



## **PROJECT TERMINAL EVALUATION**

### **“Securing Watershed Services through Sustainable Land Management in the Ruvu and Zigi Catchments in Tanzania”**

**UNDP PIMS 5077**

**GEF ID 5463**

**GEF FOCAL AREA: LAND DEGRADATION**

**STRATEGIC PROGRAM OF GEF 5:**

**LD3 REDUCE PRESSURES ON NATURAL RESOURCES FROM COMPETING LAND USES IN THE WIDER LANDSCAPE**

**IMPLEMENTING AGENCY: The Ministry of Water Resources**

**REGION: AFRICA**

**COUNTRY: TANZANIA**

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from 11 November 2020 – 10 March 2021  
Report submitted on 3<sup>rd</sup> March 2021

## ACKNOWLEDGEMENTS

The Evaluation Team is grateful for the support and cooperation of all stakeholders during the Terminal Evaluation. The evaluators recognize and thank officials in the Department of Environment in the Vice President's Office, Ministry of Water, the Project Coordination Unit (PCU) and the UNDP Country Office for the efficient and professional support they provided during this review. The team acknowledges the technical and organizational support provided by the Project Coordinators, and the Project Finance and Administration Officers for organizing travel and consultation meetings with stakeholders. The UNDP Tanzania Country Office Environment Sustainability, Climate Change & Resilience Pillar deserves a special mention for the professional manner in which they facilitated the evaluation process. We also thank the Wami-Ruvu and Pangani Water Basins' Officers and their technical teams for facilitating the field visits and providing necessary information. We appreciate the participation of the Focal Persons for Local Government Authorities in Morogoro and Tanga Region, DAWASA, MORUWASA, Tanga UWASA, National Land Use Plan Commission and line Ministries and demonstration of the field progress.

### **Disclaimer**

This evaluation was carried out while some activities were still in progress, therefore actual results may differ therefore such results will be considered out of the scope of this evaluation.

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## ACRONYMS

<b>APR</b>	<b>Annual Project Report</b>
<b>BWB</b>	Basin Water Board
<b>BWO</b>	Basin Water Office
<b>CO</b>	(UNDP) Country Office
<b>CSO</b>	Civil Society Organization/ Community Based Organization
<b>DAWASA</b>	Dar es Salaam Water and Sanitation Authority
<b>DC</b>	District Council
<b>DoE</b>	Division of Environment (in the Vice President's Office)
<b>EAMCEF</b>	Eastern Arc Mountains Conservation Endowment Fund
<b>EPWS</b>	Equitable Payments for Watershed Services
<b>FNR</b>	Forest Nature Reserve
<b>GEF</b>	Global Environment Facility
<b>GIS</b>	Geographical Information System
<b>IFS</b>	Integrated Funding Strategy (for SLM in Tanzania)
<b>IGA</b>	Income Generating Activities
<b>ILUMP</b>	Integrated Land Use Management Plan
<b>INRM</b>	Integrated Natural Resource Management
<b>IUCN</b>	International Union for the Conservation of Nature
<b>IWRM</b>	Integrated Water Resource Management
<b>JUWAKIHUMA</b>	Jumuiya ya Wakulima wa Kilimo Hai Usambara Mashariki (Organic Spice Grower's Association)
<b>JUWABODOMVU</b>	Jumuiya ya Watumia Maji Bonde Dogo Mvuh
<b>LD</b>	Land Degradation
<b>LGA</b>	Local Government Authority
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MA</b>	Ministry of Agriculture
<b>MASL</b>	Meters above sea level (altitude)
<b>MDA(s)</b>	(Government) Ministries, Departments and Agencies
<b>MDG</b>	Millennium Development Goal
<b>MLFD</b>	Ministry of Livestock and Fisheries Development
<b>MLHSD</b>	Ministry of Lands, Housing and Human Settlements Development
<b>MNRT</b>	Ministry of Natural Resources and Tourism
<b>MORUWASA</b>	Morogoro Urban Water Supply Authority
<b>MOW</b>	Ministry of Water
<b>MTR</b>	Midterm Report
<b>NAWAPO</b>	National Water Policy
<b>NGO</b>	Non-Government Organization
<b>NIM</b>	National Implementation (Modality)
<b>NLUPC</b>	National Land Use Planning Commission
<b>PBWB</b>	Pangani Basin Water Board
<b>PBWO</b>	Pangani Basin Water Office
<b>PC</b>	Project Coordinator
<b>PCU</b>	Project Co-ordination Unit
<b>PES</b>	Payment for Ecosystem Services
<b>PIR</b>	Project Implementation Report
<b>PLUM</b>	Participatory Land Use Management

<b>PPG</b>	Project Preparation Grant
<b>PO-RALG</b>	President's Office – Regional Administration and Local Government
<b>PSC</b>	Project Steering Committee
<b>RAS</b>	Regional Administrative Secretary
<b>RCU</b>	Regional Co-ordination Unit (of the UNDP)
<b>REDD</b>	Reduced Emissions from Deforestation and Forest Degradation
<b>SLM</b>	Sustainable Land Management
<b>SRF</b>	Strategic Results Framework
<b>TANGA-UWASA</b>	Tanga Urban Water and Sanitation Authority
<b>TFS</b>	Tanzania Forest Service
<b>TT</b>	Technical Team
<b>TZS</b>	Tanzanian Shilling
<b>UNDAP</b>	United Nations Development Assistance Plan
<b>UNDP</b>	United Nations Development Programme
<b>UWABODOMVU</b>	Umoja wa Watumia Maji Bonde Dogo Mvuha
<b>UWAMAKIZI</b>	Umoja Wa Wakulima Wahifadhi Mazingira Kuphuhwi-Zigi (Farmers Association)
<b>UWASA</b>	Urban Water Supply and Sanitation Authority
<b>VNRC</b>	Village Natural Resource Committee
<b>VPO</b>	Vice President's Office (of the Government of Tanzania)
<b>WAKUAKUVYAMA</b>	Wakulima wa Kuhifadhi Ardhi na Kutunza Vyama vya Maji – or 'farmers for soil and water-source conservation', a farmer's association and registered NGO
<b>WRBWB</b>	Wami-Ruvu Basin Water Board
<b>WRBWO</b>	Wami-Ruvu Basin Water Office
<b>WUA</b>	Water User Association
<b>WWF</b>	World Wildlife Fund

# EXECUTIVE SUMMARY

## PROJECT INFORMATION TABLE

Project Details		Project Milestones	
<b>Project Title:</b>	Securing watershed services through SLM in Ruvu and Zigi catchments (Eastern Arc Region)	PIF Approval Date:	November 7, 2013
<b>UNDP Project ID (PIMS #):</b>	5077	CEO Endorsement Date (FSP) / Approval date (MSP):	May 19, 2015
<b>GEF Project ID:</b>	5463	ProDoc Signature Date:	March 30, 2016
<b>UNDP Atlas Business Unit, Award ID, Project ID:</b>	Atlas Award 00086631/Atlas Project ID 00093855	Date Project Manager hired:	November 2015; & replaced in September 2019
<b>Country/Countries:</b>	Tanzania	Inception Workshop Date:	February 19, 2016
<b>Region:</b>	Regional Bureau for Africa (RBA)	Mid-Term Review Completion Date:	September 13, 2018
<b>Focal Area:</b>	Land Degradation	Terminal Evaluation Completion date:	March 13, 2021
<b>GEF Operational Programme or Strategic Priorities/Objectives:</b>	Land Degradation, LD 3; <i>Reduce pressures on natural resources from competing land uses in the wider landscape</i>	Planned Operational Closure Date:	March 29, 2021
<b>Trust Fund:</b>	GEFTF		
<b>Implementing Partner (GEF Executing Entity):</b>	Ministry of Water <sup>1</sup> (MOW), DAWASA, Tanga-UWASA, National Land Use Planning Commission		
<b>NGOs/CBOs involvement:</b>	WARIDI, ONGAWA		
<b>Private sector involvement:</b>	VODACOM TZ FOUNDATION		
<b>Geospatial coordinates of project sites:</b>	<b>Location of Zigi catchment</b> UTM: 453498 to 511203 E and 9418822 to 9469564 N Latitude and longitude: -5.26 S, 38.57 E to -4.79 S, 39.10 E	<b>Location of Ruvu catchment</b> UTM: 308640 to 495356 E and 9140953 to 9303494 N Latitude and longitude: -7.77 S, 37.27 E to -6.3 S, 38.96 E	

<sup>1</sup> Formerly Ministry of Water and Irrigation



## PROJECT FINANCIAL INFORMATION

Financial Information		
PDF/PPG	at approval (US\$M)	at PDF/PPG completion (US\$M)
GEF PDF/PPG grants for project preparation	100,000	74,059
Co-financing for project preparation	0	0
Project	at CEO endorsement (US\$M)	at TE (US\$M)
[1] UNDP contribution:	\$2,000,000	1,756,655
[2] Government:	\$20,000,000	9,303,785
[3] Other multi-/bi-laterals:	0	0
[4] Private Sector	0.00	125,000
[5] NGOs: (ONGAWA, WARIDI)	ONGAWA -0	88,456
	WARIDI -0	20,000
[6] Total co-financing [1+2+3+4+5]:	\$22,000,000	11,293,896
[7] Total GEF funding:	\$3,648,858	3,648,858
[8] Total Project Funding [6+7]	\$25,648,858	14,942,754

The project “Securing Watershed Services through Sustainable Land Management in Ruvu and Zigi catchments (Eastern Arc Region), Tanzania” was designed to promote Sustainable Land Management (SLM), reducing land degradation, upholding ecosystem services, and improving livelihoods in Ruvu and Zigi catchments in the Eastern Arc Mountains of Tanzania.

The forests in the project’s catchments are internationally recognized carbon sinks containing significant biological diversity. The watersheds provide important ecosystem services that are increasingly negatively impacted by human activities such as illegal mining and harvesting as well as poor-use of fires, resulting in land use change and land degradation. The high poverty rates, increasing population growth, low compliance levels with water-use regulations, insufficient infrastructure in providing clean water to local communities, and lack of coordination between the organizations operating in the catchments further aggravated the situation. This resulted in a decline of the quality and quantity of water to the Ruvu and Zigi river catchments, weakening the ecosystem services and functions and causing water shortages for communities.

Though baseline interventions were implemented, deforestation and land degradation rates remained high in the Ruvu and Zigi catchments. SLM could provide both a short-term and long-term approach for the Government of Tanzania (GoT) to address the overlapping issues of land degradation, poverty, and water security. However, the Government is limited in its ability to integrate SLM in watershed management due to (i) a lack of a collaborative institutional framework that enables water basin authorities and stakeholders to effectively plan, monitor and adapt land management and leverage investments for SLM; ii) staff, resource and technical capacity deficits; and iii) inadequate demonstrated experiences in integrated watershed management approaches at the landscape level.<sup>2</sup>

The project addresses these barriers, through two components, as outlined in the ToR and Annex B.

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<sup>2</sup> PRODOC PIMS 5077 Securing Watershed through SLM in the Ruvu and Zigi catchments (Eastern Arc), Tanzania Project Document

- **Component 1:** Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component is focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.
- **Component 2:** Reducing the effects of land degradation on watershed services and improving livelihoods through landscape-level uptake of SLM measures. Work under this component of the project is focused on implementing practical SLM interventions that address land degradation and degradation of watershed services in forests, rangelands and on arable land, whilst improving livelihoods through the uptake of sustainable land use management practices and alternative sustainable livelihoods.

**Table 1-1 Summary of Project Components, Outcomes and Outputs**

<b>Component 1: Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component is focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.</b>	
<b>Outcome 1: Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resources Management in the Ruvu and Zigi catchments</b>	<b>Output 1.1:</b> Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.
	<b>Output 1.2:</b> Multi-stakeholder committees are established (or strengthened) and active in promoting co-ordination and dialogue in support of mainstreaming of SLM into other sectors, programs and policies.
	<b>Output 1.3:</b> Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the Wami-Ruvu and Pangani river basins.
	<b>Output 1.4:</b> Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to identify and prosecute water and land-use infringements and harness greater compliance.
<b>Outcome 2: Finances available for SLM investment are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions</b>	<b>Output 2.1:</b> New streams of public finance are identified and accessed.
	<b>Output 2.2:</b> Sectoral (forestry, agriculture and water) allocations to SLM are re-aligned.
	<b>Output 2.3:</b> The effectiveness of SLM investments is improved.
<b>Component 2: Reducing the effects of land degradation on watershed services and improving livelihoods through increased landscape level adoption of SLM measures in the Ruvu and Zigi catchment.</b>	
<b>Outcome 3: Institutional capacity is built for promoting sustainable land and forest management in support</b>	<b>Output 3.1:</b> The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices, regional offices of line ministries and local government institutions.

<b>of IWRM in the Ruvu and Zigi Catchments</b>	<b>Output 3.2:</b> The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions.
	<b>Output 3.3:</b> Extension services are capacitated to promote uptake of SLM and promote sustainable livelihoods.
<b>Outcome 4: Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods.</b>	<b>Output 4.1:</b> Sustainable land management practices promoted, and natural rehabilitation facilitated in 10,000 ha of forest.
	<b>Output 4.2:</b> Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages.
	<b>Output 4.3:</b> Sustainable livestock management technologies developed and tested and infrastructure developed to operationalize SLM in rangelands.

The project focus is on the coordination, development and management of land, water, and other resources as well as on improving livelihoods in an equitable and sustainable way. In addition, the project works to build the capacity of water basin authorities and water users to overcome the challenges they face in addressing the causes of land degradation and to come up with solutions, working from existing baselines of intervention and building on institutional capacities, that integrate SLM into watershed management in the project areas.

The total project budget is USD \$27,648,858 with the Global Environment Facility (GEF) financing USD \$3.649 million, the UNDP country office cash co-financing USD \$2 million, and the Government of Tanzania providing USD \$22 million, consisting of both cash and in-kind co-financing. The Government and UNDP signed the Project Document in March 2016 with a project end date of 2020.

The primary project implementing partner is the Ministry of Water (MOW), supported by stakeholders such as the Vice President's Office Environment Division, National Land Use Planning Commission (NLUPC), Tanga-UWASA, DAWASA, MORUWASA, PBWB & WRBWB, MOA, MOE, MNRT, MLHHS and local authorities in the two water catchments.

# KEY FINDINGS

Evaluation Ratings	Rating <sup>3</sup>
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>HS</b>
M&E design at entry	HS
M&E Plan Implementation	HS
Overall Quality of M&E	HS
<b>2. Implementing &amp; Execution</b>	<b>S</b>
Quality of UNDP Implementation/Oversight	HS
Quality of Implementing Partner Execution	S
Overall quality of Implementation/Execution	S
<b>3. Assessment of Outcomes</b>	<b>S</b>
Relevance	HS
Effectiveness	S
Efficiency	S
Overall Project Outcome Rating	S
<b>4. Sustainability</b>	<b>ML</b>
Financial Sustainability	ML
Socio-Political Sustainability	L
Institutional Framework and Governance Sustainability	L
Environmental Sustainability	L
Overall Likelihood of Sustainability	ML

<sup>3</sup> **Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance:** Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU); Unable to Assess (U/A).

**Sustainability Rating:** Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U); Unable to Assess (U/A).

# SUMMARY OF FINDINGS, CONCLUSIONS AND LESSONS LEARNED

## FINDINGS

- i. The project benefited immensely from broad stakeholder engagement and drawing lessons from other relevant projects during formulation leading to the creation of enduring partnerships, government ownership and commitment. For instance, the design of the project featured activities that had been successfully supported by the Eastern Arc Mountains Conservation Endowment Fund such as alternative livelihoods like beekeeping, spice-growing implemented in the West and East Usambaras and the Uluguru Mountains. The project also adopted the approach piloted successfully by the Ujamaa Community Resource Team in northern Tanzania on establishing land use plans.
- ii. The project formulation process enabled a large number of stakeholders to understand water and environmental conservation and share the vision of the project. However, the project design could have benefited more from an early theory of change which could have further strengthened the ability to adequately verify the project logic and create a shared vision of the intended impact. The need for sustainable and predictable financing for SLM was clearly identified as critical and the project design included a proposal to set up the SLM fund. Formulating a theory of change at the design stage could have enabled identification of the legal and technical barriers to setting up the fund although this TE notes the ongoing efforts and promising prospects for future financing of SLM.
- iii. This project had a high degree of relevance and this made gaining stakeholder support and establishing partnerships easier. The Midterm Report (MTR) pointed out that the project may have been over ambitious to have 13 outputs and 69 groups of activities over the two basins. However, the findings of this TE are that the project was able to leverage a large number of partners (20) to support the implementation of the project hence the number of activities was not a problem.
- iv. The design of the project governance is an important factor in the success of the project—it represented country ownership and commitment. More importantly roles and responsibilities were clearly defined in the Project Document with a Project Coordination Unit (PCU) supported by a Technical Team (TT) and a Project Steering Committee (PSC). The effectiveness of the PSC reduced delays and ensured project outputs were achieved with as much efficiency as possible.
- v. The project was successful in supporting a large number of institutions and partnerships to set up operational Water Users Associations (WUAs) and supporting committees, work with local communities in developing income generating activities (IGAs) for small livestock, beekeeping, promotion of energy saving cookstoves, and participation in forest restoration activities. These initiatives have resulted in improved livelihoods for participating communities, stronger ownership of natural resource guardianship, and creative instruments for accessing micro-finance to promote broader participation of women.
- vi. The role of the private sector was recognized in the project design but the practical measures to adequately engage the private sector during implementation were somewhat minimal, and this is

attributed in part to the absence of relevant and enabling policies and regulations. This is an important aspect that needs be pursued beyond the project life. As setting up the SLM Fund is no longer an option, there is an opportunity to pursue Payment for Ecosystem Services (PES) and a possibility of establishing a Catchment Based Water Fund (e.g., Zigi Catchment Fund) involving large water users.

- vii. In general, the project achieved the key outcomes with a wide range of outputs. This is an important step towards mainstreaming SLM. A large proportion of the outputs demonstrate significant potential for wider uptake through upscaling. Therefore, an important next step is for the project partners to draw on the lessons and strategize for mainstreaming and contribute to upscaling beyond the tow catchments.

## CONCLUSIONS

- i. The TE's main conclusion is that this was a well formulated project with clear alignment to national priorities, to UNDP country program, and to GEF focal area – hence **highly relevant**. The design process allowed broad participation of stakeholders, a very high degree of collaboration and coordination and country ownership. This resulted in **effective and efficient** implementation and in the ability to fully disburse project funds and complete all activities planned and funds availed.
- ii. This TE also concludes that to create a more diverse, integrated landscape, finance will play an important enabling role, by mobilizing capital for both conventional and non-conventional landscape management systems which are desirable for their non-market benefits and creation of added public value. It is noted that both the Government and its agencies and UNDP are now making concerted efforts to mobilize funds and considerations are being made for different types of instruments and partnerships with the private sector. Increasing these financial flows not only supports the United Nations' Sustainable Development Goals (SDG), but fulfils specific targets related to sustainable finance within these goals. Specifically, the project forms part of Tanzania's pathway to fulfilling SDG 13 (Climate Action, Goal 15 (Life on Land) but the continuation and upscaling of the project's outcomes are essential.
- iii. The project demonstrated its ability to enhance institutional and partner capacities to implement SLM in the Ruvu and Zigi catchments with commitments to gender mainstreaming. The establishment of WUAs is an important achievement and an example for other catchments. However, the technical, financial and operational capacity of these WUAs will be important determinants of success.
- iv. The project has created high expectations among partners, communities and WUAs. The project has also demonstrated best practices in community participation in Integrated Water Resource Management (IWRM) via WUAs, including engaging WUAs in monitoring and evaluation processes, engaging previous practitioners of illegal activities in the WUAs and therefore guardians of the watershed. This momentum needs to be maintained to ensure benefits from IGAs continue to grow and to incentivize communities to continue to participate in SLM activities. One way to maintain the momentum is to mobilize resources to scale up and replicate activities as part of the mainstreaming process.
- v. The project's sustainability and overall SLM efforts in the country may continue to be at risk unless there is some certainty and predictability of funding underpinned by enabling national policies and regulatory instruments to broaden participation of actors such as the private sector. It is worth considering developing a deliberate fund mobilization plan and approach potential partners and consider private sector partnership through PES.

## LESSONS LEARNED

- i. **Project Design and Stakeholder Engagement:** Aligning project objectives outcomes to national priorities and engaging all relevant stakeholders early establishes understanding and shared values. Political commitment is necessary for projects that require complex solutions and potential resettlement of particular groups of the strict enforcement of regulatory instruments. Seventy-four experts, (61 male and 13 female) from District Executive Director's Offices in Korogwe, Muheza, Mkinga and Tanga City, NGOs, Water users in Zigi catchment, Legal officers, Pangani Basin Water Board, WUAs, Catchment Committee members, Regional Commissioner's office, Zonal Mining office, Amani Nature Reserve and Misozwe irrigation scheme jointly agreed on a strategy to address the persistent challenge of illegal mining at Kihara, the source of Zigi river through the recognition of the role of each stakeholder in the management of Zigi catchment.
- ii. **Significant Project Output Proposal:** During formulation it is important to identify significant proposal that have with wider implications or require policy or regulatory approval. The Project Document contained a proposal to set up the SLM Fund. This is a significant undertaking, which might require cabinet approval or a statutory instrument. A significant background analysis was necessary including seeking ministerial guidance considering that it also represented an important part of the project sustainability strategy.
- iii. **Village Land Use Management Plans.** The TE team observed that 20 Village Land Use Management Plans were developed to stage 4 (100%) and 6 Villages out of 20 Villages (30%) into stage 5 and 1 out of 20 villages (Ubiri in Korogwe) reached to stage 6 (100%), which is provision of Certificate of Customary Right of Occupancy. Discussions with stakeholders indicate that reaching stage 6 is complicated and a costly endeavor. Again, perhaps this process was underestimated and needed a more realistic assessment to determine accurate timelines. Land tenure security, be it individual or collective, is important as an incentive for protecting natural resources and stewardship.
- iv. **Understanding Government Priorities in relation to annual fiscal allocation:** Under outcome 2, the Project planned to increase SLM funding to 15% although the baseline was stated as zero. There are two issues that need to be observed here. A public expenditure review in 2016 estimated that the public expenditure for SLM related activities ranged from 0.5% -7% for the SLM sector ministries and around 20% for sector departments at Local Government. These estimates made the 15% target somewhat ambitious. The second aspect is that sometimes ministries and local government institutions do not get the full amount of fiscal allocation at the beginning of the financial year. In such cases, areas such as sanitation and health have higher priority than SLM and this compromises the ability of local institutions to fulfil their environmental management objectives.
- v. **Building partnerships takes time and sustained effort:** The TE notes that there are ongoing discussions with The Nature Conservancy and Vodacom Tanzania Foundation to support some activities for scaling up including the establishment of the Tanga Water Fund in collaboration with UNDP and the Government. The discussions seem to have been ongoing for a considerable amount of time. Although the discussions have led to preparation of concept notes, outlining a mode of collaboration, no partnerships have been agreed upon yet.



## RECOMMENDATIONS

REC #	TE Recommendation	Entity Responsible	Time Frame
A	<b>Category 1: Program Design</b>		
A.1	<i>While it is noted that all projects are now required to prepare theories of change at the design phase, the TE team further recommends that both risks and assumptions are explicitly stated and validated with stakeholders. During the project design, inadequate funding was identified as a key barrier to successful SLM but no further analysis was undertaken to validate other underlying assumptions such as policy and statutory limitations. Further questions should have been raised at that point to critically assess the underlying causes of inadequate funding and if any lessons could be learnt from previous attempts under REDD+.</i>	UNDP	Future projects: 2021 going forward
A.2	<i>Projects are encouraged to adequately use tools such as theories of change, problem tree analysis, or SWOT analysis to validate at the design phase and ensure adequate due diligence on significant output proposals that require high level intervention and or political support.</i>	UNDP	Future Projects: 2021 going forward
B	<b>Category 2: Sustainability</b>		
B.1	<i>The TE recommends the preparation of a consolidated resource mobilization strategy for SLM upscaling and can be used as a basis for discussions with potential partners. Upscaling of SLM activities following the completion of this project should be considered a primary priority that will enhance sustainability of the project activities either in the two catchments or beyond.</i>  <i>It is noted that project is facilitating the establishment of Tanga Water fund that is intended to take care of conservation activities in the catchment by mobilizing investments from water users and direct the funding toward the protection and restoration of key lands upstream. This is a good example that could form the basis for a fund mobilization strategy for other catchments</i>	MoW in close collaboration with Basin Waters Boards	By December 2021
B.2	<i>Competition for funding is increasing such that an assessment is necessary to determine the pros and cons of a focused fund or a multi-sectoral broad fund with innovative instruments such as a mix of grants, low interest loans that can attract private sector investments into SLM actions.</i>	MoW in close collaboration with the Department of Environment in VPO	By December 2021

B.3	<p><i>Assess options and measures to increase land tenure security to incentivize community-based environmental management stewardship.</i></p> <p><i>The complex process in developing Village Land Use Plans through to Stage 6 requires further assessment on how to enable villages achieve Stage 6 at a lower cost. The project was able to push one plan through to stage 6 over a period of 5 years suggest an extremely complex process.</i></p>	Land Use Commission in coordination with relevant local agencies	By June 2022
C	<b>Category 3: Results and Impact</b>		
C.1	<p><i>The project has prepared a wide range of knowledge products that provide valuable lessons for current and future policy decisions. It is highly recommended that a series of policy briefs be prepared and disseminated to policy makers and relevant stakeholders.</i></p>	UNDP in coordination with relevant national institutions	June 2021
C.2	<p><i>Lessons learned from the implementation of IGAs should also be widely disseminated in the form of guidelines to wider communities and beyond the project area.</i></p>	UNDP in coordination with relevant national institutions	November 2021

## 1 INTRODUCTION

### 1.1 PURPOSE AND OBJECTIVES OF THE EVALUATION

1. All full-sized projects (FSPs) supported by UNDP with grant funding from the GEF family of funds<sup>4</sup> must complete a TE at or near the project's end. The objective of the TE is to provide evidence, based on credible, reliable and useful information related to the achievement of the project's results (direct, indirect or intended), including gender mainstreaming and empowerment and to draw on lessons learned that can both improve the sustainability of benefits from this project and aid in the development of future projects. The purpose of the TE is to (i) verify and assess implementation and results; (ii) identify the project's success in order to promote replicability; (iii) promote accountability and transparency and evaluate the extent of project achievements; and (iv) provide a baseline for which similar projects can build upon, providing independent analysis on lessons learned.

