natural Resources Officer, Bukoba (formerly FPO, Minziro)
Mr Pantaleo **Pelegrino**, Nursery operator, Kyaka
Mr Antoon **Vergroesen**, District Development Advisor (Dutch bilateral assistance), Bukoba
Ms Emelda **Wilson**, housewife, Kakindo village

Monduli / Longido sites
Mr Peter **Kakane**, Divisional Secretary, Ketumbeine Division
Mr John **Lukumay**, Village Executive Officer, Longido Village
Sister **Maria**, Sister-in-Charge, Mariele Mission, Namanga
Mr Alais **Meing'arana**, local Co-ordinator, Fridkin Conservation Fund, Longido
Mr Jonathan **Mollel**, Divisional Secretary, Longido Division
Mr Ally **Mwako**, Longido Cultural Tourism Programme
Mr Moroko **Saruni**, Village Chairman, Longido Village

Uganda
Kampala
Dr Henry **Aryamanya-Mugisha**, Executive Director, NEMA, Kampala
Mr Achilles **Byaruhanga**, Executive Officer, Nature Uganda, Kampala
Ms Alexandra **Karekaho**, UNDP-CO Uganda
Dr. Pantaleo **Kasoma**, Director, MUIENR
Mr Kaiire **Kitawu**, District Forest Officer, Kotido District
Mr Ambrose **Kyaroki**, Acting Commissioner, Forest Department
Mr Xavier **Mugumya**, Field Project Officer, Moroto
Mr Edward **Mupada**, National Technical Officer, CBBP, Uganda
Mr Robert **Nabanyumya**, National Project Manager, CBBP, Uganda
Ms Jane **Npiima**, Programme Officer, UNDP-CO Uganda

Mr Pope **Onen**, Forest Officer, Forest Department
Dr Joseph **Opio-Odongo**, Environmental Policy Advisor, Nairobi
Prof Derek **Pomeroy**, MUIENR
Mr Godber **Tumushabe**, lawyer, previously with ACTS, Nairobi

Rakai Site
Mr Philemon **Mubiru**, Chief Administrative Officer, Rakai District
Mr George **Alele**, Communications Specialist, COMPACT Associates
Mr Wilfred **Asiimwe**, Assistant Project Manager, VI Agroforestry, Rakai
Mr James **Byamukama**, District Forest Officer, Masaka District
Mr Deziderious **Irumba**, Forest Officer/Collaborative Forest Management, Forest Dept. HQ
Mr Tony **Katende**, Botanist, Makerere University
Mr Joseph **Kibi**, Chairman, Kigazi Village CFM Committee
Mr Peter **Kiyonga**, Environment Officer, ICR Rakai
Ms **Koyana**, farmer, Rakai
Mr Paulino **Mpagi**, Chairman, Nkalwe Village CFM Committee
Mr Paul **Mubiru**, Chief Executive Officer, Rakai
Ms Florence **Muhangi**, Programme Co-ordinator, ICR, Rakai
Mr Jeconious **Musingwire**, Principal Environment Officer, Mbarara District
Mr Godfrey M. **Muteesasiro**, Agricultural Officer, Kabira
Ms Rennie **Naguti**, Assistant M & E Officer, VI Agroforestry, Rakai
Mr Vincent **Ssemakula**, LC V Chairman, Rakai
Mr Musisi **Ssessanga**, District Information Officer, Rakai District
Mr John **Tamale**, RDC Office, Rakai
Mr Fred **Wambi**, Project Officer, IRDI, Rakai District
Ms Irene **Winifred**, VI Agroforestry, Rakai

Kenya
Ms Jacinta **Abenyo**, Field Officer, ITDG, Turkana
Mr Mohamud Sheikh **Adan**, Project Manager, Conflict & Disaster Management, ITDG, Nairobi
Mr Elijah **Agevi**, Regional Director, ITDG, Nairobi
Mr Mohamud **Ali**, FPO, CBBP, Kajiado
Ms Rose **Antipa**, Technical Officer, CBBP, Nairobi
Mr Francis **Karanja**, Programme Officer, IUCN EARO, Nairobi
Mr Mathias **Keah**, former GEF Council Member, East Africa Region, Nairobi
Mr Ben **K'Omudho**, former Director NES and National Project Co-ordinator, Kenya
Mr Eric **Kisiangani**, Regional Director, Intermediate Technology Development Group, Nairobi
Mr Moses **Lokong**, FPO, CBBP, Turkana
Ms Isabella **Masinde**, ITDG, Nairobi
Mr Simon **Mbarire**, National Project Coordinator, NES
Mr Ken **Moi**, FPO, CBBP, Taita Taveta
Mr James **Muligombe**, EAWLS
Dr A. Muusya **Mwinzi**, Director, Environ. Educ., Inform. & Public Participation, Mombasa
Mr Charles **Nyandiga**, UNDP-CO, Nairobi
Mr Archie **Nzano**, Senior Deputy Secretary/Admin, Ministry, Nairobi
Mr Benson **Ochieng**, ACTS
Mr George **Ondenge**, National Project Manager, CBBP, Nairobi
Ms Joyce **Onyango**, GEF National Focal Point
Mr Ben **Wandago**, Conservation section, Forest Department, Nairobi

Namanga
Mr **Mwangi**, District Environment Officer (NES), Kajiado
Mr Anthony **Njogu**, ITDG, Kajiado

Annex 4. BRIEF ACCOUNT OF FIELD VISITS

The Evaluators visited four out of the eight project sites between 27 November and 10 December, including four days of meetings in Kampala and Nairobi. The sites visited were Minziro Forest (Bukoba District, Tanzania) and Sango Bay forests (Rakai District, Uganda), Namanga Mountain (Kajiado District, Kenya), and Longido and Monduli mountains (Monduli District, Tanzania).