### 1.2 SCOPE OF THE EVALUATION

2. The scope of the Terminal Evaluation (TE) is the assessment of the "Securing Watershed Services through Sustainable Land Management in Ruvu and Zigi catchments (Eastern Arc Region), Tanzania" project. The evaluation was based on data available at the time of evaluation and on outputs and outcomes delivered by the project from the time of inception in March 2016, until the time of closure End of March 2021. Project performance was measured against expectations, using the Logical Framework/Results Framework Annex A in the Terms of Reference (ToR) and the assessment criteria listed in the [Guidance for TEs of UNDP-supported GEF Financed Projects](#).
3. The purpose of the TE is as follows:
  - Verification and assessment of implementation and results
  - Identification of project's successes in order to promote replicability.
  - Draw lessons learned that can improve the sustainability of benefits from the project and support the overall enhancement of Government and UNDP programming
  - Promote accountability and transparency and evaluate the extent of project achievements; and
  - Provide a baseline for which similar projects can build upon, providing independent analysis on lessons learned.

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<sup>4</sup> GEF Trust Fund (GEF TF), Least Developed Countries Funds (LDCF), Special Climate Change Fund (SCCF), Nagoya Protocol Implementation Fund (NPIF), Capacity Building Initiative for Transparency (CBIT)

## 2 METHODOLOGY

4. The TE team used a mixed method approach to conduct the evaluation. In this instance, the TE team found it appropriate to apply a sequential mixed method approach which allows assessment of the project's quantitative data and results (explanatory) and qualitative data and results (exploratory) leading to interpretation to inform the thematic ratings. The evaluation employed both primary sources (interviews and focused group discussions) and secondary sources (project documents and reports) and reviewed qualitative and quantitative data for the purpose of triangulation.
5. Using a mixed methods approach allowed the TE team to corroborate quantitative and qualitative data and enhance credibility by understanding the full context from stakeholders' perspectives, increasing the diversity of views. This was the methodology agreed upon at the inception phase of the TE. The quantitative data was largely drawn from the project documents and it was observed that all project stakeholders in local government institutions referred to similar data from PIRs and other reports.
6. Different methodologies were combined to gather representative and reliable information in order to evaluate the project against the results framework provided in the ToR, to analyze the lessons learned, and to formulate conclusions and recommendations.
7. Given the constraints related to budget, time, and COVID-19 pandemic travel restrictions, the International Consultant worked remotely, and the National Consultant took responsibility for field work. The TE team held interviews with the staff from government agencies and the Project Coordination Unit (PCU) through video calls while the National Consultant conducted field visits and focused group discussions with local officials, communities, and beneficiaries. Focus group discussions were used as a qualitative approach to gain an in-depth understanding of social issues. The TE team aimed to obtain data from a purposely selected group of individuals rather than from a statistically representative sample of a broader population—in this instance, the TE team visited held discussions with groups of community representatives and local government authorities. The approach was to ensure individuals within groups were able to freely express their views and engage in dialogue facilitated by the TE team.
8. The TE team members shared and compared findings and examined any discrepancies between perceptions of stakeholders, field visit observations, and project documentation. The TE was conducted in close collaboration with the Ministry of Water, Wami-Ruvu and Pangani Basin Water Boards, and UNDP. The activity schedule, list of stakeholders interviewed, and field sites visited are listed in Annexes E and F.

### 2.1 DATA COLLECTION AND ANALYSIS

9. The TE team collected data through a desk review of project documentation, interviews and focused group discussions, using semi-structured questionnaires. From November 26 to December 4, 2020, the team held a virtual and in-person mission in which interviews, focused group discussions, and field site visits occurred. The team used several sources of data to conduct the evaluation. There are limitations to each type of data source. For example, project documents may only capture information on the project design and efficiency overall but not reflect the perceptions of the project beneficiaries at the project sites. In addition, project documents may differ from actual implementation. This was why the evaluators used a variety of data

sources to conduct the evaluation and to triangulate what was written in project documents with stakeholder interviews and discussions.

## **2.2 DESK REVIEW**

10. Prior to the in-person/virtual mission, the TE team reviewed project documents (PIF, PIRS, CEO Endorsement Request, etc.); project management tools (GEF tracking tools); monitoring reports (Mid-Term Review); Project Board meeting minutes; financial documents (audit reports, co-financing data,); and Social and Environmental Screening Procedures (SESP). A complete list of documents is listed in Annex D.

## **2.3 INTERVIEWS AND FOCUSED GROUP DISCUSSIONS**

11. Engagement with stakeholders was key to conducting a successful TE. A participatory and consultative approach ensured close engagement with the Project Team, government counterparts, implementing partners, UNDP Country Office(s), the Regional Technical Advisor, project beneficiaries and other stakeholders. Interviews and discussions with stakeholders included representatives from the Ministry of Water (in Dodoma); the Director of Water Resources; the District Council authorities in the two basins where the key project sites are located; members of the Project Steering Committee, including the Vice President's Office (VPO) – Division of Environment, National Land Use Planning Commission (NLUPC), Tanga Urban Water and Sanitation Authority (Tanga-UWASA), Dar es Salaam Water and Sanitation Authority (DAWASA), Morogoro Urban Water and Sanitation Authority (MORUWASA), Pangani and Wami-Ruvu Basin Water Boards (PBWB and WRBWB), Ministry of Agriculture, Livestock and Fisheries (MALF), Ministry of Energy (MOE), and TFS in the Ministry of Natural Resources and Tourism (MNRT). A complete list of interviewees is listed in Annex F.

## **2.4 FIELD VISITS**

12. The TE national consultant conducted missions in Dar es Salaam, Morogoro, and Tanga. Project sites visited are listed in Annex E. Video calls were held between the national and international consultant for updates and clarifications, following each meeting.

## **2.5 ANALYSIS**

13. After the in-country/virtual mission, the TE team collated and consolidated the emerging results from each data collection activity, to answer the questions in the evaluation criteria matrix (Annex G) and to identify the key overarching findings as well as specific results and conclusions.
14. The TE team triangulated information, including field data, perceptions, documents and validations, and other data sources. The analysis used responses from each of the questions or group of questions and determined the indicators for effectiveness, efficiency, cross-cutting issues, sustainability and potential impact. The evaluation criteria and the guiding questions were also aligned and designed to test the Theory of Change (ToC) and identified what factors could undermine the expected outcomes. There were multiple implementation strategies in the two catchments. Therefore, it was necessary to identify and analyze these implementation strategies in determining long-term impact.

15. At the end of the field mission, a round of short discussions with expert witnesses was conducted to assess the scope of the emerging results, conclusions and recommendations against best current international knowledge.

## **2.6 EVALUATION RATING CRITERIA**

16. The project was assessed according to the following performance components: Monitoring & Evaluation (M&E); Implementation and Execution; Assessment of Outcomes; and Sustainability. The project was evaluated and rated according to the TE Rating Scales in Annex J. The indicators and targets in the Strategic Results Frameworks served as reference point in which to evaluate and rate the components of the project's performance.
17. The TE also examined the project design and how it addressed the problems, barriers, and threats outlined in the Project Document. It also assessed the overall project strategy, the decision-making process, and to what extent project stakeholders and gender informed the overall project design.

## **2.7 ETHICS**

18. This evaluation was conducted professionally, independently and without bias in compliance with the United Nations Evaluation Group (UNEG) Ethical Guidelines for Evaluations (see the signed code of conduct attached in Annex J). The evaluators established a consultation process that was inclusive and appropriately contextualized and culturally sensitive with a focus on issues such as gender empowerment and fair representation of vulnerable group wherever possible. To ensure confidentiality and receive frank feedback from stakeholders, project staff and UNDP representatives were not present during interviews with project beneficiaries.
19. Every effort was made to reflect the inputs of stakeholders accurately and fairly in this report. The evaluation ratings, key recommendations and conclusions are those of the Evaluators and are not binding to any individual or institutional stakeholders.

## **2.8 LIMITATIONS TO THE EVALUATION**

20. One limitation to the evaluation was the large geographical area the project covered. The National Consultant was not able to visit every field site but rather a representative sample of field sites, which are listed in Annex E. Due to the COVID-19 pandemic it was not possible for the International Consultant to undertake an in-country mission because of travel restrictions. Interviews he conducted were done virtually using different platforms such as Zoom, Microsoft Teams and Skype. A minor limitation was the interruption in network connection during a few calls, but this did not impact the evaluation, as efforts were made to capture stakeholder views through allowing as much time as possible for conversations and in some cases follow-up calls were arranged. All listed stakeholders were interviewed. Those who could not be interviewed virtually were interviewed in-person by the National Consultant.

## **2.9 STRUCTURE OF THE EVALUATION REPORT**

21. The TE report follows the structure outlined in the ToR and in accordance with UNDP-GEF guidelines. The Executive Summary contains project information, a summary of findings, conclusions, lessons learned and

recommendations. Section 2 of the report describes the purpose and objective of the TE and how the evaluation was carried out. Section 3 of the report provides the project's background and context, the problems and barriers it sought to address, and its milestones. Section 4 of the report presents the evaluation's findings in terms of the project's design and formulation, implementation and results and impacts. Section 5 of the report includes the project's main findings, conclusions and lessons learned, providing advice on maintaining the sustainability of the project and on how lessons learned can be applied to future projects.

### 3 PROJECT DESCRIPTION

22. The project description is relatively clear and provides all relevant information supported by background analytical work. There is a sound demonstration of understanding of the development context, objectives, and the problem definition.

#### 3.1 DEVELOPMENT CONTEXT

23. Tanzania's economy relies heavily on water sources, whose continued flow is dependent on the health of the country's ecosystems. Agriculture is the largest sector in Tanzania and the main source for livelihoods. The sector is dominated by rain-fed farming and livestock, which are negatively affected by unreliable rainfall and poor water management systems. Tourism and fisheries provide Tanzania with the largest foreign exchange earnings and are highly dependent on healthy ecosystems, which rely on water flows. The country faces the challenge of balancing the demands of multiple water users such as domestic water for human needs, ecosystems goods and services for livelihoods, irrigation, and hydropower. This has led to the unsustainable use of water, land, and unsustainable production practices. Many watersheds have moderate to severe deforestation and overgrazing pressures, which have contributed to soil erosion, a decline in soil fertility and a loss of biodiversity.
24. The most important water catchment areas in Tanzania are in the Eastern Arc Mountains, which is also the most impacted by the degradation of ecosystem services. The forests in these areas sustain half a dozen rivers flowing into large municipalities and cities, maintaining a fresh-water supply for more than 20% of the national population (including 5 million people in Dar Es Salaam); 60% of the country's electricity comes from hydropower stations along rivers flowing from the Eastern Arc Mountains; the power and water supports 80% of Tanzanian industries and much of the irrigated agriculture.<sup>5</sup> It is noted that despite their importance, the watersheds in the Eastern Arc Mountains have experienced high rates of deforestation and degradation in the last 100 years. While there has been investment in the protection of biodiversity and the improvement of natural resources management in Protected Areas (PAs), degradation continues in areas, outside the PAs and ecologically sensitive to the provision of watersheds, particularly in the sub-catchments of the Ruvu and Zigi rivers, which supply water to Dar Es Salaam, Tanga, Bagamoyo and Morogoro.
25. Land degradation in Ruvu and Zigi catchments has been driven by over expansion of human settlements, commercial and subsistence agriculture, inappropriate agricultural practices, over harvesting, and over utilization of forest resources. This has decreased water quantities, causing a decline in food productivity and well-being for about 151,000 people living in the Upper reaches of Ruvu and for the approximately 200,000 people living in the Zigi catchment. Seventy-five percent of households in these catchments are designated as poor, though there is a wide variation depending on economic activities, proximity to markets, conditions of roads, and access to water and electricity. In addition, the population in these catchments has increased about 1.4% to 4.6% per year, increasing the demand for water, food, land, and natural resources for which these communities depend on for fuel, shelter and other needs.

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<sup>5</sup> UNESCO Application for the Eastern Arc Mountains, Forests of Tanzania (2006)



### 3.2 PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS, THREATS AND BARRIERS TARGETED

26. The Securing Watershed Services in the Ruvu and Zigi Catchments project operates under the objective that sustainable land and natural resource management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu-Zigi sub-catchments of the Eastern Arc Mountains of Tanzania. The project addresses the threats of land degradation, such as inappropriate farming, overstocking and overgrazing, growing populations, decreasing water flows and increasing water demand, illegal mining and encroachment on riparian zones, to forests, rangelands and farmlands, with the overall purpose of securing watershed services and improving livelihoods.
27. Though the GoT is committed to addressing the interconnected issues of land degradation, water security and poverty, its ability to resolve these problems by integrating SLM into watershed management is limited by several barriers:
  - i. a lack of a collaborative institutional framework that enables water basin authorities and stakeholders to effectively plan, monitor and adapt land management and leverage investments for SLM;
  - ii. staff, resource and technical capacity deficits; and
  - iii. inadequate demonstrated experiences in integrated watershed management approaches at the landscape level.<sup>2</sup>
28. The project sought to address these barriers through two components—the impact pathways.
  - **Component 1:** Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component was focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.
  - **Component 2:** Reducing the effects of land degradation on watershed services and improving livelihoods through landscape-level uptake of SLM measures. Work under this component of the project is focused on implementing practical SLM interventions that address land degradation and degradation of watershed services in forests, rangelands and on arable land, whilst improving livelihoods through the uptake of sustainable land use management practices and alternative sustainable livelihoods.

### 3.3 IMMEDIATE AND DEVELOPMENT OBJECTIVES OF THE PROJECT

29. The project objective is: Sustainable land management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu and Zigi Catchments of the Eastern Arc Mountains. The project's two components, four outcomes, and outputs are listed in Table 3-1.

**Table 3-1 Summary of Project Components, Outcomes and Outputs**

<b>Component 1: Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component is focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.</b>	
<b>Outcome 1: Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resources Management in the Ruvu and Zigi catchments</b>	<b>Output 1.1:</b> Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.
	<b>Output 1.2:</b> Multi-stakeholder committees are established (or strengthened) and active in promoting co-ordination and dialogue in support of mainstreaming of SLM into other sectors, programs and policies.
	<b>Output 1.3:</b> Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the Wami-Ruvu and Pangani river basins.
	<b>Output 1.4:</b> Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to identify and prosecute water and land-use infringements and harness greater compliance.
<b>Outcome 2: Finances available for SLM investment are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions</b>	<b>Output 2.1:</b> New streams of public finance are identified and accessed.
	<b>Output 2.2:</b> Sectoral (forestry, agriculture and water) allocations to SLM are re-aligned.
	<b>Output 2.3:</b> The effectiveness of SLM investments is improved.
<b>Component 2: Reducing the effects of land degradation on watershed services and improving livelihoods through increased landscape level adoption of SLM measures in the Ruvu and Zigi catchment.</b>	
<b>Outcome 3: Institutional capacity is built for promoting sustainable land and forest management in support of IWRM in the Ruvu and Zigi Catchments</b>	<b>Output 3.1:</b> The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices, regional offices of line ministries and local government institutions.
	<b>Output 3.2:</b> The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions.
	<b>Output 3.3:</b> Extension services are capacitated to promote uptake of SLM and promote sustainable livelihoods.

<b>Outcome 4: Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods.</b>	<b>Output 4.1:</b> Sustainable land management practices promoted, and natural rehabilitation facilitated in 10,000 ha of forest.
	<b>Output 4.2:</b> Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages.
	<b>Output 4.3:</b> Sustainable livestock management technologies developed and tested, and infrastructure developed to operationalize SLM in rangelands.

30. The ultimate impacts outlined by the project would manifest at different levels. In the short term, comprehensive integration of SLM is a key component of integrated natural resource management at the watershed level requiring relevant financing for practical implementation. This is because the main objective of SLM is to integrate people's co-existence with natural ecosystems over the long term, in ways that improve livelihoods and food security, mitigate land degradation, relieve water scarcity, maintain ecosystem services and strengthen resilience to climate variation and change. SLM therefore offers a comprehensive approach to management of land and water resources and holds the potential to make significant differences in both the short and long term.
31. The GoT implemented local and regional initiatives such as the National Action Plan for Combatting Desertification, Land Degradation and Drought. The plan focuses on mainstreaming SLM and land degradation issues into national and local budgeting frameworks, developing best-practices, upscaling these and developing innovative finance mechanisms for combatting land degradation. The Securing Watershed Services through SLM in the Ruvu and Zigi Catchments project contributes to the main objective of the National Adaptation Plan (NAP), promoting proper management and sustainable use of the resources of arid and semi-arid areas to meet both the local and national needs sustainably. The project specifically contributes to objectives 3, 5 and 6:
- Objective 3 - To establish and support effective administrative structures for the implementation of the NAP.
  - Objective 5 - To introduce and/or improve intersectoral planning, management and monitoring approaches; and
  - Objective 6 - To reduce the destruction of resources in arid and semi-arid areas and to promote their sustainable use for the wellbeing of the inhabitants of these areas.
32. The project is also in line with the National Water Sector Policy (NAWAPO) and the National Water Sector Development Strategy (NWSDS) through which the government is implementing Integrated Water Resources Management (IWRM). These policies are in line with the MKUKUTA, the country's Growth and Development Strategy, through which the government prioritizes environmentally friendly agriculture as a driver of national development.
33. The project addresses the GEF focal area Objective 3 - Land Degradation. It is also in line with UNDP Country Program Pillar three, Objectives C and E: (C) integrate environmental concerns into development policies and plans; and (E) conserve biodiversity and ensure that communities benefit from these resources

including considerations for mitigation and adaptation to climate change effects and the promotion of innovative land management practices. In the long-term, the project aims to contribute to Sustainable Development Goals, specifically 1(No Poverty), 5 (Gender Equality), 13 (Climate Action) and 15 (Life on Earth).

### 3.4 EXPECTED RESULTS AND BENEFITS

34. During the project's preparation stage, a forecast of the expected results and benefits was produced for the global, national, and local levels.

**Table 3-2 Summary of Expected Results and Benefits**

Level	Expected Results/Benefits
Global	<ul style="list-style-type: none"> <li>With the adoption of SLM practices on more than 200,000 ha of land, ecosystem services will be secured, soil erosion will decrease, siltation and pollution in water bodies will reduce in water bodies, including the coastal waters of the Indian Ocean.</li> </ul>
National	<ul style="list-style-type: none"> <li>Secure ecosystem services vital to the economy of Tanzania, specifically water provisioning services, reducing the affects and costs of asset and human loss from probable natural disasters such as floods and landslides.</li> <li>Increased water flow and water quality will increase benefits to health of urban dwellers (in Dar Es Salaam and Tanga).</li> <li>Make the business and economic argument of the value of optimal functioning ecosystems, supported by ecosystem service valuation studies that will ultimately result in increased Government and private sector investments in the conservation and rehabilitation of the watershed.</li> </ul>
Local	<ul style="list-style-type: none"> <li>Enhance the resource base in which local communities, in 7 districts across 200,000 ha of land, depend on for their livelihoods and provide a stable quality supply of water in the long-term.</li> <li>Capacitate land users in over 10,000 ha with skills and knowledge on improving land productivity while improving the integrity of the agro-ecological system, which will result in an increase into a higher resilience and sustainable economic development.</li> <li>Improved ecological connectivity of the forests will improve watershed services and delivery of ecosystem services such as reduced soil erosion.</li> <li>Improved livestock rearing practices in over 10,000 ha will further reduce soil erosion and lead to increased ground cover in the rangelands.</li> <li>Reduced soil erosion and siltation in the rivers will increase water flow and water quality with increased benefits to the health of both the ecosystems and people dependent on the natural resources.</li> <li>Full participation of women in consultations on integrated natural resource management, and land-use planning processes.</li> </ul>

**Table 3-3 Project milestones**

Milestones	Date
<b>PIF Approval</b>	November 7, 2013
<b>CEO Endorsement</b>	May 19, 2015
<b>Inception Workshop</b>	February 19, 2016
<b>Project Document Signature/Start Date</b>	March 30, 2016
<b>Mid-Term Review Completion</b>	September 13, 2018
<b>Terminal Evaluation Completion</b>	January 31, 2021
<b>Original Planned Closing Date</b>	March 29, 2021
<b>Revised Planned Closing Date</b>	N/A

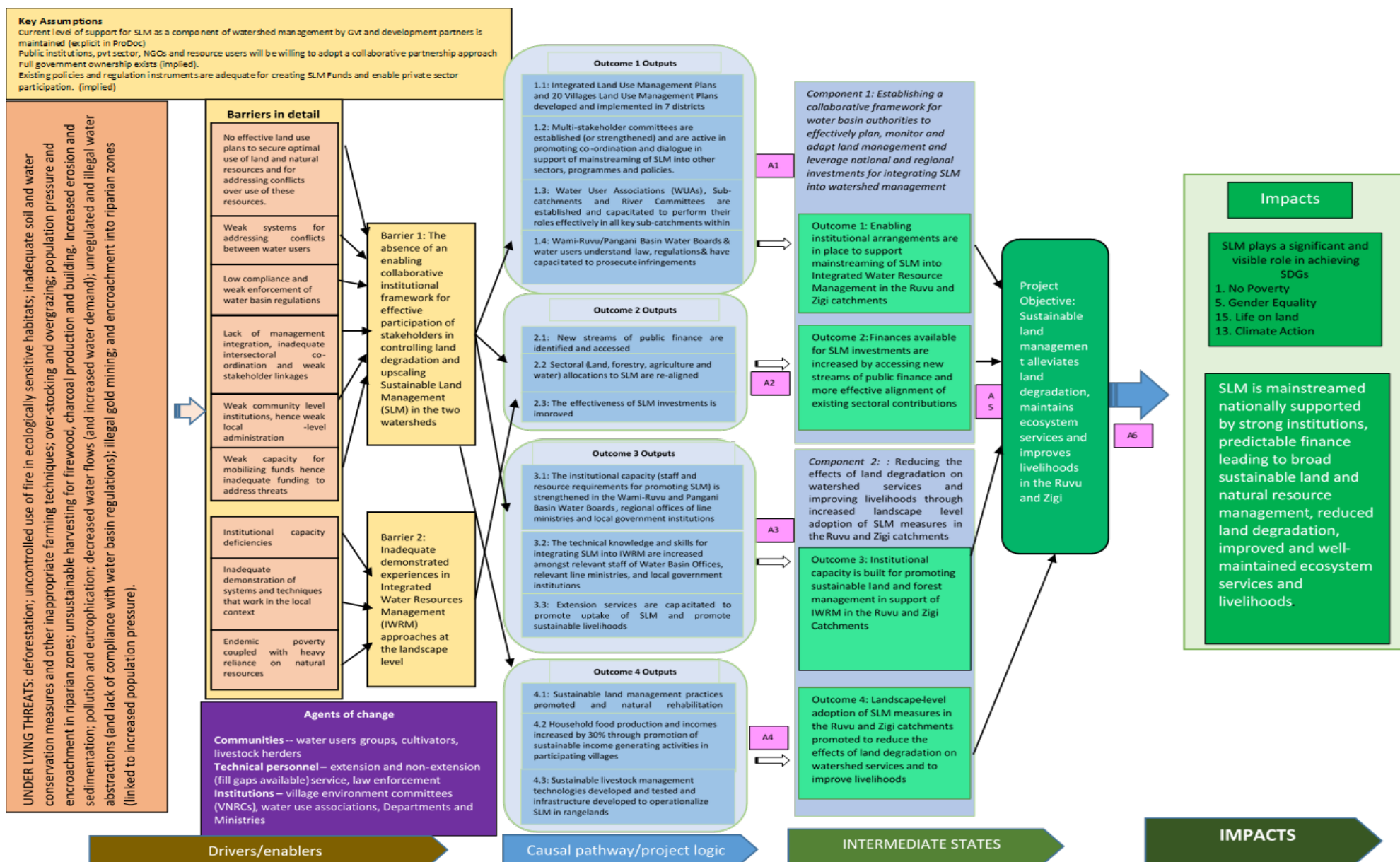
### 3.5 PROJECT THEORY OF CHANGE

35. The TE team takes note that the original project design did not include a Theory of Change (ToC)—a point also raised in the MTR. A ToC is a highly useful hypothesis and framework for mapping out a project or organization's path to an intended impact. It outlines the causal pathway between outcomes and impact. The ToC defines the intended impact and the threats, risks and assumptions to attaining the intended impact.
36. However, a ToC was constructed for the project during the MTR. The MTR defined the threats to ecosystem services, barriers to removing threats, risks, and impact assumptions. The TE team agrees with the analysis and illustration as well as the review of outcomes to impacts. The TE notes that all UNDP projects are now required to construct ToCs. However, the TE team reiterates that in constructing a ToC, it is important that both risks and assumptions are explicitly stated and validated with stakeholders. During design, inadequate funding was identified as a key barrier to successful SLM. Further questions should have been raised at that point to critically assess the underlying causes of inadequate funding and why measures had not been taken before.
37. The Project Document outlines the pre-conditions of diffusion and adoption of SLM to be presence of functioning extension services that have adequate capacity to train, raise awareness, and provide inputs. There is no mention of policy and regulatory barriers, which in fact turned out to be a key barrier related to the proposal for setting up of a SLM Fund. Perhaps it was assumed policies and regulations were not a big issue. However, during this TE, it has been acknowledged that favorable regulatory and legal instruments are necessary for setting up funds and creating an enabling environment for effective participation of the private sector in options such as PES.
38. The TE used the ToC as a base to evaluate how the project would mitigate and respond to threats to ecosystem services, overcoming barriers to removing threats, testing assumptions, and implementing impact pathways. The TE team also made some modifications to the ToC specifically with regards to the impacts as well as stating implied assumptions. The MTR ToC illustrates outputs in the impact box. However,

the outputs should represent some intermediate states that can be replicated more broadly leading to mainstreaming of SLM, beyond the project life and area—the intended impact (Figure 3-1).

39. The threats to the Eastern Arc Mountains and specifically the Ruvu and Zigi catchment ecosystems need to be mitigated through sustained interventions and an enabling, collaborative and well-coordinated institutional framework that promotes stewardship among stakeholders including local communities. The issue of sustainability is one of the primary questions that this evaluation assessed, and the findings are that this could be further strengthened during project design.

Figure 3-1 Reconstructed Theory of Change from the MTR





## 4 EVALUATION FINDINGS

40. The objective of this evaluation is to present findings based on credible, reliable, and useful information. The Logical/Results framework and the assessment criteria served as the primary guidelines.

### 4.1 PROJECT DESIGN/FORMULATION

#### 4.1.1 ANALYSIS OF THE RESULTS FRAMEWORK: PROJECT LOGIC

41. The TE team agrees with the MTR that the results framework was well formulated with several strong points specifically in addressing threats to watershed services and removing barriers to effective SLM. As noted, the project design adequately analyzed the institutional and policy setting and identified the gaps and opportunities the project could target, making the outcomes highly relevant while increasing the success potential and effectiveness of the project by considering lessons from previous and existing projects summarized in Table 4-1.
42. The two project components have a good balance of enabling interventions and direct actions. To address landscape degradation through SLM, it is necessary to have strong capacity and a coherent policy framework with relevant regulatory and non-regulatory instruments. Component 1 targeted building institutional capacity, coordination, collaboration, and regulatory enforcement—which are all essential for effective SLM. Component 2 is largely a suite of direct actions to reverse land degradation, improve and protect rangelands, reduce degradation of watershed services in forests, improve agricultural practices for higher productivity per unit area and reduce deforestation. These actions should ultimately lead to improved community livelihoods while contributing to emission reductions.
43. The MTR suggested that the strategy is weakened slightly by covering an extremely broad geographic area, over two basin catchments, resulting in a dilution of impacts that could be achieved at each basin. This is debatable and can be viewed from different perspectives. Landscape approaches recognize connections and interactions between various land uses and the environmental and socio-economic benefits provided by restored and well-managed landscapes.
44. The TE agrees that large distances demand extensive travel by project staff and have the potential to erode budgets available for direct support at each of the intervention sites. However, project implementation on the ground as done by local staff with oversight from the PCU and national staff. While localized technical solutions such as household level actions are important, community and or jurisdictional or landscape level collective interventions have become more necessary to recognize ecosystem level connections and interactions.<sup>6</sup> Such large landscape or catchment level projects need to be encouraged but be better structured to reduce inefficiencies.
45. The TE acknowledges that the project indicators and targets were generally SMART. The one minor issue that could be improved in similar projects is to ensure that there is structural consistency between indicators, outputs and outcomes and being cognizant of a proposal that may require policy or legislative approval such as establishing the SLM fund. There is need for clear decoupling of outputs and activities as suggested during the MTR. The TE observed that cumulative statistics presented in the progress reports are difficult to track due to interchanging of indicators and outputs.

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<sup>6</sup> Giacomo Fedele. Landscape management strategies in response to climate risks in Indonesia. Global Changes. Agroparistech, 2017.



46. There was generally adequate national contextual analysis. The Project Document clearly outlines and takes account of the institutional context, national and sectoral policies, and legislation relevant to the integration of SLM into the water sector. As outlined in the MTR, examples include the National Water Policy (2002) and the Water Resources Management Act (WRMA), No. 11 of 2009; the Land Act, and the Village Land Act, Act 5 of 1999; National Agriculture and Livestock Policy. Other important policies include a) the National Environment Policy (NEP, 1997), which contributes to priority 5 (reducing deforestation) and mainstreams forest management into productive sectors—agriculture and tourism; b) the Environmental Management Act (EMA, 2004), which provides institutional framework for the effective participation of a broad group of stakeholders in water and forest resources management and conservation; c) the Forest Policy (1998), the Forest Act (2002); and d) the National Forest Programme (NFP, 2001), which provides guidelines and regulations for community involvement in Participatory Forest Management (PFM) across both Forest Reserves.
47. The baseline analysis is commendable and should be used as an example for other projects because it clearly articulates the opportunities and gaps, outlines strategic plans and investment (historical and planned) and how the project aligns with the sectoral strategies as was the case with the National Water Sector Development Program which gave effect to the National Water Policy.
48. **There was also generally adequate global contextual analysis:** The project was formulated and commenced at a time of significant shifts in global discourse on climate change and the urgent need for national and international commitment to increase community participation in environmental management stewardship, increase finance for natural resource management, and reduce emissions from all sectors and focus on SDGs. The project objectives and outcomes align with global concerns on climate change as well as international conventions and agreements that Tanzania is a signatory to. These include the Paris Agreement, the Convention on Biological Diversity (CBD), the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the African Convention on the Conservation of Nature and Natural Resources; Agenda 21; and the RAMSAR Convention on Wetlands of International Importance.

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#### 4.1.2 ASSUMPTIONS AND RISKS

49. At the design stage, there was a clear assessment of risks, but assumptions are largely implied and this is discussed in Section 3.5. At least nine risks were highlighted including those related to government commitment, the availability of adequate resources and capacity in government, potential conflicts between institutions, effects of climate change, and invasive alien species.
50. The TE team believes the analysis of risks could have been somewhat more comprehensive given the nature of the project with direct actions by communities and multiple stakeholders. The MTR pointed out that the risk of inadequate funds should be separated from that of capacity and that the risk of inadequate funds should be rated moderately high. This is because although SLM is now being included in budgets of some Ministries, most Ministries do not get all their budget requests financed, and SLM is still amongst the top items to be dropped when budgets are not fully financed.
51. The MTR also pointed out that the proposed SLM Fund is unlikely to be formed within the lifetime of the project because there is no law in the country to support it based on experience from REDD+ and the previously proposed Environment Fund. The TE team agrees with the analysis from the MTR and of course the Fund was never formed

and efforts by stakeholders did not yield significant additional funds. This was always a high risk and perhaps with some implied assumptions in addition to the two assumptions stated. Specifically, there would have been an implied assumption that government policies and regulations would allow setting up a fund, but in fact, such a proposal needed to be backed by a specific statutory instrument. A similar proposal under REDD+ faced similar drawbacks.

52. An additional implied assumption is perhaps that there would be full government ownership. Hence, all efforts would be made to ensure the project achieves its core objectives. Even though these assumptions are not explicit in the project document, they are valid assumptions as the implementation of the project was implemented with full government ownership at both national and regional levels, as is demonstrated throughout this report. But such assumptions would have needed to be validated and supported by an analysis of the statutory and policy requirements for setting up a fund. However, this does not negate the subsequent recognition by both UNDP and the Government that fund mobilization options need to be assessed and strategic actions taken to ensure SLM is mainstreamed with predictable financing.

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#### 4.1.3 LESSONS FROM OTHER RELEVANT PROJECTS

53. Many projects relating to sustainable land and landscape management, community livelihoods, and forestry have been implemented broadly in Tanzania and more specifically in the Eastern Arc Mountains (Uluguru and East Usambara Mountains). There is a wide range of projects related to sustainable land management, forestry, livelihoods and REDD+ undertaken by stakeholders, institutions, NGOs, and CSOs. Some of the lessons that can be drawn from these projects point to the need for broad-based partnerships and participation to increase project ownership and sustainability. Successful IGAs are likely to lead to reduction in community dependency on forests, but this requires funding instruments to provide initial and affordable capital at the community level coupled with support mechanisms such as capacity building for financial management.
54. There is documented evidence within the Eastern Arc Mountains archives that the projects have contributed to reducing the pressure on forest resources where landscape approaches have been used in addressing existing challenges holistically. Support of forest protection has enhanced the conservation status of the forests and enforcement of existing laws. Fewer incidences of poaching, forest encroachment and forest fires have been reported, as efforts from different interventions produce positive results.
55. Environmental education and participation in forest conservation activities increased community awareness and contributed to better relationships with protected area authorities and a greater appreciation of the protected forests. The wide range of income-generating activities supported by different projects led to increased incomes, which enabled beneficiaries to invest in tangible improvements in terms of access to education, productive assets, and improved housing.
56. Although the GEF 5 Prodoc Template did not explicitly require analysis of lessons learned from previous relevant projects to inform this project's formulation, both UNDP and the Government jointly applied best practices through stakeholder engagement. For example, to address the issue of land use plans, the project planned to adopt the approach piloted successfully by the Ujamaa Community Resource Team in northern Tanzania.

**Table 4-1 List of Stakeholders and Projects consulted during formulation**

Organization	Project
WWF/CARE and the Wildlife Conservation Society of Tanzania/Royal Society for Protection of Birds in the East Usambara and Uluguru Mountains	Some of the projects considered the Equitable Payment for Watershed Services' projects.
Eastern Arc Mountains Conservation Endowment Fund (EAMCEF), TFCG and other NGOs and CSOs	SLM and alternative livelihood work (e.g., beekeeping, spice-growing) implemented in the West and East Usambaras and the Uluguru Mountains.
TFCG (Tanzania Forest Conservation Group), WWF and MJUMITA	Forest restoration projects run in the Bunduki Gap in the Uluguru Mountains and at various locations in the East Usambaras.
TFCG, MJUMITA and TaTEDO in the Kilosa District (Morogoro Region)	Pilot project on Sustainable Charcoal Production
CARE and TaTEDO in various villages	Alternative energy technology (brick rocket stoves and solar lanterns) projects
Sustainable Agriculture Tanzania (SAT)	Project promoted organic and SLM farming practices and farmer trainings.
Uluguru Mountains Agricultural Development Project (UMADEP)	Various agricultural support programs
The International Union for Conservation of Nature (IUCN)	Pangani River Basin Management Project generated information and supported equitable provision and wise governance of freshwater resources to meet livelihood and environmental needs and assisted with the formation of participatory forums.
The United States Agency for International Development (USAID) funded and implemented by the Global Water for Sustainability (GLOWS) consortium (Winrock International, and CARE International, supported by WaterAid, World Wildlife Fund (WWF) and other local partners)	iWASH (Integrated Water, Hygiene and Sanitation) programme's project in the Wami-Ruvu Basin provides training in principles of Integrated Water Resources Management and supports the development of Water User Associations.

#### 4.1.4 PLANNED STAKEHOLDER PARTICIPATION

57. During the project preparation stage, a stakeholder analysis was undertaken to identify key stakeholders and to assess their potential roles and responsibilities in the context of the project. The MTR found that the key stakeholders identified were directly relevant to implementing the project and to facilitating and realizing planned outcomes.
58. The TE established that a number of stakeholders were willing and ready to engage in PES interventions that would ensure that upstream communities are supported by large water users in the downstream to conserve water sources. Examples include large water users like Tanga UWASA, DAWASCO, Tanga Port Authorities and companies involved in making both soft and hard drinks. Unfortunately, during the planning phase, modalities to capture such potential were not instituted in the project, as part of stakeholders' engagements.

**Table 4-2 Stakeholder Summary List**

Category	Institutions	Roles
<b>Ministries, Departments and Agencies (MDAs)</b>	<ul style="list-style-type: none"> <li>• Vice President's Office (VPO) - Division of Environment (DoE)</li> <li>• National Environmental Management Council (NEMC)</li> <li>• Ministry of Water (MOW)</li> <li>• The Ministry of Land, Human Settlements and Development (MLHSD) - National Land Use Planning Commission (NLUPC)</li> <li>• The Ministry of Natural Resources and Tourism (MNRT) - Tanzania Forest Service (TFS)</li> <li>• The Ministry of Agriculture</li> <li>• Ministry of Energy</li> <li>• Ministry of Minerals</li> <li>• Ministry of Livestock and Fisheries Development (MLFD)</li> <li>• The President's Office – Regional Administration and Local Government (PO-RALG)</li> <li>• Regional Administrative Secretariats</li> <li>• Urban Water and Sanitation Authorities (UWASAs) – DAWASA, Tanga-UWASA, MORUWASA and DAWASCO</li> </ul>	<ul style="list-style-type: none"> <li>• Co-ordination of matters related to environmental protection and management</li> <li>• Focal Point for matters relating to the GEF</li> <li>• Alignment and mainstreaming of SLM activities in sector strategies and plans,</li> <li>• Technical, policy and legal guidance through Project Steering Committee, Technical Team and Catchment Committees</li> <li>• Co-financing project activities</li> <li>• Project execution – law enforcement, capacity building, extension services</li> <li>• Communication of project results and lessons</li> <li>• Providing technical standards, guidelines and quality assurance</li> <li>• Providing enabling environment for participatory community resources management</li> <li>• Facilitating application of best practices on land and natural resources management</li> <li>• Providing necessary data including baselines</li> </ul>
<b>Water Resources Management Bodies and institutions</b>	<ul style="list-style-type: none"> <li>• Pangani and Wami-Ruvu Basin Water Boards (BWBs) and their sub-catchments (Water Basin Offices)</li> <li>• Catchment Water Committees (CWCs)</li> <li>• Water User Associations (WUAs)</li> </ul>	<ul style="list-style-type: none"> <li>• Planning, coordinating implementation and monitoring of IWRM activities in the basins</li> </ul>
<b>Local Government Authorities</b>	<ul style="list-style-type: none"> <li>• District Councils</li> <li>• Village Councils</li> <li>• Village Natural Resource Committees</li> </ul>	<ul style="list-style-type: none"> <li>• Project execution and beneficiaries relating to land use planning, capacity development, extension services, monitoring and upscaling of lessons generated</li> </ul>
<b>Non-State Actors</b>	<ul style="list-style-type: none"> <li>• Non-Government Organizations (NGOs)</li> <li>• Civil Society Organizations (CSOs)</li> </ul>	<ul style="list-style-type: none"> <li>• Support project activities through complementary activities including awareness-raising and capacity-building in specific communities</li> </ul>
	<ul style="list-style-type: none"> <li>• Private sector (Tea estates, Sisal estates, factories)</li> </ul>	<ul style="list-style-type: none"> <li>• Co-financing, direct implementation of activities related to SLM</li> </ul>
<b>Local communities</b>	<ul style="list-style-type: none"> <li>• Land and resources user groups</li> <li>• Communities (UWAMAKIZI, JUWAKIHUMA, WAKUAKUVYAMA)</li> </ul>	<ul style="list-style-type: none"> <li>• Direct implementers and beneficiaries of project activities at local level</li> </ul>
<b>Development Partners</b>	<ul style="list-style-type: none"> <li>• Bilateral and multilateral agencies</li> <li>• International NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Co-financing and technical support</li> </ul>
<b>Academic and research institutions and professional associations</b>	<ul style="list-style-type: none"> <li>• Academic and research Institutions</li> <li>• Professional Associations</li> </ul>	<ul style="list-style-type: none"> <li>• Support research, training and technology for the project</li> </ul>

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#### 4.1.5 SOCIAL AND ENVIRONMENTAL SAFEGUARDS

59. With regards to social and environmental safeguards, the project was designed with Social and Environmental Screening Procedures (SESP) which were periodically reviewed and reported. Two SESP reports were cited during this evaluation – one for 2015 and one for 2019.

## 4.2 PROJECT IMPLEMENTATION

### 4.2.1 ADAPTIVE MANAGEMENT

60. The TE notes a significantly long period between the development of the PIF and the project inception. There was nearly five years which is likely to emanate in contextual changes. The PIF was formulated between 2011 and 2012, PPG in 2015 and implementation only started in March 2016. Such a situation often then requires a review of the project document to ensure alignment with any material changes in the context, policy environment or stakeholder perspectives and to follow up on any proposals in the Project Document that were to be addressed during the inception.
61. As noted in the MTR, the 2016 workplan included revised and additional activities under Component 1. Changes made to the project outputs, specifically to refine the baseline information for water quality and quantity in the Ruvu catchment, resulted in identification of more appropriate interventions and impact monitoring.
62. An assessment of PSC meetings confirms that the project management structure was effective and enable proactive management of risk, issues and allowed decisions to be made quickly to adapt the project implementation approach as necessary. The TE observed that the PSC were fully aware of important issues that could affect project delivery. For instance, the development of the VLUPs and establishment of the WUAs was critical for effective delivery of the other outcomes, but it was recognized that these activities were not adequately planned and budgeted for during the project design and approval was given to make adjustments in 2017.

### 4.2.2 ACTUAL STAKEHOLDER PARTICIPATION AND PARTNERSHIPS ARRANGEMENTS

63. The project design, management arrangements, and early consultations created the necessary environment for effective and strong stakeholder participation and partnerships. The formulation of analytical studies enabled the creation of early awareness and interest. A Stakeholders Engagement Plan (SEP plan) was prepared and effectively implemented including the development of databases for all SLM stakeholders in Zigi and Ruvu Catchments, indicating the role of each stakeholder.
64. The strong commitment of stakeholders to the project can be regarded as good practice. This is drawn from the large number of partners implementing various activities through support from the project and with the commitment to solicit more funds from other sources to continue activities after the project ends.
65. In addition to the observation of the MTR, this TE concludes that the engagement of stakeholders in both direct and indirect approaches was excellent. While the intention of the stakeholders was to forge partnerships that added value directly and increase the long-term sustainability, the project fell somewhat short of achieving the objective of increasing financial resources, especially from government fiscal allocation. This needs to be continuously followed up.
66. However, there was significant and strategic partnership with the VPO as the Focal Point in matters relating to the GEF and MNRT through TFS, responsible for the Amani and Uluguru Nature Reserves that form the critical watersheds. The partnership with the Ministry of Agriculture facilitated agricultural extension services and farming practices while the Ministry of Livestock and Fisheries Development (MLFD) supported livestock and rangeland management.

67. The President's Office-Regional Administration and Local Government (PO-RALG) through the Regional Secretariats (RS) worked in close collaboration with the LGA structures in Tanga and Morogoro Regions to facilitate physical planning, formulation and enforcement of by-laws and preparation of district land use plans. The seven participating LGAs appointed Focal Points to the project and were actively involved in the work planning and review of progress and implementation of activities.
68. Village Councils have been responsible for planning and coordinating development activities at the local level including setting up village governance structures i.e., Village Natural Resource Committees -VNRC, Village Environmental Committees (VECs), and the Participatory Land Use Planning Management (PLUM) teams responsible for overseeing the protection, conservation, lawful utilization of natural resources (including water), and village land uses at the village level. Communities have been fully engaged in the VLUPs process, formation of WUAs and VECs, identification and implementation of IGAs and enforcement of laws.
69. The project ensured that solid and effective partnerships were established for water and land resources management. Thus, there was close working partnerships with;
- the farmers' association engaged in an Equitable Payment for Watershed Services (EPWS) supported by Tanga-UWASA (UWAMAKIZI (Umoja Wa Wakulima Wahifadhi Mazingira Kuhuhwi-Zigi);
  - the JUWAKIHUMA (Jumuiya ya Wakulima wa Kilimo Hai Usambara Mashariki) Organic Spice Grower's Association in Muheza District;
  - WAKUAKUVYAMA (Wakiluma wa Kuhifadhi Ardhi na Kutunza Vyanzo vya Maji – farmers for soil and water-source conservation); and
  - the JUKUMU, a community wildlife Management association in the Ruvu catchment.
70. The Tanga UWASA committed funds to support UWAMAKIZI throughout the project leading to extending the SLM activities to three more villages outside the project area. In addition, Tanga UWASA committed to settle compensation (to the tune of USD \$130,000) to the communities living around Mabayani Dam, which increased the percentage of SLM investments from new streams of public finance in addition to the support provided through UWAMAKIZI. However, it is understood the Ministry of Water applied for compensation funds to the tune of TZS 393,930,000. Therefore, Tanga UWASA will not pay for compensation.
71. Another example of effective partnerships was the successful and coordinated removal of over 70,000 people who invaded the catchment area in Kihara (in Amani Nature Reserve) prospecting for gold. This was a joint operation between the project and Government. The current improved water quantity and quality has enabled Tanga UWASA to continue supporting communities in the catchment through UWAMAKIZI, which is likely to continue even after the watershed project has ended—**an important element of sustainability.**
72. It is necessary that engagement with stakeholders continues beyond the life of the project to sustain the gains at the end of the project. Discussions with representatives from the Pangani and Wami-Ruvu Basin Water Boards (PBWB and WRBWB) offices, DAWASA, DAWASCO, Tanga-UWASA, suggest an advanced understanding of the role of SLM. However, there is general agreement among stakeholders on the need to step up efforts to mainstream SLM across different sectors including mining and infrastructure development.
73. The TE also notes the collaboration with ONGAWA, an International NGO implementing a project on “Integrated Approaches for Climate Change Adaptation in the East Usambara Mountains” in Muheza District and financed by

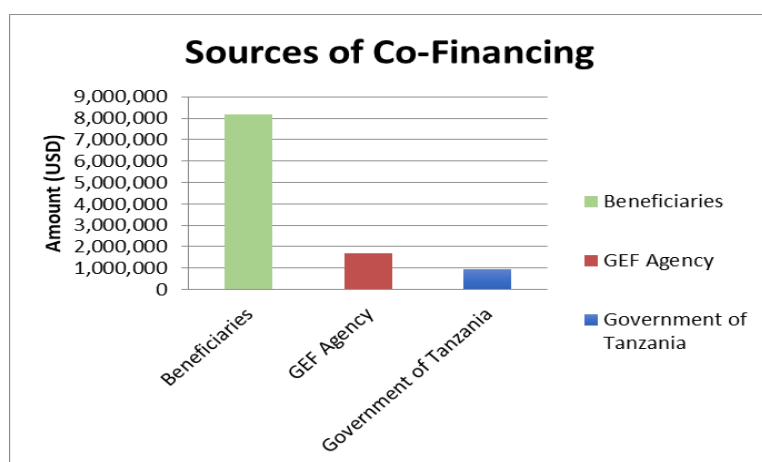
the EU in Tanzania. Under this partnership, there was joint capacity building and provision of facilities, driers and heavy-duty spice milling machine and support for product development and marketing.

74. The project also partnered with EAMCEF, which supported various WUAs including the Mgolole Water User Association who receives fifteen million TZA shillings (15,000,000.00), approximately USD \$6,505 to support the preparation of a tree nursery in Ruvu catchment.
75. The TE notes that the project commenced discussions and development of concept notes with The Nature Conservancy (TNC) and Vodacom Tanzania Foundation (VCTF) to support some activities for scaling up, including the establishment of the Tanga Water Fund in collaboration with UNDP and the Government. These partnerships will help to promote the sustainability of the gains made by the project.

#### 4.2.3 FINANCE AND CO-FINANCE

76. The total budget for the project was estimated at USD \$27,648,858 of which USD \$3,648,858 (13%) constituted grant funding from GEF, USD \$2,000,000 (7%) from UNDP and USD \$22,000,000 (80%) as GoT co-financing. As reported in the MTR, the project implementing partners committed substantive co-finance for direct and complementary activities and operational costs with USD \$13 million from MoW, USD \$6.5 million from Tanga UWASA, and USD \$2.5m from NLUPC. Implementing partners expected to develop financing opportunities with a primary focus on establishing a Water Fund to finance both the water resources management and water supply projects. However, the Fund was never established because there was and still no legal instrument or law to enable such a fund to be established. The TE, in line with sentiments raised in the MTR, believe that lessons should have been drawn from previous similar attempts to establish an Environmental Fund and the REDD+ Fund. The TE team notes that there are ongoing efforts to mobilize funding for SLM and multiple options are under consideration.
77. Figure 4-1 illustrates the proportion of co-financing against the GEF funding and Table 4-4 lists co-finance mobilization from different partners.

**Figure 4-1 Project financing source**



78. The project made significant effort to mobilize additional resources and create new partnerships. The project was able to create additional partnerships in the project area including the Sustainable Range Management Programme (SRMP) in Wami-Ruvu Basin, Sustainable Minerals Resources Management Programme (SMRMP), WARIDI and the



EAMCEF in the Eastern Arc Mountains and ONGAWA within Pangani Basin supporting IGAs mainly through value addition as noted in the MTR.

79. Creating partnerships with the private sector proved challenging for the project, but this is an area with significant potential. There was rather limited analysis of the private sector partnership opportunities during the design phase. However, during this evaluation, the TE team observed that there is an appetite for engagement by large private sector companies that could be followed up.

**Table 4-3 Co-financing Table**

Co-Financing (type/ source)	UNDP financing (US\$)		Government (US\$)		Partner Agency (US\$)		Total (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants Loans / Concessions	2,000,000	1,756,655	10,000,00	3,936,362	0	233,456	12,000,000	5,926,473
In-kind support	0	0	10,000,000	5,367,423	0	0	10,000,000	5,367,423
Other (Both In-kind support and grants)	2,000,000	1,756,655	20,000,000	9,303,785	0	233,456	22,000,000	11,293,896
<b>Totals</b>	<b>2,000,000</b>	<b>1,756,655</b>	<b>20,000,000</b>	<b>9,303,785</b>	<b>0</b>	<b>233,456</b>	<b>22,000,000</b>	<b>11,293,896</b>

Table 4-4 lists the sources of co-financing.

**Table 4-4 Confirmed Sources of Co-Financing at TE Stage**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (USD)
GEF Agency	UNDP	Grant	Investment Mobilized	1,700,000
Recipient Country Government	Ministry of Water PCU	In-kind	Recurrent expenditures	450,829
Recipient Country Government	Ministry of Water	Grant	Investment Mobilized	517,742
Beneficiaries	Ministry of Energy	In-kind	Recurrent expenditures	349,874
Beneficiaries	Tanga City Council	In-kind	Recurrent expenditures	52,410
Beneficiaries	Tanga City Council	Grant	Investment Mobilized	2,299
Beneficiaries	Wami Ruvu Water Basin	In-kind	Recurrent expenditures	401,801
Beneficiaries	Wami Ruvu Water Basin	Grant	Investment Mobilized	1,867,475
Beneficiaries	Pangani Water Basin	In-kind	Recurrent expenditures	394,469
Beneficiaries	Pangani Water Basin	Grant	Investment Mobilized	145,570
Beneficiaries	Morogoro DC	In-kind	Recurrent expenditures	404,821
Beneficiaries	Morogoro DC	Grant	Investment Mobilized	108,00
Beneficiaries	Mvomero DC	In-kind	Recurrent expenditures	275,719
Beneficiaries	Muheza DC	In-kind	Recurrent expenditures	260,858
Beneficiaries	Muheza DC	Grant	Investment Mobilized	180,513
Beneficiaries	Mkinga DC	In-kind	Recurrent expenditures	249,314
Beneficiaries	Mkinga DC	Grant	Investment Mobilized	4,582
Beneficiaries	Korogwe DC	In-kind	Recurrent expenditures	193,189
Beneficiaries	Korogwe DC	Grant	Investment Mobilized	30,031
Beneficiaries	TFS through Amani NFR	In-kind	Recurrent expenditures	433,003
Beneficiaries	TFS through Amani NFR	Grant	Investment Mobilized	26,551
Beneficiaries	TFS through Uluguru NFR	In-kind	Recurrent expenditures	216,807
Beneficiaries	TFS through Uluguru NFR	Grant	Investment Mobilized	277,915
Beneficiaries	Tanga UWASA	In-kind	Recurrent expenditures	267,877
Beneficiaries	Tanga UWASA	Grant	Investment Mobilized	339,995
Beneficiaries	National Land UPC	In-kind	Recurrent expenditures	530,983

Beneficiaries	National Land UPC	Grant	Investment Mobilized	271,561
Beneficiaries	MOALF	In-kind	Recurrent expenditures	69,138
Beneficiaries	MOALF	Grant	Investment Mobilized	53,074
Beneficiaries	MOAFSC	In-kind	Recurrent expenditures	158,691
Beneficiaries	MOAFSC	Grant	Investment Mobilized	113,000
Beneficiaries	Vice President Office	In-kind	Recurrent expenditures	483,715
Beneficiaries	Morogoro MC	Grant	Investment Mobilized	7,775
Beneficiaries	DAWASA	Grant	Investment Mobilized	30,608
Beneficiaries	MORUWASA	Grant	Investment Mobilized	67,671

#### 4.2.4 WORK PLANNING AND FUNDS DISBURSEMENT

80. In general, the TE acknowledges the work planning process and systems that were implemented. The log frame was the basis of quarterly and annual workplans, which were jointly prepared by the TT and timely approved by the PSC and submitted to UNDP for endorsement and disbursement of funding. By the time of the MTR, disbursement of the GEF funding to the implementing partner had reached 87.5% of the total (i.e., as of the August 2018).<sup>7</sup>
81. As of November 2020, based on the 9<sup>th</sup> PSC meeting minutes, 94.7% of the project budget is reported as utilized with just \$299,000 of the total remaining. The GEF budget was disbursed effectively (99.97%), but the UNDP disbursement still had 14.9% of the budget remaining at the time of this TE. However, it should be noted that at the MTR stage, only 12.48% of the UNDP funds had been disbursed. (Table 4-5).