A meeting was held in Bukoba with many of the council executives and district government officials, the District Project Steering Committee, in which they outlined the district-level situation. That afternoon a privately-owned tree nursery and a small private tree plantation (mostly Eucalyptus) were visited near Kyaka township, both set up with materials and technical support from the project. Others had been involved initially in the nursery, but had dropped out. At Kikundo Mission, near Minziro forest, a women's group – called Kasambiya – showed crafts manufactured from dried water hyacinth plants, fig bark and banana leaves. They ere helped by the project as an alternative income activity, and have been very successful and innovative.

In Minziro village the following day, we attended a Ward Environment Committee meeting with other representatives from 36 surrounding villages. The tasks of the Committee, and the successes in forest protection, were described. This was followed by a brief walk through part of the forest where previous cutting of *Afrocarpus dawei* and other trees was shown along with the potential of *Baikiaea insignis* for logging.

After crossing the Tanzania-Uganda border, we were given a comprehensive briefing on similar forests in Rakai District (Sango Bay area) by the District Forest Officer, who outlined the seven major outputs and early signs of impact. A drive across the acid grassland areas between forest blocks gave an overview of the environment and various land uses. Boundary demarcation by clearing between cadastral points and boundary marking by planting Eucalyptus was shown. A village-level CBO meeting was attended, where their forest conservation and awareness-raising activities were described, along with some of the crafts produced to raise their own funds . After this there was an international Cross-Borders football match between local teams from villages each side of the border, with about 1000 onlookers. Uganda won 1-0, although the winning goal was apparently scored by someone who had been living in Tanzania until the Boundary Commission redrew the border earlier in the year!

Representatives of three NGOs who are carrying out alternative livelihood activities under contract with the Cross Borders project were interviewed. VI Agroforestry (Swedish-based) were primarily interested in working on agroforestry in areas away from forests and felt constrained by existing forestry policies. They later withdrew from participation. IRDI (Integrated Rural Development Initiatives) are involved in tree planting, woodlots, tree nurseries and introducing sustainable agriculture. They have also been promoting the use of energy-saving stoves and helping set up CBOs. ICR (International Care and Relief) are also involved in raising community awareness through tree planting and conservation of fuel energy at the household level. They are mostly working with schools, complementing IRDI who are working at household level. The latter two NGOs performed commendably well and achieved much. In all cases the Cross borders project worked with NGOs that were already known and working in the area, and built on their strengths.

Before leaving for Kampala a meeting was held with the Rakai District Chief Administrative Officer and some senior government employees. One of the main issues in the discussion was the claim on much of the Forest Reserve land by Sango Estates Ltd, who held a Crown Lease

dating from the 1930s that fell into abeyance in the 1970s. They now wish to take possession again and expand sugar plantations and also plant Eucalyptus extensively in the grassland areas, effectively nullifying much of the community involvement in project and Forestry Department activity over the last five years.

In Kenya at the Namanga Mountain project site, we attended a site group briefing where presentations were made by NGOs involved in policy analysis, analysis of economic values of forest products and services, alternative livelihood interventions, and provision of water. A number of alternative income activities carried out mostly by ITDG were visited in the surrounding Maasai communities – improved bee-keeping, craft making for tourists, manufacture of mud-bricks, hay harvesting and baling. The following day the Ormanie Water Scheme was visited, where the project had engaged a contractor to place pipes from an existing spring on the mountain slopes to a large water reservoir and series of drinking troughs. This would stop cattle going up the mountain and causing soil erosion as they went to drink. The level of local commitment, the costing and management systems, and the sharing of water with adjacent communities in Tanzania is commendable.

At Longido Mountain, over the border in Tanzania bit in a similar Maasai community. We were shown biogas digesters put in by a contractor under the project (although these were just in few houses of community leaders) and an impressive array of bead and similar handicrafts. The cultural and ecotourism initiative, in conjunction with the Dutch SNV agency, showed much promise. Again, the main forest value was the protection of water supply, and a strong link had been made between protection of the forest (no illegal cutting, no fires) and the flow of adequate water for humans and livestock throughout the year.

Some days later, the Evaluators visited activities around Monduli township on the slopes of Monduli Mountain. This is a District centre and almost an urban, not rural, environment. A women's group was renting land off the Forest Department to raise seedlings of a number of tree species – for wood and pole production as well as amenity planting. Government institutions are buying these at what appears to be less than they can produce it for themselves. A nearby private plantation of *Grevillea*, mostly grown for timber and poles, was seen, along with efforts to plant a range of trees (mostly exotic) on degraded burnt forest land. A number of biogas generators were visited. Some were using cattle manure, others used Jatropha seed cake brought in by truck from the factory at Arusha. A group meeting was attended where various interest groups and District government officers outlined their views and activities. This was prefaced by a comprehensive and impressive demonstration by a local company, Kakute, and a women's group who do much of the work, on oil extraction from Jatropha seed and manufacture of soap from it.