**Table 4-5 Budget Expenditure**

	Initial Budget (USD)	Expenditure (USD)	Balance (USD)
GEF	3,648,858	3,647,711	1,146
TRAC-UNDP	2,000,000	1,702,051	297,948
<b>TOTAL</b>	<b>5,648,858</b>	<b>5,349,763</b>	<b>299,094</b>

82. Table 4-6 summarizes year to year funds disbursement showing a small balance of 7% but expected to be fully disbursed by the end of the project.

**Table 4-6 Budget disbursement breakdown**

PROJECT OUTCOMES	BUDGET AS PER PROJECT DOCUMENT	YEAR 2016	YEAR 2017	YEAR 2018	YEAR 2019	YEAR 2020	2016-2020 Total Exp. As at Nov. 2020	Total Fund Balance As at Nov. 2020	% Total Expenditure Vs. Budget	% total Balance Vs. Budget
GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC	GEF & TRAC
Outcome 1	1,263,000	534,644	621,098	485,565	442,210	- 0	2,083,516	- 820,516	165	- 65
Outcome 2	597,000	1,114	80,665	75,573	93,887	26,870	278,109	318,891	47	53
Outcome 3	1,570,000	217,274	85,981	120,511	145,463	77,667	646,896	923,104	41	59
Outcome 4	1,900,103	166,588	233,930	620,982	535,290	540,748	2,097,538	- 197,435	110	- 10
Outcome 5	318,755	1,017	57,620	42,791	43,042	30,117	174,586	144,169	55	45
<b>TOTAL</b>	<b>5,648,858</b>	<b>920,637</b>	<b>1,079,293</b>	<b>1,345,421</b>	<b>1,259,892</b>	<b>675,402</b>	<b>5,280,645</b>	<b>368,213</b>	<b>93</b>	<b>7</b>

<sup>7</sup> MTR (2018)

#### 4.2.5 MONITORING AND EVALUATION

83. At the design stage, an M&E plan was prepared based on the Results Framework. The budget for the M&E was included in the project management budget (USD \$318,755) which is reported as Outcome 5 in Table 4-5. Therefore, the adequacy can only be inferred based on the fact that there was generally a well-structured monitoring and evaluation plan as summarized in Table 4-7 below.

**Table 4-7 Summary of Project Monitoring and Evaluation Plan**

M&E Component	Responsible parties	Timeframe
Inception workshop and Inception report	Project Manager, UNDP CO (with support from UNDP RSC)	Within first two months of project start-up
Measurement of means of verification for objective indicators	Oversight by project manager, project team	Start, mid-term and end
Measurement of means of verification for progress and performance	Oversight by Project Manager, M&E Officer, Project Team	Annually
Annual Progress Reports/Project Implementation Reports (PIRs)	Project Team, UNDP CO, UNDP RSC	Annual
Quarterly Progress Reports	Project Team	Quarterly
Maintenance of Issues, Risks and Lessons logs	Project Manager, UNDP-CO	Quarterly
Combined Delivery Reports	Project Manager	Quarterly
MTR	Project Team, UNDP CO, UNDP RSC, Consultant(s)	Project mid-term
Terminal Evaluation	Project Team, UNDP CO, UNDP RSC, Consultant(s)	Within 6 months of project end
Terminal Project Report	Project Team, UNDP CO, Local consultant	One month before project end
Lessons Learned	Project Manager, UNDP CO	Annual
Financial Audit	Project Manager, UNDP CO, Consultants	Annual
Oversight visits (field)	UNDP CO, UNDP RTC, PMU, PSC, Government representatives	Annual

84. Designing a pragmatic M&E framework is challenging, and therefore, it is necessary to review the plan during the inception against realities on the ground. The TE observes that the M&E plan was indeed revised following the inception phase. As discussed in the design assessment, the conclusion of this TE agrees with the MTR that there were too many indicators and many without baseline values. This issue needed to be addressed and needed to have the management structure in place to ensure an appropriate approval process and informed decisions made by the PSC.
85. Once the management structure, induction process for PSC, PCU, and project partners, and a full time M&E officer, with backstopping from UNDP was put in place, the M&E plan was reviewed and revised in line with revisions to the Results Framework—a **pragmatic application of adaptive management**. The revisions were then approved in line with the established procedures during PSC meetings and recorded as minutes and in PIR reports. The TE team has reviewed the PIR reports and Tracking Tool and consider them informative and of reasonably high quality and a useful tool that enabled the project to effectively communicate with stakeholders and project partners.
86. The structure of the M&E also facilitated tracking of other forms of monitoring including supervisory field missions and logging of risks and issues that would then be presented during PSC meetings. The TE team also observed the

importance of PSC meetings based on the constant reiteration to ensure members attend and not just in-person, as arrangements were considered for phone and video conferencing.

87. Other necessary and essential elements of the M&E include the annual external financial audits and evaluations including the MTR and this TE. There were also ad hoc oversight visits that provided a further option for observing and reporting and for raising potential issues that needed attention.

Monitoring & Evaluation (M&E)	Rating
M&E design at entry	HS
M&E Plan Implementation	HS
Overall Quality of M&E	HS

#### 4.2.6 UNDP IMPLEMENTATION

88. The general management of the project is commendable and perhaps is a result of well-established systems within UNDP as well as growing experience in government institutions in working with development partners. Adequate financial controls were put in place with the project using both the GoT and UNDP financial systems, appropriate to facilitate expenditures and reporting. Disbursements were made based on prudent reporting against workplans and expenditures and also on adequate funds management. The expenditure reports were routinely reviewed and approved by the PSC and UNDP CO.
89. UNDP CO has provided the necessary facilitation through regular monitoring of the project implementation, review of delivery, and ensuring proper use of UNDP/GEF funds. UNDP CO has also provided advice and support on procurement, contracting of service providers and financial management as well as serving as PSC Co-chair.
90. Following the MTR, a comprehensive management response was prepared outlining actions to respond to recommendations. Where recommendations needed escalation, it is noted that an escalation process was activated—for instance, the issue regarding additional risk was escalated to higher levels of government, although, it is not clear how this issue was eventually resolved.

#### 4.2.7 RISK MANAGEMENT

91. Out of necessity the project needed to ensure that risks identified during project formulation and any emerging ones were managed and mitigated. The project managed risk using a set of systems and tools— tools in monitoring and evaluation and decision-making processes established under the management structure of implementing partnerships.
92. As noted in Section 4.1.2, (Risks and Assumption), nine risks were identified, and the MTR also identified two additional risks that needed to be considered.

**Table 4-8 Risk and risk mitigation -**

Risk	Rating
<b>Institutional</b>	
The current high levels of Government commitment to IWRM and SLM diminishes	Low

Government institutions lack the resources and/or capacity to implement the project or to sustain gains once external project support has been withdrawn	Low
Conflicts and misunderstanding among public institutions, private sector partners, NGOs and resource users undermine partnership approaches and implementation of cooperative governance arrangements	Low
Conflict or lack of commitment within the Project Co-ordination Unit or Project Steering Committee hampers implementation	Low
<b>Socio-economic</b>	
Poor households and other vulnerable members of the communities (women— especially widows, youth, the elderly and tenant farmers) may not be able to share in benefits of the project and may have no other alternative but to drive further land and forest degradation through unsustainable practices	Low
Landowners/users may continue to flout planning regulations leading to further encroachment of river beds, mining in the river beds, burning of forests and expansion of agricultural areas into forest reserves	Moderate
Local level economic growth fails to provide adequate returns on investment in SLM, or the economic gains of SLM are eroded by external factors such as rampant inflation	Low
<b>Environmental</b>	
Predicted or unexpected effects of climate change further compromise the delivery of watershed services and limit agricultural production, despite adoption of SLM	Low
Invasive alien plants and animals negatively impact the biological diversity and watershed functions of the targeted catchments	Low

93. There TE team believes the analysis of risks could have been somewhat more comprehensive given the nature of the project with direct actions by communities and multiple stakeholders. The MTR pointed out that the risk of inadequate funds should be separated from that of capacity and that the risk of inadequate funds should be rated moderately high. This is because although SLM is now being included in budgets of some Ministries, most Ministries do not get all of their budget requests financed; SLM is still amongst the top items to be dropped when budgets are not fully financed.
94. The MTR also pointed out that the proposed SLM Fund is unlikely to be formed within the lifetime of the project because there is no law in the country to support it based on experience from REDD+ and the previously proposed Environment Fund. The TE team agrees with the analysis from the MTR and of course the Fund was never formed and efforts by stakeholders did not yield significant additional funds. This was always a high risk.
95. In 2015 and 2019 SESP reports, significance of potential risks was rated low and the overall risk categorization was also indicated as low.
96. The project continuously evaluated social and environmental risks and applied adequate mitigation measures. In 2020, it was reported that poor households and other vulnerable members of communities (women—especially widows, youth, the elderly, and tenant farmers) may not be able to access a share of benefits of the project and may have no other alternative but to drive further land and forest degradation through unsustainable practices. It was also reported that landowners or users may continue to flout planning regulations leading to further encroachment of riverbeds, mining in the riverbeds, burning of forests and expansion of agricultural areas into

forest reserves. Addressing these issues is one of the project goals and the TE team believes the project has strengthened the capacity of local institutions to enforce regulatory measures while working in close coordination with local community groups but of course this needs to be sustained.

97. The outbreak of the COVID-19 pandemic in 2020 was identified as a significant risk that could interrupt project implementation and put important livelihoods and industries at risk. In response, mitigation measures were taken following Ministry of Health guidelines. This included the wearing of masks and maintaining social distancing during implementation of project activities. At the local level, implementing partners collaborated with local communities to find best measures to reduce direct contact and in some instances reduced the number of technical staff in delivering technical service. Extension officers trained farmers on reducing contact by selling agricultural products through online communication (phones, home delivery).

#### 4.2.8 IMPLEMENTING PARTNER EXECUTION

98. The implementation arrangement was clear and adequate with the project housed within MoW (Implementing Partner), UNDP CO (GEF Implementation Agency) under national implementation modality (NIM) with clear coordination of implementing partners. Roles and responsibility were clearly defined in the project document with a Project Coordination Unit (PCU) supported by a Technical Team (TT) and a Project Steering Committee (PSC) as well as decision-making. The PSC was highly effective and proactive in ensuring that the project activities and implementation approach remained relevant through effective risk management, providing opportunities to expedite important decisions.
99. MoW had the overall responsibility for project implementation to achieve the goals and objectives working in close cooperation with the Vice President's Office as the GEF Focal Point.
100. In line with standard UNDP practice, the Project Document outlines the roles and responsibilities and monitoring and evaluation framework which has been well implemented. The PCU prepared Quarterly Progress Reports (QPR) and Annual Project Review and Project Implementation Reports (APR/PIRs) from implementing partners. The reports are reviewed and endorsed by the PSC and submitted to UNDP CO building into the ATLAS. The APR/PIRs combine both UNDP and GEF reporting requirements. MoW is responsible for reporting progress and results of the project to UNDP CO and to the Vice President's Office (VPO) through the Division of Environment (DoE).
101. Based on feedback from discussions with stakeholders in the two catchment areas, the project was adequately coordinated between ministries, TFS, LGAs, the Pangani and Wami-Ruvu Basin Water Boards (PBWB and WRBWB) offices, DAWASA, DAWASCO, Tanga-UWASA, NGO and CBOs. Operationally, collaboration with other institutions was planned to be achieved through Memorandums of Understanding (MoU). However, it is noted that the MoU's were not established—a point which was also raised during the MTR. Instead, the project operated through mutual agreement (UWAMAKIZI) with TFS (Amani NR, Uluguru NR). This is a deviation from standard good practice that safeguards the formal arrangements and commitment in project implementation. Although this issue was noted, the MTR did not propose a recommendation, and the TE team believes this should have been recommended for action.

UNDP Implementation/Oversight & Implementing Partner Execution	Rating
Quality of UNDP Implementation/Oversight	HS
Quality of Implementing Partner Execution	S
Overall quality of Implementation/Oversight and Execution	S

## 4.3 PROJECT RESULTS AND IMPACTS

### 4.3.1 PROGRESS TOWARDS OBJECTIVES AND EXPECTED OUTCOMES

102. **Outcome 1** - Against the planned output of 7 District, the project managed to deliver 4 District Land Use Frameworks plans for Morogoro, Mvomero, Mkinga and Muheza District Councils. In addition, 20 Village Land Use Plans were developed up to stage four (4) including 4 villages in Mkinga, 5 in Muheza, 6 in Morogoro, 1 in Korogwe and 4 in Mvomero District Councils. Furthermore, the project managed to reach stage 5 of land use planning process for 5 villages, 2 in Muheza, 2 in Mvomero and 1 in Mkinga and 1 village managed to reach up to stage 6 (Korogwe DC). Along with these key deliverables, there was significant capacity building and training in land use planning process with participants from 5 District PLUM teams, 6 Ward Councils, 20 Village Councils and 20 Village Land Councils; 511 persons (359 male, 152 female). The project enabled 5,895 community members (4,119 male, 1,776 female) representing their communities to participate in the planning processes in training management and administration of integrated land use plans.
103. In relation to WUAs, 11 were established along with training of the management committees. Of the 11 WUAs, 6 received support to establish alternative income generating activities such as beekeeping, brick making, and trained on microfinance skills (Village Community Banking). Thirty-six Village Natural Resources/Environmental Committees were also established and trained to support WUAs on water resources management including creating awareness on water sources protection and environmental management and helping the Basin authorities to identify illegal water abstractions and the registration of new water users. Detailed information is outlined in Annex C.
104. **Outcome 2** - The project has made significant efforts increase funding flows for SLM, but this remains a huge challenge requiring sustained lobbying of the central government and the establishment of creative partnerships with stakeholders in both the public and private sectors as well as with NGOs, CSOs and local communities. As reported at the MTR stage, there was an 8% increase in SLM funding allocation by LGAs and by aligned ministries involved in the project, but the budgets were not financed; hence, the allocated amount was largely unavailable.
105. The MTR pointed out the difficulties in rating the percentage achievement of Outcome 2 because the baseline value of SLM funding was estimated at zero, yet the target was given as a 15% increase. The public expenditure review estimated that the public expenditure for SLM related activities ranged from 0.5%-7% for the SLM sector ministries and around 20% for sector departments in local government. However, these shortcomings have perhaps created more awareness of the need to increase efforts and build capacity for resource mobilization. This culminated in 20 staff from Basins, line Ministries, Institutional and LGAs being trained on fundraising including developing bankable project proposals.
106. The TE team notes that three funding proposals were submitted to the National Water Fund. Pangani Basin received 56,165,000 Tshs from the Water Fund to conduct river flow measurement and water quality measurement and demarcate the Muzi River with the installation of permanent beacons in the 60m river buffer zone in Zigi catchment. Wami/Ruvu Basin received approximately 958,000,000 Tshs from the Water Resources Integration Development Initiative for procurement of surface water and weather measurement.
107. Through EAMCEF, Mgolole Water User Association received 5,000,000.00 Tshs for supporting preparation of tree nursery in Ruvu catchment.



108. **Outcome 3** – In line with the objectives of the component and Outcome, substantive institutional capacity building work was achieved under Outcome 3 on both in the Ruvu and Zigi Catchments, through support and capacity building in National Land Use Planning Commission (NLUPC), Ministry of Minerals, Basin Water Boards, MOW, LGAs and livestock keepers. More than 242 experts (165 male and 77 female) have acquired knowledge and skills on integration of SLM into resource use and management practices, an increase of 43% from the 104 experts at project inception.
109. The project provided training to 45 extension officers (35 male and 10 female) from 7 Districts (Ruvu and Zigi catchment) on SLM practices, concepts and technologies, principles of integrated water resource management and alternative sustainable livelihoods and equipped them with suitable awareness raising materials to support their extension services.
110. In Ruvu catchment, 14 low-cost weather stations (ambient) were installed and 10 technical staff from Wami/Ruvu Basin attended training on installation, operating software and maintenance. Equipment including GIS software licenses for three users, two GIS processing heavy duty computers and one Map/ Graphic printer (with capacity of printing A3 size) was supplied to the NLUPC to strengthen land use planning activities. Sixteen experts (14 male and 2 female) from NLUPC, Ministry of Minerals, Basin Water Boards, Ministry of Water, and LGAs were trained on implementation and land management (GIS skills). In addition to the construction of five cattle water troughs, 123 Livestock keepers (33 female and 94 male) trained and participated on pasture establishment at Mvomero DC and Mkinga DC.
111. **Outcome 4** – In general, Outcome 4 provided important opportunities for developing pilot initiatives and practical approaches in SLM and IGAs to reduce pressure and the effects of land degradation on watershed services and to improve livelihoods. The range of IGAs (beehives, small livestock, dairy cows, fish farming) will enable communities to see benefits and opportunities for improving livelihoods without relying heavily on activities that cause environmental degradation.
112. The project collaboratively worked with local authorities and communities to identify heavily degraded sites using technology such as GIS to produce maps in order to develop natural regeneration projects. In Zigi catchment, (eight sites) identified as most degraded areas (Ndola, Ngoka, Kihara, Darajani Sakale, Ngara Ndefu, Kwemtote, Sangarawe and Kwemhuyu), which cover a total of 44 sites and cover of 230 ha. In addition, 36 degraded forest areas and water sources sites covering an area of 225 ha outside the protected forests were identified. Thirty sites in eight villages were replanted with 5,400 tree seedlings of natural species including *Allanblackia* spp, *Newtonia* spp, *Tabana* spp, *Beilchmedia* spp and *Draceana* spp. The project supported enrichment planting on 207 ha to encourage and catalyze natural regeneration in both Zigi and Ruvu.
113. The approach for establishing and protecting natural regeneration sites is commendable. It equipped communities with the necessary knowledge and training in such areas as forest fire management and embarked on broad community awareness campaigns, using brochures and sign boards. The campaigns focused on and supported the creation of school environmental clubs, which strategically broadens awareness, as youth are often an important catalyst for shifting community mindsets. Eleven school environmental clubs were established in Ruvu and 25 in Zigi. The TE team believes this approach is likely to encourage better ownership and resource stewardship in the long term.
114. The project supported training in livelihoods activities such as beekeeping, fish farming, VICOBA and construction of energy-saving cookstoves among in WUAs in Ruvu. The training of 108 trainers (ToT) on energy-saving



cookstoves means that communities will readily have support specifically in the nine communities of Mnyanza, Tchenzema, Kibagala, Ngung'ulu, Kitengu, Bunduki, Vinile, Maguruwe and Tandali. This is an approach that can easily be replicated beyond the catchments. In Zigi Catchment, the project demonstrated use of alternative energy sources and fuelwood efficient stoves (one demonstration Biogas plant constructed in Shebomeza village and 80 energy saving stoves in seven villages (Kisiwani, Mlesa, Sakale, Kisiwani, Shebomeza, Mbomole and Ubiri). The 80 demo stoves were constructed by trained local artisans who emerged from the training of 45 villagers (14 male, 31 female). These have catalyzed construction of over 950 stoves on demand from inspired households in the villages and surrounding communities. The stoves have efficiencies of 50 to 65% (basing on research findings from TaTEDO and wPOWER); in some cases, the efficiency is as high as 80% depending on use practice.

115. The project's efforts in creating knowledge and understanding of the need for protecting waterways will have significant benefits in the long-term. One hundred and fifty-two hectares (101 ha in Zigi and 51 ha in Ruvu) were demarcated under the 60-meter river buffer with 300 permanent beacons installed in strategic areas covering to secure river buffer with about 31,830 surrounding community members sensitized on protection of reserved land. The sites include 16 Villages in Zigi Catchment. This is also an approach that is easily replicable beyond the project area.
116. Seven hundred and twenty ha were earmarked for demarcation in Ruvu, under a proposal to access funding from the Water Fund, to scale up restoration of buffer zones as well as reduction of sediment load and restoration of natural vegetation along Ruvu River, including fabrication and installation of 1,200 concrete beacons and 100 sign boards with different conservation messages.

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#### 4.3.2 RELEVANCE (HIGHLY SATISFACTORY)

117. Given the limitations faced by the government's commitment to address issues of land degradation, water security and poverty is hampered by barriers noted in the problem analysis, it is critical that methodological approaches and measures are developed to establish a systematic approach. Therefore, the project's objectives and the two components are highly relevant to identify and develop strategic pathways to address the lack of a collaborative institutional framework, technical capacity limitations and inadequate demonstrated experiences in integrated watershed management approaches at the landscape level.
118. The project was formulated with a clear focus on national and sectoral priorities to strengthen SLM in these two important catchments. This is demonstrated by its alignment to legislation relevant to the integration of SLM into the water sector such as the National Water Policy (2002); the Water Resources Management Act (WRMA); No. 11 of 2009; the Land Act; and the Village Land Act, Act 5 of 1999: National Agriculture and Livestock Policy. In addition, it supports the National Environment Policy (NEP, 1997), which contributes to priorities aimed at reducing deforestation and mainstreaming forest management into production sectors—agriculture and tourism.
119. The government's commitment to sustainable natural resource management requires robust institutional frameworks that allow effective participation of a broad group of stakeholders in water and forest resources management and conservation. With such an enabling environment, regulations such the Environmental Management Act (EMA, 2004), the Forest Policy (1998), the Forest Act (2002) and the National Forest Programme (NFP, 2001) can be more effective if communities have the capacity and financial resources to manage their own natural environments.

120. While there are some shortcomings identified in both the MTR and this TE, the project design is commendable and should be used as an example for other projects because it clearly articulates the opportunities and gaps, outlines strategic plans and investment (historical and planned) and how the project aligns with the sectoral strategies as was the case with the National Water Sector Development Program, which gave effect to the National Water Policy. The lack of a Theory of Change (later reconstructed) did not hamper alignment of the project to UNDP and GEF strategic priorities as these are described in the Project Document. The project engaged with all relevant stakeholders and created important partnerships that are likely to endure into the future. The project design also incorporated lessons from historical and current projects.
121. The project was formulated and commenced at a time of significant shifts in global discourse on climate change and the urgent need for national and international commitment to increase community participation in environmental management stewardship, increase finance for natural resource management, and reduce emissions from all sectors. The project objectives and outcomes align with global concerns on climate change as well as international conventions and agreements in which Tanzania is a signatory. These include the Paris Agreement; the Convention on Biological Diversity (CBD); the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); the African Convention on the Conservation of Nature and Natural Resources; Agenda 21; and the RAMSAR Convention on Wetlands of International Importance.

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#### 4.3.3 EFFECTIVENESS (SATISFACTORY)

122. There is clear evidence the project contributed to the country program's outcomes and outputs, the SDGs, the UNDP Strategic Plan, GEF strategic priorities, and national development priorities as these have been measured and reported in the M&E framework including the capacity development indicators for GEF funded projects.
123. The detailed achievements of the project are listed in Annex C and summarized in Section 4.3.1. the project produced several technical products. The project had significant achievement across all four outcomes and documentation with supporting quantitative information was provided for the TE. The GEF LD Tracking tool provides quantitative information on the extent of land degradation within the project boundary as well as the extent of restoration activities. An additional useful metric that the project could have included is carbon emissions accounting. This would have been a useful metric that could show the emission reduction potential of investments and co-financing by the project and its partners.
124. Both the MTR and TE have noted the limitations regarding the setting of the Water Fund. This was an ambitious target that required proper understanding of the legal framework and would have benefited from initial consultation during the project formulation and inception phase, as there were lessons to be drawn from attempts to establish an Environmental Fund and the REDD+ Fund.
125. Regarding gender, the project has demonstrated broad willingness to ensure the role of women in natural resource management is strengthened and mainstreamed. Despite the shortcoming of not having a gender analysis to establish the baseline status, the project has created the necessary environment to enable long term sustainable changes in attitudes, behaviors and power relations between the different stakeholder groups. The project commissioned several important studies including a Gender Diagnosis Study in 2017, Assessment of Alternative Income Generating Activities, and a Stakeholder Database for both catchments. These studies provide important information and data that will provide ongoing assessment and evaluation of the effectiveness of gender strategies in natural resource management.

126. The project design targeted the strengthening of the role of women in such activities as beekeeping, fish farming, and VICOBA supported by appropriate training in financial management. Women have come to occupy important portfolios in the WUAs. Early indications show that the project has contributed to closing gender gaps in access to and control over resources.

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#### 4.3.4 EFFICIENCY (SATISFACTORY)

127. The allocation of funding across the outputs were based on the contextual analysis and substantive consultation, UNDP knowledge base, government and GEF guidelines and templates for project cost-estimating. This TE observes that the targets were also developed based on the funding available and jointly agreed upon with stakeholders on the focus of each workplan.
128. The general observation from this TE is that the project applied best practices in financial resource allocation and spending and implemented optimal project management which has enabled completion of activities within the estimated timeline. Partnerships and experts utilized to achieve outputs in the different thematic areas of the project outcomes while communities or beneficiaries participated in implementation (input which is accounted for through co-finance in-kind). Assumptions can be made that there was efficient use of financial resources in achieving the outputs, and this assumption can be validated by the resulting improvement in people's livelihoods, reduction in ecosystems degradation and improvement in water quality—all of which are measurable and reported in the Tracking Tool and the M&E system.
129. For instance, against the planned output, the project supported and achieved the formulation of four District Land Use Framework Plans, 20 Village Land Use Management Plans and 11 WUAs along with training of management committees, establishment of IGA such as beekeeping and livestock, which are intended to reduce pressure on forest and land degradation. These are major achievements given the feedback from some stakeholders that the financial resources and capacity were generally inadequate.
130. Clarity of project governance and implementation arrangements was a key factor that enabled the project to achieve its objectives. This also relates to national ownership, represented by the hosting role of MoW, agreed national implementing modality (NIM) with clear coordination between the Government and UNDP as well as technical units to oversee the day-to-day implementation. Efficiencies were also demonstrated in the decision-making process established, which enabled risk management and the expediting of critical decisions.
131. Ideally, project component or activity cost estimating would benefit from approaches such as value for money analysis, cost benefit analysis, assessment of social and economic net preset values as well as emission reduction potential based on current market value of carbon credits. These approaches have become widely used particularly with many development partners, and multi-lateral institutions such as the World Bank and the Green Climate Fund. Such analysis would then be useful to support the qualitative narrative that MTs and TEs provide and strengthen the business case for replicating actions that provide the best value and benefits.
132. However, these comments do not necessarily intend to diminish the achievements of the project which are in fact remarkable and highly appreciated by the stakeholders and beneficiaries. However, the Project Document could be strengthened with more financial analysis.

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#### 4.3.5 OVERALL OUTCOME (SATISFACTORY)

133. The project implementation continued to be consistent with observation at the MTR stage. The project has been effectively implemented and demonstrated alignment with the expected results. The TE team fully agrees with the initial observation that it represents an example of a **‘good’ project**. The project is highly relevant and supports national development priorities and addresses the challenges and barriers to mainstreaming SLM, hence it is highly relevant.
134. Efficiencies improved with time as the project governance and M&E established routines and strong partnerships particularly with MOW and the Water Boards and LGA in the project areas. The progress towards objectives is highly encouraging despite the shortcoming regarding the ability to mobilize more funding as was planned from the beginning. However, the project has demonstrated that strategic selection of outcomes and alignment of objectives with local needs, national and global priorities can lead to both country ownership and community environmental stewardship.

Assessment of Outcomes	Rating
Relevance	HS
Effectiveness	S
Efficiency	S
Overall Project Outcome Rating	S

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#### 4.3.6 SUSTAINABILITY

135. The project design appropriately identified sustainable and predictable financing for SLM as a key ingredient for long term success of watershed management. Hence the inclusion of a proposal to establish and capitalize an SLM Fund. Unfortunately, there was limited due diligence to understand the opportunities and potential barriers to such a proposal. Additionally, the project also aimed to increase funding earmarked for SLM interventions in the Ruvu and Zigi catchments by 15%. This target was significantly higher than the 3% levels recommended by a public expenditure review in 2016. The expenditure review report recommended a minimum of 3% allocation for ministries responsible for sectors that are directly impacted by SLM, and a gradual increase on a yearly basis to 5%, 7%, 9% and 10% in a span of five years. It also recommended a minimum of 20% allocation by departments responsible for sectors that are directly impacted by SLM, with a gradual increase to 30% in five years. If these proposals are to be realized, then predictable financing of SLM can be achieved in a sustainable manner. In the absence of predictable and sustainable, funding, SLM will continue to face significant challenges to achieve necessary scales that would result in transformative shifts in land and water management.

**Table 4-9 Assessment of Sustainability**

TE Assessment	
<b>Financial sustainability</b>	<ul style="list-style-type: none"> <li>• There is some evidence of sustained funding of SLM interventions through LGA and Ministry funds but not at the level that would build confidence on funding predictability. There are deliberate efforts to mainstream SLM activities in their budgets, some increased budget allocations, and some have been trained on proposal development to diversify funding sources in future.</li> <li>• Prior, WUAs retained their "commission" at the collection points. Now, they will have to claim their commission from the Water Authorities whose revenue is submitted straight to the Treasury. The Water Authority will have to request remittance from the Treasury and then pay the WUAs. The TE team believes this could cause delay in funding to WUAs.</li> <li>• Setting up the SLM Fund is no longer an option; hence, there is need to focus on options such PES and possibility of establishing a Catchment Based Water Fund (e.g. Zigi Catchment Fund) involving large water users.</li> <li>• Pangani and Wami Ruvu Basins were able to access funds from National Water Fund, but this is a competitive fund that requires submission of project proposals.</li> </ul>
<b>Socio-political sustainability</b>	<ul style="list-style-type: none"> <li>• Support from communities involved in the project to commit to conserving catchments. This is as a result of the project's support of IGAs and environmentally friendly agriculture practices.</li> <li>• There is strong support leadership from government demonstrated by the level of engagement in implementing the project. The clear linkages of the project with national priorities will allow project outcomes and benefits to be sustained, more so with predictable funding.</li> </ul>
<b>Institutional framework and governance sustainability</b>	<ul style="list-style-type: none"> <li>• SLM is recognized as an important framework for natural resources while improving peoples' livelihoods and poverty reduction. Therefore, it is aligned to national policies and governance structures. Hence there are limited or no threats to the continuation of project benefits.</li> <li>• The project has inherent capacity building across all activities and has made efforts to build functional and operational capacity for SLM at the LGA level, including the setting up of WUAs, technical training in M&amp;E and land use plans, contributing to land tenure security for local communities.</li> <li>• No evidence yet, if newly established sub-catchment committees are fostering coordination among stakeholders.</li> </ul>
<b>Environmental sustainability</b>	<ul style="list-style-type: none"> <li>• Climate change and natural disasters pose a significant threat and potential to undermine the future flow of project benefits. However, mainstreaming SLM contributes to global efforts to reverse the existential threat from climate change, and the GoT is a signatory to multiple climate change conventions. It is therefore in the interest of both the Government and communities to climate proof production systems and create healthy landscapes.</li> </ul>

136. The MTR pointed out that the risk to financial sustainability is high. The TE team agrees with this assessment but also notes positive developments towards securing funding for sustaining project outcomes. If PES and other financing instruments being considered are to materialize with the private sector players, the prospect for sustainability and upscaling would be significant. The model adopted by the project i.e., building the capacity of the WUAs to be the guardians of the Water Resources Management Act (2009) and the provisions of conserving water sources coupled with mainstreaming SLM as a tool for securing watershed services into the relevant sectors,

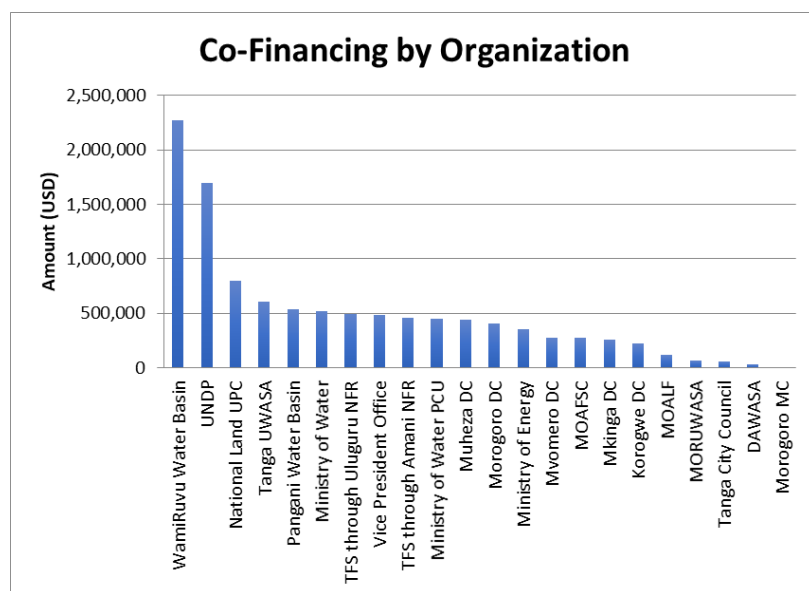
is highly effective. However, the scale of the project intervention is very small compared to the magnitude of the challenge in the two water basins. For SLM to impact watershed services at the two watershed basins, there is a need to replicate the pilot projects at scale, which will be a resource intensive process.

Sustainability	Rating
Financial Resources	ML
Socio-political	L
Institutional framework and governance	L
Environmental	L
Overall Likelihood of Sustainability	ML

### 4.3.7 COUNTRY OWNERSHIP

137. The project was formulated with wide-ranging consultation and involvement of key national institutions. Country ownership is clearly demonstrated by the leadership and commitment demonstrated by MOW and close collaboration with ministries responsible for land, forestry, environment, and other natural resources: National Land Use Planning Commission, the Wami-Ruvu and Pangani Basin Water Boards Offices, Morogoro, Tanga and Dar es Salaam Urban Water and Sanitation Authorities, Division of the Environment in the Vice President’s Office, the Prime Minister’s office – Regional and Local Government (represented by the Local Government Authorities of the four target Districts), and several Water Users Associations along the two rivers. This broad engagement was also demonstrated in the project governance, which also had broad representation. Section 4.2.3 outlines the co-financing status which illustrates the commitment by project partners towards funding project implementation. Figure 4-2 summarizes the project co-financing by organization – a combination of LGAs, Water basin Authorities and city councils.

**Figure 4-2 Assessment of co-financing by organization**



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#### 4.3.8 GENDER EQUALITY AND WOMEN'S EMPOWERMENT

138. As reported in the 2020 PIR and confirmed during the TE field mission, increasing gender equality and empowerment in the implementation of the project has led to a better understanding of the relations between men and women as well as other groups in the communities including youth and other vulnerable groups. Women have come to occupy important portfolios in the WUAs, and many have been empowered through the livelihood activities implemented by the project. Early indications show that the project has contributed to closing gender gaps in access to and control over resources.
139. For example, the building of capacity in the establishment of Village Community Banks (VICOBA) and Village Savings and Loans Associations (VSLA) focused on women will strengthen the participation of women in decision-making and economic activities.
140. Across a range of project activities including fish-farming, livestock, and beekeeping, women's membership and participation in training ranged approximately from 20% to 35%.
141. The TE observes that a gender diagnostic was carried out in early 2017 and provided some important recommendations. It is worth pointing out that a gender analysis should have been conducted prior to the project's inception in order to establish a baseline and inform the project's overall design even though this was not required at the time of the project's inception.
142. The project encouraged women's participation in project activities in line with national guidelines, including considering the role of women during the formation of committees such as Village Land Use Management Plan Committees and WUA Committees. For example, it is recommended that at least one-third of Water Committee (WC) members be female.
143. Gender issues are stipulated in the National Water Policy which recognizes the participation of community in water resources management as primary users, guardians and managers of water resources. Through the project both men, women and youth have been educated on the management, protection, conservation and development of water resources, as they are facilitators for change.
144. The baseline information indicates that prior to the project implementation few of the project villages had safe water, clean and sufficient. The rest of the villages revealed that water is not adequate in terms of quality and quantity because the sources are open and susceptible to contamination which led to waterborne disease incidents. In this regard, most women spent more than three to four hours at the traditional wells and improved water points waiting to get water.
145. SLM project awareness creation to communities has resulted in an improvement of all sources of water, enhancing access to potable water to both upstream and downstream communities. Improving access to potable water has significantly reduced women's workloads and given them enough time for other family chores as well as productive activities. It has also reduced girls' absenteeism from schools and improved their school performance.
146. Women shoulder the responsibility of fetching water and ensuring their safety. Therefore, inadequate access to water and limited access adds to the burdens of women. This compels development interventions to ensure that women are involved in setting priorities in their village plans for improving livelihoods. Women also contribute to identifying the challenges and constraints which limits the accessibility to water and suggest appropriate solutions. Improved water supply has mostly motivated communities especially women to participate and contribute fully in conserving water sources and protecting them, increasing the economic activities for household improvement.



147. Participatory land use planning requires that users decide on the use and management of land because they are the ones who are affected by resource conflicts and land degradation. Women and men are engaged in different land utilization types, according to their social economic settings that are determined by gender relations in their respective communities.

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#### 4.3.9 CROSS-CUTTING ISSUES

148. The project has been highly positive on local communities with what some stakeholders referred to as “remarkable” support to improve natural resource management and livelihoods. Land restoration activities, setting of WUAs, IGAs VICOBAs and promotion of value chains for energy options such as cookstoves have improved local livelihoods including creation of jobs, which release pressure on forests. Such activities offer communities and households alternatives that could safeguard their livelihoods against disasters. The project also offers the opportunity for equitable access to support programs for vulnerable groups, women and children.

149. The project objectives align with UNDP **Cluster 1:** (Growth for reduction of income poverty)

Component 2: (Environment and Climate Change), Outcome 2: (Relevant MDAs, LGAs and Non-State Actors improve enforcement of environment laws and regulations for the protection of ecosystems, biodiversity and sustainable management of natural resources).

**Outcome 2:** Relevant MDAs, LGAs and Non-State Actors improve enforcement of environment laws and regulations for the protection of ecosystems, biodiversity and sustainable management of natural resources.

Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.

150. Healthy ecosystems represent economic opportunities and reduced health risks from improved water quality in rivers. The project is contributing to the strategic objectives of the 10-year strategic plan of the United Nations Convention to Combat Desertification (UNCCD), which are to: i) improve the living conditions of affected populations; ii) improve the condition of affected ecosystems; iii) Generate global benefits through effective implementation of the UNCCD. The project promoted awareness raising and education on water and environmental conservation using science technology and knowledge.
151. The project contributed to the reforestation at Kihara Zigi catchment through involvement of communities (with government and NGO support) living in and in the the buffer zone of the Amani and the Uluguru Nature Forest Reserves (NFRs). It may be too early to confirm whether the outcomes have contributed to better preparation to cope with disasters. The scale of the project activities is small and needs to be replicated and scale up for a more visible impact.
152. However, supporting activities such as beekeeping, small livestock, fish-farming, and providing capacity building and training, startup funding contribute directly to poverty reduction. It is important though to ensure extension services remain in place to constantly check and offer support to the communities to maintain the momentum and uptake. The project activities compliment other efforts in the delivery of social protection and essential public services for all; scaling up efforts to end hunger and malnutrition; protecting ecosystems; promoting peaceful and inclusive societies; gender equality and the empowerment of women and girls; children and youth.



153. This TE also concludes that to create a more diverse, integrated landscape, finance will play an important enabling role, by mobilizing capital for both conventional and non-conventional landscape management systems which are desirable for their non-market benefits and creation of added public value. It is noted that both the Government and its agencies and UNDP are now making concerted efforts to mobilize funds and considerations are being made for different types of instruments and partnerships with the private sector. Increasing these financial flows not only supports the United Nations' Sustainable Development Goals (SDG), but fulfils specific targets related to sustainable finance within these goals. Specifically, the project forms part of Tanzania's pathway to fulfilling SDG 13 (Climate Action, Goal 15 (Life on Land) but the continuation and upscaling of the project's outcomes are essential.

#### 4.3.10 GEF ADDITIONALITY

154. Looking at the list of projects (historical and current) which informed the design of the SLM project, patterns of incremental reasoning can be observed but there is a lack of systematic collation of quality quantitative and verifiable data. Data collection, sharing, and lack of simplified accessibility makes longitudinal analysis of impacts challenging. This issue is not unique to Tanzania but many countries in the region face similar challenges largely due to disaggregation of funding mechanism. It is hoped that the implementation of NDC commitments and Enhanced Transparency Framework under the Paris Agreement can gradually enforce data standardization and reporting which would enable verification of incremental reasoning.
155. However, within the project, data metrics showing project results against baselines are recorded in the Tracking Tool.
156. Tanzania faces multi-sector land resource related challenges. Hence long-term solutions are needed to conserve its important ecosystems. There is a long history of detailed environmental policies and frameworks for resource allocation such as SLM, Sustainable Forest Management (SFM), Joint Forest Management (JFM) and Community-Based Forest Management (CBFM). However, there is also a long history of policy failure as a result of insufficient operationalization and enforcement of policies and regulations across sectors that drive deforestation and forest degradation for instance.

**Table 4-10 Areas of GEF's Additionality**

GEF's Additionality	Description
<b>Specific Environmental Additionality</b>	<p>The project outcomes and outputs are designed to measure performance against baselines. The M&amp;E plan has ensured the project collects data that can support quantitative analysis. For instance, data collected shows encouraging signs of sediments load reduction measured at 11 stations in Ruvu catchment and 6 stations in Zigi catchment. Reductions of as much as 27% in soil erosion coincide with increases in mean annual river flow rate of 20% for Ruvu and 21.64% for Zigi River. These results are attributed to the project.</p> <p>Similarly, in 5 years, 32,072 ha of land has been restored through the support of the project. While this is a small area in the context of the project area, it represents effectiveness of the methodology for scaling up.</p>
<b>Legal/Regulatory Additionality</b>	<p>The project may lead to legal and regulatory reform but there is no indication yet. However, ongoing discussion and improved understanding of the policy and regulatory limitations regarding setting up funds has generated attention from key decision makers.</p>

<b>Institutional Additionality/Governance additionality</b>	The project has been instrumental in setting up WUAs, building capacity of LGAs and other partners, and implementing livelihood activity groups through IGAs. These institutions have gained knowledge on program implementation, understanding how to optimize and utilize limited resources efficiently. The main additionality here is perhaps more to do with operational issues including improved M&E.
<b>Financial Additionality</b>	The GEF funding was important to initiate the project and to bring different partners together with common objectives. The implementation of the project has generated greater ownership with LGA, Catchment Boards having greater appreciation of the value generated through increasing budget allocations for SLM. If the momentum generated by the project is carried forward, the prospect for accelerated landscape restoration and mainstreaming of SLM at all levels will be greatly enhanced.
<b>Socio-Economic Additionality</b>	The GEF helps society improve their livelihood and social benefits through GEF activities. Local communities view the introduction and support for IGAs and improved agricultural production systems as an important step towards poverty reduction, better living conditions, and improved community health as a result of reduced pressure on natural resources leading to cleaner water sources.
<b>Innovation Additionality</b>	The project has introduced innovation through some IGAs, energy saving cookstoves, and established long-term river flow, water quality monitoring systems, and generated discussions for developing innovating financing instruments, which are now under consideration. This is also a step in the right direction.

#### 4.3.11 CATALYTIC/REPLICATION EFFECT

157. The success of the project activities will influence the potential for replication. The project implemented and established demonstration sites that are easily replicable. Hence there is evident potential for the project to be a catalyst for future programs. For instance, restoration activities and IGAs are easily replicable if adequate funding is made available. In relation to forest activities, forest restoration is widely discussed topic that promises to support Tanzania efforts to restore degraded lands and increase carbon stock contributing to the country's commitments and National Determined Contributions emission reduction targets under the Paris Agreement.
158. The observed success and potential of interventions such as rangeland management and fruit trees seem to be easily replicable but require financial support. The project's potential for replication is significant because it pointedly focuses on addressing some of the most critical challenges facing local communities with regards to climate change vulnerability in the two catchments. The project will provide important lessons that can inform policy and design for future interventions that strengthen community resilience to climate change and poverty reduction.
159. The overall analysis is that this project is highly relevant with a significant potential for replication and influencing mainstreaming of SLM. It provides an excellent platform for influencing policies related to SLM and is a demonstration of how a mix of regulatory and non-regulatory instruments can be used to encourage local ownership and commitment to sustainable resources management.

Table 4-11

## Catalytic and replication effect assessment

Aspect	TE Observation
Scaling up	<p>The project design framework and approach to leveraging partnerships and stakeholders are transferable to other projects.</p> <p>Scaling up landscape restoration may require some push factors such as legal instruments or by-laws that mandate particular practices with regards to increasing tree cover.</p>
Replication	<p>Land restoration activities, setting of WUAs, IGAs VICOBAs and promotion of value chains for energy options such as cookstoves are easily replicable but guidelines and lessons learned need to be widely disseminated beyond the project in order to promote uptake.</p> <p>The establishment of beekeeping learning sites is a good example of creating the enabling environment for promoting uptake. Lessons have been on selecting appropriate apiaries and management practices which can help the groups in proceeding with the initiatives. This is similar to fish-farming groups in Ruvu that have demonstrated capacity to earn significant income. Interest will be generated when other communities realize that other community groups are producing 27 tons of fish per year with a local market value of 175 million Tanzanian Shillings.</p>
Demonstration	<p>The demonstrated use of alternative energy sources and fuelwood efficient stoves in Zigi can catalyze broader uptake given the large number of energy saving stoves constructed (80 energy saving stoves in 7 villages). These stoves have significant potential for wider uptake if resources are made available to increase awareness and regular training. The 80 demo stoves constructed by trained artisans who emerged from the training of 45 villagers (14 male, 31 female) have catalyzed construction of over 950 stoves on demand from inspired households in the villages and surrounding communities.</p>
Production of public good	<p>In general, dissemination of lessons and information relating to changes in community livelihoods is likely to catalyze and generate interest beyond the project area. As such, perhaps market forces alone are unlikely to lead to significant uptake with deliberate demonstration and awareness.</p> <p>The project produced some valuable studies and material that would benefit the wider community and policy makers. The tracking tool contains valuable quantitative data and information, but this would need to be converted into a summary policy brief for wider distribution. Additionally, the knowledge gained from the trips to Kenya and South Africa would be useful if shared with a wider audience.</p>

## 4.3.12 PROGRESS TO IMPACT

160. Based on the reconstructed Theory of Change, the progress to impact is encouraging for both enabling actions and direct interventions.
161. Project support to institutions, establishment of partnerships, and setting of WUAs, IGAs VICOBAs and promotion of value chains for energy options such as cookstoves provide important lessons to inform policy. Post project impact evaluation and policy briefings need to be conducted to assess possible improvements or policy reforms to strengthen SLM.
162. The project supported the production of various studies including the Environmental Flow Assessment of the Zigi River Catchment published in 2017, which is a unique study providing key information about land degradation in the catchment and management options to address the root causes. This study indicates that direct interventions

or actions show encouraging early impacts: sediments loads measured at 11 stations in Ruvu catchment and 6 stations in Zigi catchment registered an average of 27% reduction in soil erosion (exceeding the end of project target of 10% ). This is impressive as it happened concurrently with an increase in mean annual river flow rate, which rose by 20% for Ruvu River (from 60 m3/sec at project inception to 72 m3/sec and 21.64% for Zigi River (from 5m3/s at project inception to 6.082m3/s) measured between January and December 2017). This is double the end of project target.

163. During a period of five years, a total of 32,072 ha of land has been restored through the support of the project. This is equivalent to 1.6% of the targeted area for restoration leading to a reduction in soil erosion from restored areas as follows: 5,328 ha – Agricultural land; 23,652 ha – Range land; 1,817 ha – Forest land outside protected areas; 1,211 ha – protected forest and 64 ha planted woodlot forest.
164. There is a 3% improvement in household welfare for households adopting income generating activities; yields of maize have increased from 2.5 tons/ha at project inception to 3.8 ton/ha for farmers adopting SLM measures, with concurrent increase in income from TZS 480,000 to TZS 550,000 per year. With these early impact indications, the TE team agrees with the project view that SLM is a powerful tool to address complex IWRM and Development Plan challenges, and that communities are ready and willing to play their part in IWRM when the incentives and disincentives are clear.
165. The project carried out studies to assess financial investments in sustainable land management (SLM) in Tanzania (2017) with three objectives (i) to conduct a Cost Benefit Analysis (CBA) of SLM systems in Ruvu and Zigi catchment, in order to have a basis for developing a business case for scaling up interventions based on the CBA, (ii) analyze traditional and nontraditional funding sources for SLM activities, and (iii) conduct capacity assessment of water basin authorities and stakeholders to determine their capacity to design and manage SLM interventions and mobilize resources. Table 4-12 below lists some key knowledge products produced during the life of the project which can be share or published for wider access.

**Table 4-12 Summary of key knowledge products**

Summary of Key Knowledge Products	
1	Zigi EFA Main Wet Season Fieldwork Results Final Summary Report
2	River Health Assessment in Ruvu Catchment, United Republic of Tanzania Ministry of Water and Irrigation, Wam/Ruvu Water Board
3	Stakeholder Database for Zigi and Ruvu Catchments, July 2017
4	Financial Investments in Sustainable Land management Programmes and Planning in Tanzania, October 2017
5	Biophysical Inventory Report for Zigi and Ruvu Catchments, June 2018
6	Project Information Data Management Report Final Report, December 2017
7	GIS Training Final Report, May 2018
8	Gender Diagnosis Summary Report for Wami-Ruvu Catchment, January 2017
9	Gender Diagnosis Summary Report for Zigi Catchment, January 2017
10	Final Report Assessment of Alternative Income Generating Activities Zigi Catchment, 2016

### 5.1 MAIN FINDINGS

166. The project benefited immensely from broad stakeholder engagement and drawing lessons from other relevant projects during formulation leading to the creation of enduring partnerships, government ownership and commitment. For instance, the design of the project featured activities that had been successfully supported by the Eastern Arc Mountains Conservation Endowment Fund such as alternative livelihoods like beekeeping, spice-growing implemented in the West and East Usambaras and the Uluguru Mountains. The project also adopted the approach piloted successfully by the Ujamaa Community Resource Team in northern Tanzania on establishing land use plans.
167. The project formulation process enabled a large number of stakeholders to understand water and environmental conservation and share the vision of the project. However, the project design could have benefited more from an early theory of change which could have further strengthened the ability to adequately verify the project logic and create a shared vision of the intended impact. The need for sustainable and predictable financing for SLM was clearly identified as critical and the project design included a proposal to set up the SLM fund. Formulating a theory of change at the design stage could have enabled identification of the legal and technical barriers to setting up the fund although this TE notes the ongoing efforts and promising prospects for future financing of SLM.
168. This project had a high degree of relevance and this made gaining stakeholder support and establishing partnerships easier. The Midterm Report (MTR) pointed out that the project may have been over ambitious to have 13 outputs and 69 groups of activities over the two basins. However, the findings of this TE are that the project was able to leverage a large number of partners (20) to support the implementation of the project hence the number of activities was not a problem.
169. The design of the project governance is an important factor in the success of the project—it represented country ownership and commitment. More importantly roles and responsibilities were clearly defined in the Project Document with a Project Coordination Unit (PCU) supported by a Technical Team (TT) and a Project Steering Committee (PSC). The effectiveness of the PSC reduced delays and ensured project outputs were achieved with as much efficiency as possible.
170. The project was successful in supporting a large number of institutions and partnerships to set up operational Water Users Associations (WUAs) and supporting committees, work with local communities in developing income generating activities (IGAs) for small livestock, beekeeping, promotion of energy saving cookstoves, and participation in forest restoration activities. These initiatives have resulted in improved livelihoods for participating communities, stronger ownership of natural resource guardianship, and creative instruments for accessing micro-finance to promote broader participation of women.
171. The role of the private sector was recognized in the project design but the practical measures to adequately engage the private sector during implementation were somewhat minimal, and this is attributed in part to the absence of relevant and enabling policies and regulations. This is an important aspect that needs to be pursued beyond the project life. As setting up the SLM Fund is no longer an option, there is an opportunity to pursue Payment for

Ecosystem Services (PES) and a possibility of establishing a Catchment Based Water Fund (e.g., Zigi Catchment Fund) involving large water users.

172. In general, the project achieved the key outcomes with a wide range of outputs. This is an important step towards mainstreaming SLM. A large proportion of the outputs demonstrate significant potential for wider uptake through upscaling. Therefore, an important next step is for the project partners to draw on the lessons and strategize for mainstreaming and contribute to upscaling beyond the two catchments.

## 5.2 CONCLUSIONS

173. The TE's main conclusion is that this was a well formulated project with clear alignment to national priorities, to UNDP country program, and to GEF focal area – hence highly relevant. The design process allowed broad participation of stakeholders, a very high degree of collaboration and coordination and country ownership. This resulted in effective and efficient implementation and in the ability to fully disburse project funds and complete all activities planned and funds availed.
174. This TE also concludes that to create a more diverse, integrated landscape, finance will play an important enabling role, by mobilizing capital for both conventional and non-conventional landscape management systems which are desirable for their non-market benefits and creation of added public value. It is noted that both the Government and its agencies and UNDP are now making concerted efforts to mobilize funds and considerations are being made for different types of instruments and partnerships with the private sector. Increasing these financial flows not only supports the United Nations' Sustainable Development Goals (SDG), but fulfils specific targets related to sustainable finance within these goals. Specifically, the project forms part of Tanzania's pathway to fulfilling SDG 13 (Climate Action, Goal 15 (Life on Land) but the continuation and upscaling of the project's outcomes are essential.
175. The project demonstrated its ability to enhance institutional and partner capacities to implement SLM in the Ruvu and Zigi catchments with commitments to gender mainstreaming. The establishment of WUAs is an important achievement and an example for other catchments. However, the technical, financial and operational capacity of these WUAs will be important determinants of success.
176. The project has created high expectations among partners, communities and WUAs. The project has also demonstrated best practices in community participation in Integrated Water Resource Management (IWRM) via WUAs, including engaging WUAs in monitoring and evaluation processes, engaging previous practitioners of illegal activities in the WUAs and therefore guardians of the watershed. This momentum needs to be maintained to ensure benefits from IGAs continue to grow and to incentivize communities to continue to participate in SLM activities. One way to maintain the momentum is to mobilize resources to scale up and replicate activities as part of the mainstreaming process.
177. The project's sustainability and overall SLM efforts in the country may continue to be at risk unless there is some certainty and predictability of funding underpinned by enabling national policies and regulatory instruments to broaden participation of actors such as the private sector. It is worth considering developing a deliberate fund mobilization plan and approach potential partners and also consider private sector partnership through PES.

### 5.3 LESSONS LEARNED

178. **Project Design and Stakeholder Engagement:** Aligning project objectives outcomes to national priorities and engaging all relevant stakeholders early establishes understanding and shared values. Political commitment is necessary for projects that require complex solutions and potential resettlement of particular groups of the strict enforcement of regulatory instruments. Seventy-four experts, (61 male and 13 female) from District Executive Director's Offices in Korogwe, Muheza, Mkinga and Tanga City, NGOs, Water users in Zigi catchment, Legal officers, Pangani Basin Water Board, WUAs, Catchment Committee members, Regional Commissioner's office, Zonal Mining office, Amani Nature Reserve and Misozwe irrigation scheme jointly agreed on a strategy to address the persistent challenge of illegal mining at Kihara, the source of Zigi river through the recognition of the role of each stakeholder in the management of Zigi catchment.
179. **Significant Project Output Proposal:** During formulation it is important to identify significant proposal that have with wider implications or require policy or regulatory approval. The Project Document contained a proposal to set up the SLM Fund. This is a significant undertaking, which might require cabinet approval or a statutory instrument. A significant background analysis was necessary including seeking ministerial guidance considering that it also represented an important part of the project sustainability strategy.
180. **Village Land Use Management Plans.** The TE team observed that 20 Village Land Use Management Plans were developed to stage 4 (100%) and 6 Villages out of 20 Villages (30%) into stage 5 and 1 out of 20 villages (Ubiri in Korogwe) reached to stage 6 (100%), which is provision of Certificate of Customary Right of Occupancy. Discussions with stakeholders indicate that reaching stage 6 is complicated and a costly endeavor. Again, perhaps this process was underestimated and needed a more realistic assessment to determine accurate timelines. Land tenure security, be it individual or collective, is important as an incentive for protecting natural resources and stewardship.
181. **Understanding Government Priorities in relation to annual fiscal allocation:** Under outcome 2, the Project planned to increase SLM funding to 15% although the baseline was stated as zero. There are two issues that need to be observed here. A public expenditure review in 2016 estimated that the public expenditure for SLM related activities ranged from 0.5% -7% for the SLM sector ministries and around 20% for sector departments at Local Government. These estimates made the 15% target somewhat ambitious. The second aspect is that sometimes ministries and local government institutions do not get the full amount of fiscal allocation at the beginning of the financial year. In such cases, areas such as sanitation and health have higher priority than SLM and this compromises the ability of local institutions to fulfil their environmental management objectives.
182. **Building partnerships takes time and sustained effort:** The TE notes that there are ongoing discussions with The Nature Conservancy and Vodacom Tanzania Foundation to support some activities for scaling up including the establishment of the Tanga Water Fund in collaboration with UNDP and the Government. The discussions seem to have been ongoing for a considerable amount of time. Although the discussions have led to preparation of concept notes, outlining a mode of collaboration, no partnerships have been agreed upon yet.



## 5.4 RECOMMENDATIONS

REC #	TE Recommendation	Entity Responsible	Time Frame
A	<b>Category 1: Program Design</b>		
A.1	<i>While it is noted that all projects are now required to prepare theories of change at the design phase, the TE team further recommends that both risks and assumptions are explicitly stated and validated with stakeholders. During the project design, inadequate funding was identified as a key barrier to successful SLM but no further analysis was undertaken to validate other underlying assumptions such as policy and statutory limitations. Further questions should have been raised at that point to critically assess the underlying causes of inadequate funding and if any lessons could be learnt from previous attempts under REDD+.</i>	UNDP	Future projects: 2021 going forward
A.2	<i>Projects are encouraged to adequately use tools such as theories of change, problem tree analysis, or SWOT analysis to validate at the design phase and ensure adequate due diligence on significant output proposals that require high level intervention and or political support.</i>	UNDP	Future Projects: 2021 going forward
B	<b>Category 2: Sustainability</b>		
B.1	<i>The TE recommends the preparation of a consolidated resource mobilization strategy for SLM upscaling and can be used as a basis for discussions with potential partners. Upscaling of SLM activities following the completion of this project should be considered a primary priority that will enhance sustainability of the project activities either in the two catchments or beyond.</i>  <i>It is noted that project is facilitating the establishment of Tanga Water fund that is intended to take care of conservation activities in the catchment by mobilizing investments from water users and direct the funding toward the protection and restoration of key lands upstream. This is a good example that could form the basis for a fund mobilization strategy for other catchments</i>	MoW in close collaboration with Basin Waters Boards	By December 2021
B.2	<i>Competition for funding is increasing such that an assessment is necessary to determine the pros and cons of a focused fund or a multi-sectoral broad fund with innovative instruments such as a mix of grants, low interest loans that can attract private sector investments into SLM actions.</i>	MoW in close collaboration with the Department of Environment in VPO	By December 2021



B.3	<p><i>Assess options and measures to increase land tenure security to incentivize community-based environmental management stewardship.</i></p> <p><i>The complex process in developing Village Land Use Plans through to Stage 6 requires further assessment on how to enable villages achieve Stage 6 at a lower cost. The project was able to push one plan through to stage 6 over a period of 5 years suggest an extremely complex process.</i></p>	Land Use Commission in coordination with relevant local agencies	By June 2022
C	<b>Category 3: Results and Impact</b>		
C.1	<p><i>The project has prepared a wide range of knowledge products that provide valuable lessons for current and future policy decisions. It is highly recommended that a series of policy briefs be prepared and disseminated to policy makers and relevant stakeholders.</i></p>	UNDP in coordination with relevant national institutions	June 2021
C.2	<p><i>Lessons learned from the implementation of IGAs should also be widely disseminated in the form of guidelines to wider communities and beyond the project area.</i></p>	UNDP in coordination with relevant national institutions	November 2021

## 6.1 ANNEX A: TERMINAL EVALUATION TERMS OF REFERENCE

### Terminal Evaluation Terms of Reference (ToR) for UNDP-supported GEF-financed projects

#### 1. INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the full size project titled **“Securing Watershed Services through Sustainable Land Management in the Ruvu and Zigi catchments (Eastern Arc Region), Tanzania”** (PIMS 5077) (referred to hereafter as ‘the watershed project’) implemented through the Ministry of Water (MOW). The project started on the 30th March 2016 and is in its 5th year of implementation. The TE process must follow the guidance outlined in the document ‘Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects’

(<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>)

#### 2. PROJECT BACKGROUND AND CONTEXT

The project was designed to ensure sustainable land management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu and Zigi Catchments of the Eastern Arc Mountains in Tanzania. The specific ecosystems services that were targeted included regulation of hydrological flows (reducing or buffering runoff, improving soil infiltration and maintaining base flows), securing fresh water supply (quantity and quality of water); soil protection and control of erosion and sedimentation; natural hazard mitigation (flood prevention, peak flow regulation and reduction of landslides) and crop and livestock production. The Project activities have been designed to implement an optimal mix of land and water management measures and practices with potential to secure the targeted watershed services, thus strengthening water security and facilitating more sustainable planning and allocation of water use.

The project’s intervention was organized under two components:

**Component 1:** Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component is focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.

Under this component there are two key outcomes. The first: Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resources Management in the Ruvu and Zigi catchments, and the second: Finances available for SLM investment are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions.

**Component 2:** Reducing the effects of land degradation on watershed services and improving livelihoods through landscape-level uptake of SLM measures. Work under this component of the project is focused on

implementing practical Sustainable Land Management (SLM) interventions that address land degradation and degradation of watershed services in forests, rangelands and on arable land, whilst improving livelihoods through the uptake of sustainable land use management practices and alternative sustainable livelihoods.

Under this component there are two Outcomes, one on developing institutional capacity for promoting sustainable land/forest management in support of IWRM, and the second focusing on increasing the uptake of sustainable land management practices to secure watershed services and improve livelihoods. A more detailed summary of the project Components, Outcomes and Outputs is included as in annex B to this TOR.

The main Project Implementing partner is the Ministry of Water (MOW), supported by key stakeholders' including the Vice President's Office (VPO DOE), National Land Use Planning Commission (NLUPC), Tanga-UWASA, DAWASA, MORUWASA, PBWB & WRBWB, MOA, MOE, MNRT, MLHHS and respective local authorities in the two water catchments..

The project supported the coordinated development and management of water, land and related resources whilst improving livelihoods and reducing poverty in a sustainable and equitable way. It also capacitated water basin authorities and water users to overcome the barriers that prevented them from addressing the causes of land degradation and generating solutions that effectively integrate SLM into watershed management., building incrementally on the existing baseline of interventions and the institutional capacities that exist in the two river basins.

Total project financing from GEF is US\$ 3.649M while UNDP country office planned to provide cash co-finance of US\$2.0M. The Government co-financing is in the order of US\$22.00M constituting both cash and in-kind co-financing.

### **3. TE PURPOSE**

The TE team will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments. The TE report will form a baseline to which future programmes and project of similar nature will build upon. Hence the results of the evaluation will be to inform stakeholders from an independent team the lessons that can both improve the sustainability and aid in the overall enhancement of Government and UNDP programming.

### **4. TE APPROACH & METHODOLOGY**

The TE report must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE exercise. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the Ministry of Water (in Dodoma) the TE team will meet the PS as the main IP and chair of the PSC, the Director of Water Resources and other staff responsible for the project in the two water basins including project focal points in key institutions. The team will also consult or pay courtesy to District Council authorities in the two basins where the key project sites are located. In addition, the TE team shall make consultations with selected members of the Project Steering Committee including Vice President's Office (VPO) – Division of Environment, National Land Use Planning Commission (NLUPC), Tanga Urban Water and Sanitation Authority (Tanga-UWASA), Dar es Salaam Water and Sanitation Authority (DAWASA), Morogoro Urban Water and Sanitation Authority (MORUWASA), Pangani and Wami-Ruvu Basin Water Boards (PBWB and WRBWB), Ministry of Agriculture, Livestock and Fisheries (MALF), Ministry of Energy, Ministry of Minerals, TFS in the Ministry of Natural Resources and Tourism (MNRT). Additionally, the TE team is expected to conduct field missions to Dar es Salaam, Morogoro and Tanga, including the following project sites:

**Ruvu Catchment:**

Kinyenze cattle trough at Mvomero DC, 2. Strawberry Demo plot at Tulo in Morogoro Municipal 3. Mbarangwe fishpond in Morogoro DC

**Zigi Catchment:**

1. UWAMAKIZI farming practices and the 3 villages of expansion namely Potwe Mpirani, Potwe Ndongondo and Kwemwewe; 2. ZIMIKA AMCOS in Muheza DC 3. Ubiri village in Korogwe DC where land use plans were done up to stage six. In addition, visit could include Kihara (source of Zigi river in Amani Forest and Nature Reserve or Zirai village (storage and spice processing machine) in Muheza DC or Kihuhwi River flow station and NIMRI weather station in Zigi catchment to be firmed up during inception. Interviews will be held with selected organizations and individuals at a minimum of 2 sites in each catchment depending on weather and accessibility as well as COVID-19 situation in that area. Caution will be taken to organize meetings of smaller groups to observe social distancing to avoid transmission of COVID 19, as per current government guidance.

Please note that in case the selected Team Leader (international consultant) is unable to travel to Tanzania and to the project sites due to the restrictions posed by the COVID-19 pandemic, discussions with the successful national consultant will be held during the inception to agree on modalities of obtaining the field information including virtual discussions via zoom/skype meetings.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the TE team. The evaluation team may revise the approach in consultation with UNDP and the Project manager and key stakeholders as it deemed necessary and these changes in approach should be agreed and reflected clearly in the TE Inception Report.

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

## 5. DETAILED SCOPE OF THE TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects available at (<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>).

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex D.

The asterisk “(\*)” indicates criteria for which a rating is required.

### Findings

#### i. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Standards (Safeguards)
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

#### ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
- Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
- Risk Management, including Social and Environmental Standards (Safeguards)

#### iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*)
- Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*)

- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

#### Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below:

**ToR Table 2: Evaluation Ratings Table for ('the watershed project')**

Monitoring & Evaluation (M&E)	Rating <sup>3</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating

Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
<b>Assessment of Outcomes</b>	<b>Rating</b>
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
<b>Sustainability</b>	<b>Rating</b>
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

## 6. TIMEFRAME

The total duration of the TE will be approximately **25 working days** spread over a period of 10 weeks starting from **September to early December 2020**. The tentative TE timeframe is as follows:

Timeframe	Activity
22 <sup>nd</sup> September	Application closes
30 <sup>th</sup> September	Selection of TE team

<i>12<sup>th</sup> October</i>	Preparation period for TE team (handover of documentation)
<i>(13-15 October) 3 days</i>	Document review and preparation of TE Inception Report
<i>(19 October) 2 days</i>	Finalization and Validation of TE Inception Report; latest start of TE mission
<i>(20<sup>th</sup> Oct to 4<sup>th</sup> November) 12 days</i>	TE mission: stakeholder meetings, interviews, field visits, etc.
<i>5<sup>th</sup> November</i>	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
<i>(5 to 11 November) 5 days</i>	Preparation of draft TE report
<i>12 to 24 November</i>	Circulation of draft TE report for comments
<i>25 – 26 November</i>	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
<i>(27Nov – 1<sup>st</sup> December)</i>	Preparation and Issuance of Management Response
<i>(TBD)</i>	Concluding Stakeholder Workshop (optional)
<i>(3<sup>rd</sup> December 2020)</i>	Expected date of full TE completion

In summary:

Activity	Timing	Completion Date
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Document review and preparation of TE Inception Report	3 days	13-15 October 2020
<b>Evaluation Mission:</b> to be agreed at the inception whether the team Leader will undertake this mission or only the NC	14days	20 <sup>th</sup> Oct to 3 <sup>rd</sup> November 2020
<b>Draft Evaluation Report</b>	5 days	5 <sup>th</sup> to 11 <sup>th</sup> November 2020
Incorporation of comments + Audit Trail & finalization of <b>Final Report</b>	3 day	by 5 <sup>th</sup> December 2020

Options for site visits should be agreed and provided in the TE Inception Report.

## 7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: 19 <sup>th</sup> October 2020	TE team submits Inception Report to UNDP Country office in Dar es Salaam
2	Presentation	Initial Findings	End of TE mission: 4 <sup>th</sup> November 2020	TE team presents to UNDP Country Office and project management team
3	Draft TE Report	Full draft report ( <i>using guidelines on report content in ToR Annex D</i> ) with annexes	Within 3 weeks of end of TE mission: 10 November 2020	TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFP
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report ( <i>See template in ToR Annex I</i> )	Within 1 week of receiving comments on draft report: 5 <sup>th</sup> December 2020	TE team submits both documents to the Commissioning Unit

\*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>4</sup>

## 8. TE ARRANGEMENTS

The principal responsibility for managing the TE resides with the UNDP CO in Tanzania. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project implementation Team will be responsible for liaising with the Evaluators to set up stakeholder interviews, arrange field visits, coordinate with the Government partners. The Project coordinator will designate a focal point at each catchment to assist in facilitating the process (e.g., providing relevant documentation, arranging visits/interviews with key informants in the respective sites, etc.). The PSC and CO Management will take responsibility for the approval of the final evaluation report, with involvement of the relevant UNDP Regional Technical Advisor. The CO management will liaise with the project implementation team to develop a management response to the evaluation within two weeks of report finalization.

## **9. TE TEAM COMPOSITION**

A team of two independent evaluators will conduct the TE - one team leader (with experience and exposure to projects and evaluations in other regions and one team expert, a national consultant with technical/policy skills on the project focus area. The international consultant will be designated a team leader and shall be responsible for the overall design and writing of the TE report and ensure quality of the final report submitted to UNDP. The two evaluators will be recruited separately; however, the two shall form a team making the assessment of emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary and make a joint presentation to the Project Management team including the Project Steering Committee members (PSC) as appropriate. Situation allowing, PSC meeting shall be planned to take place towards the end of the field missions. The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

These TOR is for the International consultant who is required to have the following qualifications and experience.

### **Education**

- Master's degree or higher in the relevant areas such as Natural Resources Management, Sustainable Land/Forest Management, or Environmental sciences **(5%)**.

### **Experience**

- Minimum of 10 years of professional experience, with demonstrated understanding of policies and practices relevant to the GEF project, including those guiding sustainable land management, environment, protected area management, and sustainable financing **(20%)**
- Relevant experience with results-based management evaluation methodologies; demonstrated in recent experience with evaluating projects with result-based monitoring and evaluation methodologies and in applying SMART indicators and reconstructing or validating baseline scenarios **(20%)**
- Proposed methodology and evaluation approach, showing understanding of issues related to gender and natural resources management, sustainable land/forest management; experience in gender responsive evaluation and analysis **(20%)**
- Specific experience in evaluating UNDP and GEF projects **(5%)**

### **Functional Competencies**

- Competence in adaptive management, as applied to Natural Resources Management, Sustainable Land/Forest Management
- Demonstrated ability to plan, organize logically, effectively implement and meet set deadlines
- Good interpersonal and communication skills, including ability to set out a coherent argument in presentations and group interactions
- Conceptual and strategic analytical capacity coupled with good writing skills

#### Language

- Fluency in written and spoken English.

### **10. EVALUATOR ETHICS**

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

### **11. PAYMENT SCHEDULE**

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the UNDP-CO and UNDP RTA
- 40% payment upon satisfactory delivery of the draft TE report to the UNDP-CO
- 40% payment upon satisfactory delivery of the final TE report and approval by the UNDP-CO and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%<sup>5</sup>:

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
- The Audit Trail includes responses to and justification for each comment listed.

### **12. APPLICATION PROCESS<sup>6</sup>**

*(Adjust this section if a vetted roster will be used)*

Recommended Presentation of Proposal:

- Letter of Confirmation of Interest and Availability** using the [template](#)<sup>7</sup> provided by UNDP;
- CV** and a **Personal History Form** ([P11 form](#)<sup>8</sup>);

- c) Brief description of **approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (To be inserted by procurement) in a sealed envelope indicating the following reference “Consultant for Terminal Evaluation of Securing watershed through SLM in Zigi and Ruvu catchment ” or by email at the following address ONLY: *(To be provided by procurement ) by (Time to be provided by procurement unit)*. Incomplete applications will be excluded from further consideration.

**Criteria for Evaluation of Proposal:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

## 6.2 ANNEX B: PROJECT LOGICAL/RESULTS FRAMEWORK

### SECURING WATERSHED SERVICES THROUGH SUSTAINABLE LAND MANAGEMENT IN THE RUVU AND ZIGI CATCHMENTS (EASTERN ARC REGION), TANZANIA

#### MONITORING AND EVALUATION MATRIX –Amendments approved at the 3 PSC meeting

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Project Objective:</b> Sustainable land and natural resource management alleviates land degradation, maintains ecosystem services and improves livelihoods in the Ruvu and Zigi sub-catchments of the Eastern Arc Mountains in Tanzania.	Reduction in land degradation in the Ruvu and Zigi catchments as measured by at least a 25% increase in land cover in forests and rangelands	Unchanged	See GEF LD Tracking Tool (land degradation within the project area is significant and the current land use practices and management approaches lack integration and targeted financing to promote INRM and SLM)	Unchanged	<p>☑ A 10% reduction in soil erosion, improved soil organic matter as reflected in the GEF LD Tracking Tool. 20,000 ha under direct SLM practices</p> <p>☑ A 10% improvement in water quality and quantity in rivers at intervention sites as measured by water flows, annual rainfall, sediment load, using methods to be established at project inception</p> <p>☑ At least 10,000 ha of degraded forest restored (5,000 in protected forest and 5,000 ha outside of protected areas)</p> <p>☑ At least 25 % improvement in household welfare and 10% increase in annual food production for at least 40% of the households in pilot villages, measured as a percentage increase in household incomes, percentage reduction in the</p>	<p>☑ A 10% reduction in soil erosion, improved soil organic matter as reflected in the GEF LD Tracking Tool. 20,000 ha under direct SLM practices</p> <p>☑ A 10% improvement in water quality and quantity in rivers at intervention sites as measured by water flows, annual rainfall, sediment load, using methods including analysis of flow, rainfall and sediment loads measured during low, mid and high flows at selected.</p> <p>☑ At least 10,000 ha of degraded forest restored (5,000 in protected forest and 5,000 ha outside of protected areas)</p>

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
					<p>number of food insecure days per year, and other indicators to be determined at project inception.</p> <p>At least 30% of livestock keepers adopt sustainable rangeland management practices, with a 25% improvement in land cover over 2,000 ha of rangeland</p>	<p>At least 25 % improvement in household welfare and 10% increase in annual food production for at least 40% of the households in pilot villages, measured as a percentage increase in household incomes, percentage reduction in the number of food insecure days per year, and production level of main crops (tons/ha)</p> <p>At least 30% of livestock keepers adopt sustainable rangeland management practices, with a 25% improvement in land cover over 2,000 ha of rangeland</p>
<b>Outcome 1:</b>  Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resource Management in the Ruvu and Zigi catchments	Number of land use management plans integrating SLM	Number of land use management plans integrating SLM  Planning/budgeting guidelines for integrating	Formal integration of SLM is currently limited or non-existent	Unchanged	<p>SLM integrated into 7 District Land Use Plans in the Ruvu and Zigi catchments</p> <p>Develop planning guideline for mainstreaming SLM into IWRM in Ruvu and Zigi</p>	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
		SLM into water resource management developed and adapted				
<b>Output 1.1</b> Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro, and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga (in Tanga Region), ensuring optimal allocation of land to generate critical environmental and development benefits.	Number of District Land Use Plans developed and operationalised	Unchanged	3 District Plans (Morogoro DC, Muheza and Mkinga) developed but not implemented, 1 (Mvomero) initiated but need resources to continue and complete planning and implementation process  9 Village Land Use Plans developed but not operational in Zigi Basin  5 Village Land Use Plans developed but not operational in Ruvu Catchment	Unchanged	☑ District Land Use Plans developed and operationalised in at 7 Districts  20 villages (10 from each catchment of Zigi and Ruvu)  ☑ GIS-based LD/SLM database and land-use decision support-tool/system is in place and at least 50% of land use planning officers, front line extension workers and community associations are trained in the use of the decision-support tool to strengthen land use planning and develop land use maps	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Output 1.2</b> Multi- stakeholder committees are established (or strengthened) and are active in promoting co-ordination and dialogue in support of mainstreaming SLM into other sectors, programmes and policies	Number of multi-sectoral stakeholder landscape co-ordination committees (Catchment Forums) formed and operational in each Basin with committee members segregated by gender	Unchanged. Indicator made gender sensitive	Interagency co-operation is currently very weak or non-existent, no joint vision for SLM in place  2 Environmental Committees – Mabayani Dam  1 Community Association - Uwamakizi  1 Community Association - Wakuakuvyama	Unchanged	☑ At least one multi-stakeholder committee established and operating effectively in each basin as a result of the project  ☑ At least 75% of District Officers (Participatory Land Use Management teams) and Village land use committees trained in participatory land-use planning, monitoring and implementation of land use plans	Unchanged
<b>Output 1.3</b> Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the two river basins	Number of registered, operational Water User Associations and Sub-Catchment Committees in each catchment	Number of registered, operational Water User Associations and Sub-Catchment Committees in each catchment with members segregated by gender	Zigi: 1 WUA- Zigi-Mkulumuzi (functional, but requires strengthening)  Ruvu: 4 WUAs– Mfizigo Sub-catchment; Lower Ngerengere and Upper Ngerengere A & B (all are non-functional)	Unchanged	☑☑ At least 5 new Water User Associations and 2 new sub-catchment committees established, registered and operational and with a plan for upscaling in place  ☑ All Water User Associations and Sub-Catchment Committees trained in the principles of SLM and the role of SLM in protection of water resources, provisions of all relevant land and water-use legislation; financial management and the development of funding proposals; entrepreneurship skills; the costs and benefits of alternative sustainable livelihoods	Unchanged



Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
					☑ Up-to-date database of stakeholders and projects established for each Basin Water Office	
<b>Output 1.4</b> Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to identify and prosecute water and land-use infringements and harness greater compliance.	% increase in rates of compliance with water basin regulations  Number of staff and members of community associations (segregated by gender) trained in provisions of land and water-use legislation	Unchanged. Indicator made gender sensitive	Currently not known, although rates are generally low. To be determined at project inception.  226 (Ruvu) and 162 (Zigi) people trained in basic provisions of water-use legislation  No people trained in provisions of relevant land-use legislation	In Ruvu Catchment 301 out of 1500 identified water users are complying. In Zigi only 11 users out of 350 are complying  226 (Ruvu) and 162 (Zigi) people trained in basic provisions of water-use legislation  No people trained in provisions of relevant land-use legislation	☑ 50 - 75% of all staff in target institutions, all WUAs and VNRCs trained in provisions of water and land-use legislation  ☑ At least 50% of water users issued with water use permits and 60% of industries and commercial farming operators complying with water discharge permits  ☑ Gender-sensitive communications strategy developed and operationalized	Unchanged
<b>Outcome 2:</b> Finances available for SLM investments are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions	% increase in public funds allocated to SLM interventions in the Ruvu and Zigi catchments	Unchanged	No SLM funds currently allocated to water resources management agencies.	Some sectoral funds available for SLM but not coordinated to finance SLM strategy for Integrated Natural Resources Management	15% increase in fund earmarked for SLM interventions in the Ruvu and Zigi catchments	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Output 2.1</b> New streams of public finance are identified and accessed	Amount of funding accessed for SLM through new streams of public finance and other financing mechanisms	Unchanged	0 -The key organisations do not have adequate resources for integrating SLM into watershed management and the financing requirements have not been comprehensively assessed  As per UNDP Capacity Scorecard	Unchanged	At least 2 new streams of funding for SLM accessed via sources such as Incentive and Market Based Mechanisms (IMBMs), Public Private Partnerships (PPP)s	Unchanged
<b>Output 2.2</b> Sectoral (forestry, agriculture, <b>land, livestock, environment</b> and water) allocations to SLM are re-aligned	Amount of sectoral allocations aligned to SLM strategies	Unchanged	1 - The resource requirements for integrating SLM into watershed management are known but are not being addressed  As per UNDP Capacity Scorecard	Unchanged	Resource allocation criteria and to inform allocation of resources to SLM	Unchanged
<b>Output 2.3</b> The effectiveness of SLM investments is improved	Increase in the targeted SLM investments	Unchanged	No effective SLM investment strategy in place	Unchanged	Integrated SLM investment strategy and M&E system in place to track the effectiveness and impact of SLM investments	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Outcome 3:</b> Institutional capacity is built for promoting sustainable land and forest management in support of IWRM in the Ruvu and Zigi Catchments	Increase in awareness and capacity of local communities and institutions (e.g. extensions services, district authorities, Basin Water Offices) for integration of SLM into resource use and management practices (measured as per UNDP Capacity Scorecard).	Unchanged	1 – The required skills and technologies are identified, as well as their sources but are only partially developed  As per UNDP Capacity Scorecard	Unchanged	3 -The required skills and technologies are available and there is a nationally-based mechanism for updating the required skills and upgrading technology  As per UNDP Capacity Scorecard	Unchanged
<b>Output 3.1</b> The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices and regional offices of line ministries and local government institutions	Staffing and resources development plans developed and implemented for Basin Water Office, District Authorities and WUAs	Unchanged	1 – The required skills and technologies are identified, as well as their sources but are only partially developed  As per UNDP Capacity Scorecard	Unchanged	Staff and resource deficits for integrating SLM into watershed management decreased by at least 75% in water basin management agencies and other targeted institutions	Unchanged
<b>Output 3.2</b> The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions	Number of technical staff in Water Basin Offices, District and local government institutions, WUAs and Village structures completing skills and knowledge improvement training	Unchanged. Indicator made gender sensitive	1 – The required skills and technologies are identified, as well as their sources but are only partially developed  As per UNDP Capacity Scorecard	Unchanged	At least 50% of technical officers in Water Basin Management Agencies, extension services and other targeted institutions have received training to enhance their knowledge and skills for integrating SLM into watershed management	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
	programmes (segregated by gender)					
<b>Output 3.3</b> Extension services are capacitated to promote adoption of SLM and promote alternative sustainable livelihoods	<p>% of population in targeted villages aware of SLM and SLM-related activities in their area (as a result of the project) and satisfied with extension services (segregated by gender)</p> <p>Number of trained extension officers available to provide SLM messages in agricultural and livestock extension services (segregated by gender)</p>	Unchanged. The two indicators were made gender sensitive	<p>Ruvu Basin: 36 extension officers with fair levels of technical skill, but not enough officers in each ward and lack knowledge of modern SLM and current water and land-use legislation</p> <p>Zigi (Muheza): 12 extension officers;</p> <p>Technical capacity and knowledge is outdated and there are not enough officers in each ward</p>	Unchanged	<p>☑ At least 50 % of land users in the target areas report an improvement in the extension services provided and number of trained extension personnel increased by 50%</p> <p>☑ Increase of 25% in number of community members trained to serve as ‘para professional’ extension officers, with equal focus on men and women</p> <p>☑ At least 75% of land-users in targeted areas aware of the benefits of SLM as a result of improved extensions services</p>	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Outcome 4:</b> Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods	Reduction in extent of degradation in the Ruvu and Zigi catchments and improvement in the livelihoods of basin communities due to increased benefits from adoption of SLM practices	Unchanged	To be determined at project inception	Over 80% of land area under forest, rangeland and agricultural production is being degraded through unsustainable land use practices  Limited viable businesses as an avenue for emerging local economic development complementing SLM	<p>☑ Over 15,000 - 20,000 ha under direct SLM as a result of this project in the target areas in the Ruvu and Zigi catchments</p> <p>☑ Household incomes increased by at least 25% in at least 40% of the households in participating villages, as a result of uptake of SLM practices introduced through the project, with special focus on most vulnerable households</p>	Unchanged
<b>Output 4.1</b> Sustainable land management practices promoted and natural rehabilitation facilitated in 10,000 ha of forest	<p>% decline in illegal harvesting from protected forests</p> <p>% improvement in land cover in rangelands</p>	Unchanged	To be determined at project inception	Total of 50,754 ha of protected forest is degraded (including 49,066 ha of 60 m river line, 438 ha Uluguru Nature Forest Reserve and 1250 Amani Nature Forest Reserve)	<p>Forest cover restored over at least 5,000 ha of riverine habitat in protected forests and 5 000 ha outside of protected areas</p> <p>Land Cover improved by 25% over 2,000 ha of rangelands At least a 25% decline in the rate of illegal harvesting from protected forests</p>	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Output 4.2</b> Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages	% increase in household incomes and % increase in production rates as a result of SLM practices	Unchanged	To be determined at project inception	Average household income ranges from TZS 480,000 – 550,000 per year	<p>At least 2 new sustainable livelihood practices taken up in each of the target areas and contributing 10% to production and overall incomes</p> <p>At least a 15 % increase in annual agricultural produce for key crops as a result of SLM practices introduced by the project in the target villages</p> <p>At least 25% of households in target villages using clean energy cooking technology and 75% of households aware of alternative energy solutions through capacity building of men, women and youth</p> <p>At least 25% of farmers in the target villages benefitting from accessing micro-finance and the development of new markets for agricultural products</p>	Unchanged

Hierarchy of Objectives	Indicator (Original)	Indicator (amended)	Baseline level (2014/2015)	Baseline (Amended / determined at inception)	Target at End of Project (Dec. 2020) - Original	Target at End of Project (amended)
<b>Output 4.3</b> Sustainable livestock management technologies developed and tested and infrastructure developed to operationalise SLM in rangelands	% increase in number of farmers using SLM techniques	% increase in number of farmers using SLM techniques  % decrease in undesired movements of livestock in search for pasture and water	To be determined at project inception	Most livestock keepers do not practice SLM  No livestock/rangeland management structures in place	<p>☑ At least 50% of farmers trained in the use of sustainable land management techniques</p> <p>☑ At least 30% of livestock keepers adopt alternative livestock management technologies</p> <p>☑ At least 20% increase in number of farmers in target villages consistently applying 2 to 5 SLM techniques introduced by the project</p>	Unchanged

SLM Practices include:

1. Demarcation of protected areas and enforcement of bylaws related to use of the land
2. Tree planting for restoration of degraded areas + promoting natural regeneration
3. Agroforestry technologies: Tree planting in farmlands, management of apiaries, woodlots, soil and water management structures (contours, tie ridges, terraces - fanyajuu/fanyachini, bench terraces etc), integrated soil fertility management, establishment of fruit orchards
4. Rangeland Management - fire control, pasture/fodder improvement, production and management, provision of water points
5. Integrated soil fertility management (use of compost, other organic manure)

### 6.3 ANNEX C: PROJECT COMPONENTS, OUTCOMES AND OUTPUTS

Component 1: Establishing a collaborative framework for water basin authorities to effectively plan, monitor and adapt land management and leverage national and regional investments for integrating SLM into watershed management. Work under this component is focused on building enabling institutional capacity and leveraging funding for integrating SLM into watershed management, as well as strengthening co-ordination and collaborative planning, monitoring and enforcement amongst basin management authorities.			Status
<b>Outcome 1:</b> Enabling institutional arrangements are in place to support mainstreaming of SLM into Integrated Water Resources Management in the Ruvu and Zigi catchments	<b>Output 1.1:</b> Integrated Land Use Management Plans and Village Land Use Management Plans are developed and implemented in 7 districts (Morogoro Urban, Morogoro Rural and Mvomero (in Morogoro Region) and Muheza, Mkinga, Korogwe and Tanga City (in Tanga Region).	<ul style="list-style-type: none"> <li>8 District Land Use Management Planning Frameworks (Bagamoyo/Chalinze, Kibaha, Kisarawe, Korogwe, Morogoro, Mkinga, Muheza, Myomero districts)</li> <li>20 Village Land use Management Plans developed (4 villages in Mkinga, 5 in Muheza, 6 in Morogoro, 1 in Korogwe and 4 in Mvomero District Councils)</li> </ul>	<input checked="" type="checkbox"/> <b>District Land Use Management Planning Frameworks</b> were achieved as planned but plans at village level were <b>Partially achieved</b> . Discussions suggest that the process may need to be reviewed as it can be costly for communities
	<b>Output 1.2:</b> Multi-stakeholder committees are established (or strengthened) and active in promoting co-ordination and dialogue in support of mainstreaming of SLM into other sectors, programs and policies.	<ul style="list-style-type: none"> <li>21 Stakeholders have reached an agreement to jointly collaborate and contribute to SLM initiatives in the catchment as part of their business corporate responsibility. Interventions include tree planting, protecting the river buffer zone, awareness raising and monitoring of illegal water abstraction in collaboration with WUAs (these are METL and Lunguza Forest Reserve); monitoring of illegal abstractions in collaboration with Goland Shutashuta Irrigation Scheme</li> <li>People from 5 District PLUM teams, 6 Ward Councils, 16 Village Councils and 16 Village Land Councils; 511 persons (359 male, 152 female) trained and participated in the land use planning processes.</li> <li>5,895 community members (4,119 male, 1,776 female) represented their communities in the planning processes, with capacity development to support management and administration of the developed integrated land use</li> </ul>	<input checked="" type="checkbox"/> Achieved



		plans. These are now leading the communities in implementing the proposed land use plans.	
	<b>Output 1.3:</b> Water User Associations (WUAs) and River Committees are established and capacitated to perform their roles effectively in all key sub-catchments within the Wami-Ruvu and Pangani river basins.	<ul style="list-style-type: none"> <li>• 11 Water User Associations established.</li> <li>• 6 Water User Associations capacitated through established alternative income generating activities (IGAs) beehives keeping and trained on microfinance skills (Village Community Banking).</li> <li>• 66 members of WUAs management committees (41 male, 25 female) have received relevant training.</li> <li>• WUAs have been provided with equipment including 2 pairs of low-cost brick making machines and mixers to help the WUAs make bricks for construction of offices, 7 motorcycles for WUAs in Zigi and Ruvu catchments to improve delivery of awareness messages and help the Basin authority to identify illegal water abstractions and registration of new water users.</li> <li>• 36 Village Natural Resources/Environmental Committees have been established and trained to support WUAs on water resources management.</li> </ul>	<p>☑ <b>Achieved:</b> The achievements are particularly important as they provide a good basis for upscaling and lessons for other catchments around the country.</p>
	<b>Output 1.4:</b> Wami-Ruvu and Pangani River Water Basin Authorities and water users understand water basin regulations and are capacitated to identify and prosecute water and land-use infringements and harness greater compliance.	<ul style="list-style-type: none"> <li>• 107 participants (85 M and 22 F), representatives from Korogwe, Mkinga, Tanga and Muheza District Councils, Amani Nature reserve and Security/law enforcement agents, met. Clarity and lines of responsibilities for WUAs and UWAMAKIZI were specified including IWRM in Pangani Basin, integrated efforts to address illegal mining and other illegal practices leading to degradation of water resources.</li> <li>• 74 experts, (61 male and 13 female) from District Executive Director's Offices in Korogwe, Muheza, Mkinga and Tanga City, NGOs, Water users in Zigi catchment, Legal officers, Pangani Basin Water Board, WUAs, Catchment Committee members, Regional Commissioner's office, Zonal Mining office, Amani Nature</li> </ul>	<p>☑ <b>Achieved.</b> Interviewees during the TE are confident that the support and training received during the project will enable WUAs to function effectively but of course, they will require ongoing support from extension officers who have also participated in some of the capacity building.</p>

		<p>Reserve and Misozwe irrigation scheme jointly agreed on strategy to address persistent challenge of illegal mining at Kihara, the source of Zigi river through the recognition of the role of each stakeholder in the management of Zigi catchment. In Ruvu catchment, Ngerengere Sub-catchment forum was established; the Sub-catchment committee is serving as a forum for coordinating IWRM efforts within the Ngerengere Sub-catchment.</p> <ul style="list-style-type: none"> <li>• Developed 45 sign boards installed in Ruvu (25) and Zigi (25) Catchments, 500 Wheel covers distributed with a message of securing watershed.</li> <li>• In collaboration with WARIDI, developed 200 posters and 50 booklets with messages on water sources protection and the environment management developed. Distributed to communities within Mvuha and Mbezi river sub-catchments.</li> <li>• In Zigi Catchment, raised awareness on integrated water resources management through a traditional dance, cinema shows and local media that reached out to 10 villages and 5,000 community members.</li> </ul>	
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<p><b>Outcome 2:</b> Finances available for SLM investment are increased by accessing new streams of public finance and more effective alignment of existing sectoral contributions</p>	<p><b>Output 2.1:</b> New streams of public finance are identified and accessed.</p>	<ul style="list-style-type: none"> <li>• Tanga UWASA has committed and plan to pay around three hundred million (300,000,000.00 Tshs) for community living around Mabayani Dam.</li> <li>• Pangani basin has received 56,165,000.00 Tshs from the Water Fund to conduct river flow measurement and water quality measurement and demarcate the Muzi River with the installation of permanent beacons in the 60m river buffer zone in Zigi catchment.</li> <li>• Through EAMCEF, Mgorole water user association received 5,000,000.00 Tshs for supporting preparation of tree nursery in Ruvu catchment.</li> <li>• Wami/Ruvu Basin received approx. 958,000,000.00 Tshs from WARIDI for procurement of surface water and weather measurement. Equipment.</li> <li>• Received of 500,000,000.00 Tshs from the Water Fund for a WSSP II Project in Wami/Ruvu basin, which demarcated the Mgeta and Ruvu River with concrete beacons in a 60m river buffer zone to cover 60km.</li> </ul>	<p>☑ <b>Achieved and ongoing.</b> The TE believes the project has enabled and created many discussions regarding the practicalities of mobilizing finance for SLM. A lot of lessons have been learnt and discussions are now well advanced on options and potential long-term partnerships are ongoing. Please note the recommendation</p>
	<p><b>Output 2.2:</b> Sectoral (forestry, agriculture, land, livestock, environment and water) allocations to SLM are re-aligned.</p>	<p>20 staff from Basins, line Ministries, Institutional and LGAs who are directly involved in project intervention trained on fundraising including fundable project proposal write-up.</p>	<p><b>Achieved and ongoing:</b> This output was a combination of actions requiring high level policy discussions and some practical actions on the ground. Alignment of sectoral strategies will take long and it does appear that government Ministry are already engaging in policy discussions on funding allocation.</p>
	<p><b>Output 2.3:</b> Integrated SLM investment strategy and M&amp;E system in place to track the effectiveness and impact of SLM investments</p>	<ul style="list-style-type: none"> <li>• Two project proposals were developed to upscale SLM activities. One proposal on the Protection and Conservation of Upper Ruvu catchment to ensure sustainability of water supply for Dar es salaam City with a budget of Tzs 1,811,272,500 and submitted to the Water Fund at MOWI as well as DAWASA and DAWASCO. Second proposal was on conserving the Mindu Dam Catchment to increase the dam's</li> </ul>	<p><b>Partially Achieved:</b> The level of achievement of outputs under outcome 2 reflect the complex nature of resource mobilization and the need for consolidated measures that are based on national policies as recommended in this TE. However, the ongoing discussions are</p>

		<p>life with a total fund requested of TZS 2,517,470,022 (submitted to Water Fund at MoWI).</p> <ul style="list-style-type: none"> <li>• Training on proposal writing was conducted for WUAs in Zigi Catchment resulting in one proposal of WUA for a project on “Sustainable Environmental Protection and Conservation through Sustainable Bee Keeping in Zigi catchment” for submission to MOWI (Water Fund and other potential stakeholders)</li> </ul>	very encouraging and are likely to lead to long -term financing strategies.
<b>Component 2:</b> Reducing the effects of land degradation on watershed services and improving livelihoods through increased landscape level adoption of SLM measures in the Ruvu and Zigi catchment.			
<b>Outcome 3:</b> Institutional capacity is built for promoting sustainable land and forest management in support of IWRM in the Ruvu and Zigi Catchments	<b>Output 3.1:</b> The institutional capacity (staff and resource requirements for promoting SLM) is strengthened in the Wami-Ruvu and Pangani Water Basin Offices, regional offices of line ministries and local government institutions.	<ul style="list-style-type: none"> <li>• 45 extension officers (35 male and 10 female) from 7 Districts (Ruvu and Zigi catchment) are capacitated to promote uptake of SLM and promote sustainable livelihoods through provision of training on SLM practices, concepts and technologies, principles of integrated water resource management and alternative sustainable livelihoods and equip them with suitable awareness raising materials to support their extension.</li> </ul>	☑ Achieved
	<b>Output 3.2:</b> The technical knowledge and skills for integrating SLM into IWRM are increased amongst relevant staff of Water Basin Offices, relevant line ministries, and local government institutions.	<ul style="list-style-type: none"> <li>• In Ruvu catchment, 14 low-cost weather stations (ambient) installed and 10 technical staff from Wami/Ruvu Basin attend training on installation, operating software and maintenance.</li> <li>• Equipment including GIS software licenses for 3 users, 2 GIS processing heavy duty computers and 1 Map/Graphic printer (with capacity of printing A3 size) supplied to the National Land Use Planning Commission (NLUPC) to strengthen land use planning activities.</li> <li>• 16 experts (14 male and 2 female) from NLUPC, Ministry of Minerals, Basin Water Boards, Ministry of Water and Irrigation and LGAs were trained on implementation and land management (GIS skills).</li> <li>• Developed rating curves for 6 monitoring/measurement stations out of the 18 stations that had no rating curve at project inception.</li> </ul>	☑ Achieved:

		<ul style="list-style-type: none"> <li>242 experts (165 male and 77 female) have acquired knowledge and skills on integration of SLM into resource use and management practices, an increase of 43% from the 104 experts at project inception.</li> </ul>	
	<b>Output 3.3:</b> Extension services are capacitated to promote uptake of SLM and promote sustainable livelihoods.	<ul style="list-style-type: none"> <li>123 Livestock keepers (33 female and 94 male) trained and participated on pasture establishment at Mvomero DC and Mkinga DC.</li> <li>Construction of 5 cattle water troughs.</li> </ul>	<p>☑ <b>Achieved:</b> Although this was achieved – it was in a small number of locations. However, the results provide an important basis for upscaling these practical solutions to other locations.</p>
<b>Outcome 4:</b> Landscape-level adoption of SLM measures in the Ruvu and Zigi catchments promoted to reduce the effects of land degradation on watershed services and to improve livelihoods.	<b>Output 4.1:</b> Sustainable land management practices promoted, and natural rehabilitation facilitated in 10,000 ha of forest.	<ul style="list-style-type: none"> <li>In Zigi catchment, (8 sites) identified as most degraded areas (Ndola, Ngoka, Kihara, Darajani Sakale, Ngara Ndefu, Kwemtote, Sangarawe and Kwemhuyu), which cover total of 44 sites and cover 230ha.</li> <li>4 Community-managed forest reserves in Shamabangenda, Maramba, Mbomole and IBC Malvera were identified for development of natural regeneration projects and a map for degraded areas was developed.</li> <li>In Ruvu catchment, 40 LGAs (that is 15 female and 25 male) from ten village were trained on forest fires and 10 signboards, 3950 brochures and 5000 flyers distributed to 10 villages on fire safety.</li> <li>108 TOT trained in Mnyanza, Tchenzema, Kibagala, Ngung'ulu, Kitengu, Bunduki, Vinile, Maguruwe and Tandali. 108 energy-saving cookstoves constructed.</li> <li>62 household energy saving stoves were fabricated by the individuals, not a part of TOT's in five village, and one energy saving stove was constructed at Mnyanza Primary school.</li> <li>207 ha planted with 8,000 seedlings to encourage and catalyze natural regeneration (7,000 in Zigi catchment in five villages (Mwarimba, Kiwanda, Mangubu, Kambai and Kwatango) and 1,000 in Ruvu catchment in upstream Mgeta area in Bunduki and Nyandira wards).</li> </ul>	<p>☑ Achieved</p>

		<ul style="list-style-type: none"> <li>• 152 hectares (101 ha in Zigi and 51 ha in Ruvu) demarcated under the 60-meter river buffer with 300 permanent beacons installed in strategic areas covering to secure river buffer with about 31,830 surrounding community members sensitized on protection of reserved land. The sites include 16 Villages in Zigi Catchment (Kiwanda, Mangubu, Kisiwani, Mwarimba, Mkwajuni, Misozwe, Kwatango, Kwemingoji, Darajani, Kambai, Kwaboha, Mlesa, Mnyenzani, Kwangena, Bamba and Segoma); 7 villages in Ruvu catchment (Mvuha, Uponda, Kilemela, Kibangile, Nige, Matopo and Dalla).</li> <li>• 720ha earmarked for demarcation in Ruvu, under a proposal to access funding from the Water Fund, to scale up restoration of buffer zones as well as reduction of sediment load and restoration of natural vegetation along Ruvu River including fabrication and installation of 1200 concrete beacons and 100 sign board with different conservation messages.</li> <li>• In Zigi Catchment, the project demonstrated use of alternative energy sources and fuelwood efficient stoves (1 demonstration Biogas plant constructed in Shebomeza village and 80 energy saving stoves in 7 villages (Kisiwani, Mlesa, Sakale, Kisiwani, Shebomeza, Mbomole and Ubiri). The 80 demo stoves were constructed by trained local artisans who emerged from the training of 45 villagers (14 male, 31 female). These have catalyzed construction of over 950 stoves on demand from inspired households in the villages and surrounding communities. The stoves have efficiencies of 50 to 65% (basing on research findings from TaTEDO and wPOWER); in some cases, the efficiency is as high as 80% depending on use practice/kitchen management.</li> <li>• 36 school environmental clubs have been established to steer environmental education in schools (11 in Ruvu and 25 in Zigi), distributed as follows; In Ruvu Catchment (at</li> </ul>	
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		<p>Mvuha, Dala, Ngerengere, Kibangile, Tawa and Tegetero Primary schools; Tawa, Bwakira Juu, Tegetero, Ngerengere and Mvuha Secondary Schools) all in Morogoro District Council. In Zigi Catchment, 10 clubs in Muheza District, 5 clubs in Tanga City and 10 in Mkinga District. The clubs are demonstrating tree nursery establishment for learning while contributing to tree planting in the villages.</p> <ul style="list-style-type: none"> <li>• In Zigi catchment, 36 degraded forest areas and water sources sites covering an area of 225 ha outside the protected forests were identified. 30 sites in 8 villages have been replanted with 5,400 tree seedlings of natural species including Allanblackia spp, Newtonia spp, Tabana, spp, Beilchmedia spp and Draceana spp.</li> </ul>	
	<p><b>Output 4.2:</b> Household food production and incomes increased by 30% (for actively participating villages) through promotion of sustainable income generating activities in participating villages.</p>	<ul style="list-style-type: none"> <li>• In Ruvu catchment, 8 Water Users Associations (WUAs) in Morogoro and in Myomero were trained on Beehive keeping, VICOPA and Fish Farming.</li> <li>• Mgolole Water User Association was provided with 40 beehives. Ten beehives have bees, which produce 60 litres of honey.</li> <li>• Morogoro DC was provided with 30 beehives. Twenty beehives have bees. So far managed to harvest 20 litres from 4 beehives.</li> <li>• Another group called Upendo in Morogoro DC has 30 beehives and 13 have bees. They harvested 18 litres from 6 beehives.</li> <li>• Tushikamane group in Logo village, Morogoro DC has 30 beehives and 21 have bees and harvested 17 litres from 6 beehives.</li> <li>• Lugaluga group in Uponda Village, Morogoro DC has 30 beehives and 6 beehives have bees they have harvested 40 litres.</li> <li>• The Ngerengere Juu A, a WUA in Mlali Village, Mvomero District, has 27 members they were trained on beekeeping processes and how to effectively produce</li> </ul>	<p>☑ Achieved</p>

		<p>quality honey. They were provided with 25 beehives and 21 beehives have bees, and they have harvested 8 litres. They were also trained on VICOBA and have started operations.</p> <ul style="list-style-type: none"> <li>• The Ngerengere Juu B in Mzumbe Ward, Mvomero District has 27 members. They were trained on beekeeping processes and how to effectively produce quality honey and were provided with 25 beehives. They were also trained on VICOBA and have started operations.</li> <li>• The Mfizigo WUA in Nige Village, in Morogoro DC has 53 members who were trained on beekeeping processes. They have 49 beehives; 17 beehives have bees. The WUA has harvested 39 litres from 8 beehives. They were also trained on VICOBA and have started operations.</li> <li>• 4 members of the Zigi Juu WUA provided with 5 modern milk cows. Later other members will be provided with cows.</li> <li>• Zigi Chini WUA was provided with 30 beehives in which 14 beehives have bees.</li> <li>• Kihuhwi WUA was provided with indigenous chickens.</li> <li>• In Ruvu catchment 350 members (266 male, 124 female) from 9 groups and 5 WUAs have established beekeeping learning sites, with a total of 360 beehives with initial harvesting of 73 Kgs of honey worthy TZS 730,000.00. Two fish-farming groups have been established with 63 members (50 male, 13 female), using improved fish ponds with producing capacity of 27 tons of fish per year valued of TZS 175 million in the local market.</li> </ul>	
	<p><b>Output 4.3:</b> Sustainable livestock management technologies developed and tested and infrastructure developed to operationalize SLM in rangelands.</p>	<ul style="list-style-type: none"> <li>• In both Zigi and Ruvu catchment, a total of 26 Acres (12 Zigi and 14 Ruvu) of pasture farm were cultivated and planted with Chloris gayana /Rhodes grass and Cenhrus ciliaris at Magogoni, Machimboni, Kwangena, and Wami Luwindo village. This will increase pasture production for sustainable Range land management, livestock</li> </ul>	<p>☑ Achieved</p>



		production, pastoral livelihood and protection of the water catchment as well as reduce conflicts between pastoralist and other land users.	
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#### 6.4 ANNEX D: LIST OF DOCUMENTS REVIEWED

No.	Item(s)
1	TE Guidance for UNDP supported GEF-financed Projects (2020)
2	UNDP DE Guidance Virtual Evaluations during COVID-19 June 2020
3	Signed Watershed Project Document
4	2020 GEF Project Implementation Review (PIR)
5	2019 GEF Project Implementation Review (PIR)
6	2018 GEF Project Implementation Review (PIR)
7	2017 GEF Project Implementation Review (PIR)
8	Trip Report Ruvu-Zigi April 2017 Final
9	Trip Report Ruvu-Zigi March 2018
10	BTOR Zigi Catchment 19 May 2018
11	Trip Report Ruvu-Zigi May 2018 Final
12	Updated M&E Matrix
13	Project Midterm Review Report
14	CD Tracking tool indicators draft 16.11.2020
15	PIMS 5077 MTR Updated Management Response November 2020
16	Zigi EFA Main Wet Season Fieldwork Results Final Summary Report

17	River Health Assessment in Ruvu Catchment, United Republic of Tanzania Ministry of Water and Irrigation, Wam/Ruvu Water Board
18	Stakeholder Database for Zigi and Ruvu Catchments, July 2017
19	Financial Investments in Sustainable Landmanagement Programmes and Planning in Tanzania, October 2017
20	Biophysical Inventory Report for Zigi and Ruvu Catchments, June 2018
21	Project Information Data Management Report Final Report, December 2017
22	GIS Training Final Report, May 2018
23	Gender Diagnosis Summary Report for Wami-Ruvu Catchment, January 2017
24	Gender Diagnosis Summary Report for Zigi Catchment, January 2017
25	Final Report Assessment of Alternative Income Generating Activities Zigi Catchment, 2016
26	Proceedings of the Inception Workshop for Development of Guidelines on SLM Best Practice Technologies, Principles of Integrated Water Resource Management and Alternative Income Generating Activities (IGAs), Morogoro, May 8, 2017
27	Minutes of the 3rd PSC Meeting Watershed, July 25, 2017
28	Minutes of the 9th PSC Meeting held in Morogoro on 3rd Nov 2020
29	Minutes of the 6th PSC Meeting in Morogoro 29.11.2018
30	PIMS 5077 Capacity Development Scorecard at Project Start MTR and TE Nov 2020
31	GEF5 PIMs 5077 Watershed co-financing realised at TE page 1 and page 2 including UNDP CO Contribution November 2020
32	SESP PIMS 5077 FINAL_8May2015
33	SESP PIMS 5077 FINAL_30 July 2019

## 6.5 ANNEX E: TERMINAL EVALUATION MISSION ITINERARY

**DRAFT PROGRAM OF THE FIELD VISITS WITH THE TERMINAL EVALUATION CONSULTANT FOR SLM PROJECT TO BE CONDUCTED FROM 26<sup>TH</sup> NOVEMBER TO 3<sup>RD</sup> DECEMBER, 2020.**

SN.	DAY AND TIME	EVENT	RESPONSIBLE	DELIVERABLE
	<b>DAY ONE</b>	<b>26/11/2020</b>		
1.	11:00	Zoom meeting	PCU	
	<b>DAY TWO</b>	<b>27/11/2020</b>	<b>Field Visit</b>	
2.	06:00 – 11:00	Travelling from Dar es Salaam to Morogoro	PCU, MOW & PCU	Maybe start earlier so that you are in Morogoro earlier. Discussions on ongoing progress activities of SLM
3.	11:30 - 12:40	Courtesy Call to RAS Morogoro	MOW, UNDP & PCU	30 minutes may be too small for the RAS – Remember he was the 1 <sup>st</sup> Chair of the PSC. Issues for discussion with him could revolve around mainstreaming and sustainability of the project activities in his area or any technical advice.
	12:45 – 13:30	Quick Lunch		
4.	13:30 – 16:30	Site visit to Kinyenze Cattle Trough Site	PCU, MOW, FP Mvomero, WRBWB &	To assess the progress and achievements made so far and provision of technical advice if any
	<b>DAY THREE</b>	<b>28/11/2020</b>		
6.	11:30 - 12:30	Site visit to Mbalangwe Fish Pond	PCU, MOW, FP Morogoro DC, WRBWB &	To assess the progress and achievements made so far and provision of technical advice if any
	<b>DAY FOUR</b>	<b>29/11/2020</b>		

7.	10:00 - 03:30	Travelling from Morogoro to Dodoma	PCU, CONSULTANT	
	<b>DAY FIVE</b>	<b>30/11/2020</b>		
8.	08:00 – 12:00	Courtesy Call to VPO	PCU AND LOCAL CONSULTANT	
		Courtesy Call to TAMISEMI Ministry of Agriculture		
		Courtesy Call to Ministry of Agriculture		
		Courtesy Call to Ministry of Livestock		
9.	<b>12:00 – 13:30</b>	<b>LUNCH ALL</b>		
10.	13:30 – 15:00	Courtesy Call Ministry of Water	MOW, PCU & LOCAL CONSULTANT	To assess the progress and achievements made so far and provision of technical advice if any
	<b>DAY SIX</b>	<b>31/11/2020</b>		
12.	08:00- 10:00	Courtesy Call to Land Use Plan Commission	MOW, PCU & LOCAL CONSULTANT	
13.	10:00- 16:00	Travelling to Tanga	MOW, PCU & LOCAL CONSULTANT	
	<b>DAY SEVEN</b>	<b>01/12/2020</b>		
14.	08:00- 10:00	Courtesy Call RAS Tanga	MOW, PCU & , FP Tanga City	
15.	10:00-11:00	Field Visit to UWAMAKIZI and Kihuhwi River Gauging Station		
16.	11:00- 12:30	Field Visit to JUWAMAZIJU		

17.	12:30 - 13:30	LUNCH	ALL	
18.	13:30 – 14:30	Amani Nature Reserve to Kihara Water Source		
19.	14:30 - 16:30	Site visit to spices group in Ubiri	MOW, PCU, FP PBWB, AMNFR&	To assess the progress and achievements made so far and provision of technical advice if any
20.	16:30 - 17:30	Back to Tanga		
	DAY EIGHT	02/12/2020		
21.	08:00 – 10:00	Visit to Tanga Uwasa	MOW, PCU, FP PBWB, FP Tanga Uwasa &	
22.	10:00 -16:00	Travelling From Tanga to Dar es Salaam	PCU&	
	DAY NINE	03/12/2020		
23.	08:30 – 12:00	Final Consultation Meeting with the Consultant at UNDP /SLM Offices	MOW, PCU & UNDP	
	DAY TEN	04/12/2020		
	END OF FIELD VISIT			

## 6.6 ANNEX F: LIST OF PERSONS INTERVIEWED

SN	NAME	GENDER	INSTITUTION	ROLE IN THE PROJECT	
1.	Prof John Kessy	M	SUA/UNDP CO	National Consultant	
2.	Nelson Gapare (Zoom meetings only)	M	Greensoft GMC	International Consultant	
3.	Bakari Bamba	M	Ministry of Water	Project Coordinator	
4.	Callystus Mponzi	M	Ministry of Water	Economist	
5.	Estella Mgala	F	Ministry of Water	Sociologist	
6.	Stella Lyimo	F	Pangani Basin Water Board	Project Accountant	
7.	Flora Muro	F	Ministry of Water	Community Development Officer	
<b>Participants in the Initial Planning meeting at the Basin Offices in Morogoro</b>					
8.	Yulian Mizola	M	Wamiruvu Basin	Community Development Officer	
<b>Participants at the Kiyenze Community Cattle Trough Consultations</b>					
9.	Monica C. Kasmiri	F	Mvomero District	Village Executive Officer	
10.	Msangi S. Ramadhani	M	Mvomero District	Project Focal Point	
11.	Juma H. Ramadhani	M	Kinyenze Village	Village Chairman	
12.	George K. Kisawani	M	Kinyenze Group	Chairman	
13.	Petro Ngoja	M	Kinyenze Group	Secretary	
14.	Aziza Kipoyi Kisawani	F	Kinyenze Group	Accountant	
15.	Teresia Papuli Matunda	F	Kinyenze Group	Group Member	
16.	Ibrahim K. Kisawani	M	Kinyenze Group	Group Member	

17.	Badru K. Kisawani	M	Kinyenze Group	Group Member	
18.	Hamisi S. Kisawani	M	Kinyenze Group	Group Member	
18.	Christina I. Kisawani	F	Kinyenze Group	Group Member	
19.	Richard Ngoja Fabiani	M	Kinyenze Group	Group Member	
20.	Anna Majuka	F	Kinyenze Group	Group Member	
<b>Participants at the Ministry of Livestock Zoom Meeting</b>					
21.	Israel Kilonto	M	Ministry of Livestock and Fisheries	Ag. Asst. Director	
22.	Boniphace Shijja	M	Ministry of Livestock and Fisheries	Project Focal Point	
23.	Eng. Mdeke	M	Ministry of Agriculture	Project Focal Point	
<b>Participants at the TAMISEMI Consultative Meeting</b>					
24	Eng. Emmanuel Nyanda	M	TAMISEMI	Steering Committee member	
25	Dismas Masologo	M	Freelance Consultant	M&E Advisor	
<b>Participants at the Ministry of Water Meeting</b>					
26.	Eng. Nadhifa Kemikimba	F	Deputy Permanent Secretary, Ministry of Water	Steering Committee Member	
27.	Dr. George Lugomela	M	Ministry of Water	Director of Water Resource	
28.	Rose Rwebugisa	F	Ministry of Water	Project Overseer	
29.	Damas Masologo	M	Freelance Consultant	M&E Advisor	
<b>Participants involved in the National Land Use Commission Consultative Meeting at the Morogoro Zone Office</b>					
30.	Albina B. Bura	F	Land Use Commission	Steering Committee Member	



31.	Jerome Nchimbi	M	Land Use Commission	Project Focal Point	
<b>Participants at the RAS Morogoro Office Meeting</b>					
32.	Eng. Emmanuel Kalobelo	M	RAS Office	RAS and Steering Committee Member	
33.	Eng. Ezron Kilambana	M	RAS Office	Asst. RAS Steering Committee Representative	
34.	Dr. Rozalia Rwegasira	F	RAS Office	Ag. Asst. Economic Affairs	
35.	Venance Segere	M	RAS Office	Environmental Officer	
36.	Yulian Mizola	M	Wamiruvu Basin	Project Focal Point Officer	
<b>Participants at the DED Morogoro DC meeting</b>					
37.	Rehema S. Bwasi	F	Morogoro District	District Executive Director	
38.	Rose Semiono	F	Morogoro District	Project Focal Point	
39.	Paul Mwakalambo	M	Morogoro District	Fisheries Officer	
<b>Participants at the Morogoro DC Fish Pond Site Consultations with Community Members</b>					
40.	Bakari Kidodo	M	Fish Pond Group	Chairman	
41.	Idi Magona	M	Fish Pond Group	Member	
42.	Ramadhani S.	M	Fish Pond Group	Member	
43.	Nelia Kibwana	F	Fish Pond Group	Member	
44.	Amina Mbegu	F	Fish Pond Group	Member	
45.	Zaina Ulembo	F	Fish Pond Group	Member	
46.	Safia Mzuanda	F	Fish Pond Group	Member	
47.	Omari Selomba	M	Fish Pond Group	Member	
48.	Adija Saidi	F	Fish Pond Group	Member	
<b>Participants at the Tanga UWASA Office and Focal Point Officers from Mkinga, Tanga City, Amani Nature Reserve Zoom Meeting Session</b>					

49.	Haika F. Ndalama	F	Tanga UWASA	Ag. Managing Director	
50.	Rashidi Shabani	M	Tanga UWASA	Technical Manager	
51.	Alawi Ahmadi	M	Tanga UWASA	Customer Service Manager	
52.	Devotha C. Mayala	F	Tanga UWASA	Public Relation Officer	
53.	Ramadhani Nyambuka	M	Tanga UWASA	Project Focal Point	
54.	Rashid Lihapa	M	Mkinga District	Project Focal Point	
55.	Zalna Kilavu	F	Tanga City	Project Focal Point	
56.	Bob Isack Matunda	M	Amani Nature Reserve	Project Focal Point	
<b>Participants at the RAS Tanga Office Consultative Meeting</b>					
57.	Judica Omari	F	Regional Administration Secretary	Steering Committee Member	
58.	Josephine George	F	Assistant RAS	Asst. RAS	
<b>Participants at the UWAMAKIZI Community Group Consultative Meeting</b>					
59.	Twaha R. Mbaruk	M	UWAMAKIZI	Chairman	
60.	Joyce J. Chambo	F	UWAMAKIZI	Female Chairperson	
61.	Prisca Luhui	F	UWAMAKIZI	Representative Member	
62.	Simon H. Mnzava	M	UWAMAKIZI	Secretary	
63.	Willy Masimba	M	UWAMAKIZI	Asst. Secretary	
64.	Aisha A. Bendera	F	UWAMAKIZI	Personal Secretary	
65.	Ahmed Bendera	M	District Agricultural Office	Extension Officer	
66.	Ramadhani Nyambuka	M	Tanga UWASA	Project Focal Point	
<b>Participants at the Kisiwani WUA-Zigi Juu Consultative Meeting</b>					
67.	Philip Mdoe	M	Zigi Juu	Chairman	
68.	Tatu Shafii	F	Zigi Juu	Member	

69.	Yusuphu Mamboleo	M	Zigi Juu	Member	
<b>Participants at the UBIRI Consultative Meeting</b>					
70.	Hamis Yusufu	M	Ubiri	Chairman	
71.	Kaimu Y Mmipi	M	Ubiri	Environmental Teacher	
72.	Charle Mduma	M	Ubiri	Member	
73.	Habilu R. Msaka	M	Ubiri	Secretary	
74.	Zaniali Idrisa	F	Ubiri	Member	
75.	Yusuphu Mahanda	M	Ubiri	Focal Person	
<b>Participants at the AMANI NATURE RESERVE Consultative Meeting</b>					
76.	Alphonse Wyaluly	F	Amani Nature Reserve	Conservator	
<b>Stakeholders Consulted through telephone conversations</b>					
77.	Hassan Chama	M	Mvomero District	District Executive Director	
78.	Malik Ally Malik	M	Vice Presidents Office	Steering Committee Member	

## 6.7 ANNEX G: EVALUATION CRITERIA MATRIX

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?			
Is the Project relevant to the GEF objectives?	Project design documents  Clear articulation of objectives in ProDoc linking GEF/UNDP objectives to project and country priorities   Involvement of relevant institution demonstrating country ownership  Endorsement of the project by governmental agencies.  Provision of counterpart funding.  Reported progress toward achieving the results  Level of gender issues raised outlined in project documents	Project document review	Document analysis, data analysis, interviews with project staff, interviews with stakeholders
Is the Project relevant to UNDP objectives?		Project Preparation Grant Document	
Is the Project relevant to the Tanzania development objectives?		Consultations process	Documents endorsements and co-financing.  Interviews with UNDP, project staff and government agencies.  Project documents
Does the Project address the needs of target beneficiaries?		Background context analysis Informant interviews	
Is the Project internally coherent in its design?		Government counterparts;	
How is the Project relevant considering other donors?		Government stakeholders including all ministries participating from coordinating bodies or steering committees;	
What lessons have been learned and what changes could have been made to the Project to strengthen the alignment between the Project and the Partners’ priorities and areas of focus?		Civil Society Organizations;	
How could the Project better target and address the priorities and development challenges of targeted beneficiaries?		Indigenous Peoples Organizations;	
To what extent were relevant gender issues raised in the project design.	Provincial and district offices		
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
How is the Project effective in achieving its expected outcomes?	Indicators and targets of outcome and outputs.	Project documents, progress	Field visits and interviews with local stakeholders involved with these projects and the direct beneficiaries.
How is risk and risk mitigation being managed?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			

<p>Was adaptive management used or needed to ensure efficient resource use?</p> <p>Did the Project logical framework and work plans and any changes made to them use as management tools during implementation?</p> <p>Were the accounting and financial systems in place adequate for Project management and producing accurate and timely financial information?</p> <p>Were progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?</p> <p>Was Project implementation as cost-effective as originally proposed (planned vs. actual)? Was the leveraging of funds (co-financing) happening as planned?</p> <p>Were financial resources utilized efficiently?</p> <p>Could financial resources have been used more efficiently?</p>	<p>Level of implementation of mechanisms outlined in the project document</p> <p>Level of satisfaction (among partners and project staff) of overall management by Implementing partner.</p> <p>Level of compliance with project planning / annual plans</p>	<p>Project progress reports.</p> <p>PSC meeting minutes</p> <p>Interviews with project staff</p>	<p>Document analysis and interviews with project teams</p> <p>Field visits and interviews with local stakeholders involved with these projects and the direct beneficiaries.</p>
<p><b>Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?</b></p>			
<p>Are there any social or political risks that may jeopardize sustainability of project outcomes?</p> <p>Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?</p> <p>What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?</p>	<p>Social and environmental safeguards implementation and reporting</p> <p>Availability and dissemination of knowledge products</p> <p>Financial and technical additionality</p> <p>Signs of replication and upscaling including any promising discussions on funding or policy reforms to create an enabling environment</p>	<p>Project progress reports.</p> <p>PSC meeting minutes</p> <p>Interviews with project staff</p> <p>Risk register</p> <p>Risk mitigation proposal and approvals</p> <p>Strategy documents and plans for upscaling</p>	<p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p> <p><i>Interviews with other stakeholders</i></p> <p><i>Lessons learnt material</i></p>

<p>Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?</p> <p>Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?</p>			
<b>Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?</b>			
<p><b>Was the intervention formulated according to international norms and agreements on HR and GE (e.g. CEDAW, UDHR, CRPD), and to national and local strategies to advance HR &amp; GE?</b></p> <p><b>Was the intervention formulated according to the needs and interests of all targeted stakeholder groups? How were these needs and interests assessed?</b></p> <p><b>Were HR &amp; GE analyses conducted at the design stage? Did they offer good quality information on the underlying causes of inequality and discrimination to inform the intervention?</b></p> <p><b>Did the intervention's theory of change incorporate the HR &amp; GE dimensions?</b></p> <p><b>Are HR &amp; GE objectives clearly stated in the results framework, including short, medium and long-term objectives?</b></p> <p><b>Is the responsibility for ensuring adherence to HR &amp; GE objectives well-articulated in the performance monitoring framework and implementation plans?</b></p> <p>Does the intervention have specific quantitative and qualitative indicators and baselines to measure progress on HR &amp; GE?</p>	<p>Measures taken to operationalize a HR &amp; GE approach</p> <p>Measures and activities undertaken to meet the needs of the various groups of stakeholders, including those who are most likely to have their rights violated</p> <p>Evidence of systematic and appropriate efforts to include various groups of stakeholders, including those who are most likely to have their rights violated</p> <p>Signs of efforts to build the capacity of rights holders and duty bearers</p>	<p>Project document review</p> <p>Project Preparation Grant Document</p> <p>Consultations process</p> <p>Background context analysis Informant interviews</p> <p>Government counterparts;</p> <p>Government stakeholders including all ministries participating from coordinating bodies or steering committees;</p> <p>Civil Society Organizations;</p> <p>Indigenous Peoples Organizations;</p> <p>Provincial and district offices</p>	<p><i>Document analysis, data analysis, interviews with project staff, interviews with stakeholders</i></p> <p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p>

<p>Are there sufficient resources (financial, time, people) allocated to integrate HR &amp; GE in the design, implementation, monitoring and evaluation of the intervention?</p> <p>- To what extent are HR &amp; GE a priority in the overall intervention budget?</p> <p>- What are the costs of not addressing HR &amp; GE adequately from the design stage?</p>	<p>Gender specific analytical work, reports- Measures taken to ensure resources are used in an efficient way to address HR &amp; GE in the implementation (e.g. participation of targeted stakeholders, collection of disaggregated data, etc.)</p> <p>Measures taken to address any constraints (e.g. political, practical, bureaucratic) to addressing HR &amp; GE efficiently during implementation</p>	<p>Project document review</p> <p>Project Preparation Grant Document</p> <p>Consultations process</p> <p>Background context analysis Informant interviews</p> <p>Government counterparts;</p> <p>Government stakeholders including all ministries participating from coordinating bodies or steering committees;</p> <p>Civil Society Organizations;</p> <p>Indigenous Peoples Organizations;</p> <p>Provincial and district offices</p>	<p><i>Document analysis, data analysis, interviews with project staff, interviews with stakeholders</i></p> <p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p>
<p>Did the intervention design include an appropriate sustainability and exit strategy (including promoting national/local ownership, use of local capacity, etc.) to support positive changes in HR &amp; GE after the end of the intervention? To what extent were stakeholders involved in the preparation of the strategy?</p> <p>Did the planning framework build on an existing institutional and organizational context that is conducive to the advancement of HR &amp; GE?</p> <p>If not, did the intervention design address the institutional and organizational challenges to advancing the HR &amp; GE agenda?</p>	<p>Presents of a sustainability and intervention exit strategy addressed during implementation</p> <p>The extent to which national and local organizations are involved in different aspects of the intervention implementation</p> <p>Measures taken to promoting sustainable changes in attitudes, behaviors and power relations between the different stakeholder groups</p>	<p>Project document review</p> <p>Project Preparation Grant Document</p> <p>Consultations process</p> <p>Background context analysis Informant interviews</p> <p>Government counterparts;</p> <p>Government stakeholders including all ministries participating from coordinating bodies or steering committees;</p> <p>Civil Society Organizations;</p> <p>Indigenous Peoples Organizations;</p> <p>Provincial and district offices</p>	<p><i>Document analysis, data analysis, interviews with project staff, interviews with stakeholders</i></p> <p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p>
<p><b>Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?</b></p>			

<p>Will the project achieve its objective that is to improve fiscal measures for collecting, managing, and allocating revenues for global environmental management?</p> <p>How is the Project impacting the local environment such as impacts or likely impacts on the local environment; on poverty; and, on other socio-economic issues?</p>	<p>Quantitative data providing evidence of positive environmental impacts</p>	<p>Tracking tool qualitative and quantitative data</p> <p>Policy initiatives informed by project outcomes</p> <p>Documentation of impact on local communities – income, access to clean water and energy, land tenure security and role of women in decision making, access to finance</p>	<p><i>Document analysis, data analysis, interviews with project staff, interviews with stakeholders</i></p> <p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p>
<p><b><i>Sustainability - Are the initiatives and results of the Project allowing for continued benefits?</i></b></p>			
<p>Are sustainability issues adequately integrated into Project design?</p> <p>Did the Project adequately address financial and economic sustainability issues?</p> <p>Is there evidence that Project partners will continue their activities beyond Project support?</p> <p>Are laws, policies, and frameworks being addressed through the Project, in order to address the sustainability of key initiatives and reforms?</p> <p>Is the capacity in place at the national and local levels adequate to ensure sustainability of the results achieved to date?</p> <p>Are Project activities and results being replicated elsewhere and/or scaled up?</p> <p>What are the main challenges that may hinder the sustainability of efforts?</p>	<p>Key factors positively or negatively impacted project results (in relation to the stated assumptions).</p> <p>Main national stakeholders participate actively in implementation and replication of project activities and results.</p> <p>Key institutional frameworks that may positively or negatively influence project results (in relation to stated assumptions)</p> <p>Estimations on financial requirements. Estimations of the future budget of key stakeholders.</p>	<p>Project document review</p> <p>Project Preparation Grant Document</p> <p>Consultations process</p> <p>Background context analysis Informant interviews</p> <p>Government counterparts;</p> <p>Government stakeholders including all ministries participating from coordinating bodies or steering committees;</p> <p>Civil Society Organizations;</p> <p>Indigenous Peoples Organizations;</p> <p>Provincial and district offices</p>	<p><i>Document analysis, data analysis, interviews with project staff, interviews with stakeholders</i></p> <p><i>Documents endorsements and co-financing.</i></p> <p><i>Interviews with UNDP, project staff and government agencies.</i></p> <p><i>Project documents</i></p>



## Thematic Component Analysis Criteria

Project Component	Detailed Evaluative Criteria Questions/Aspect	Evaluation indicators	Data sources
Project Strategy			
Project Design	<ul style="list-style-type: none"> <li>• Key Questions</li> <li>• Does the project address country priorities and is it in line with the national sector development priorities and plans of the country?</li> <li>• How relevant is the project and is it effective the most effective route towards expected/intended results?</li> <li>• Are the project assumptions correct and if not, what was missed?</li> <li>• Were lessons from other relevant projects properly incorporated into the project design?</li> <li>• Was the project designed in a participatory manner and does it reflect the needs of the beneficiaries?</li> <li>• What components could have been designed differently and why?</li> </ul>	<ul style="list-style-type: none"> <li>• Background research carried out and provides substantive evidence of the problem</li> <li>• Gender participation</li> <li>• Problems addressed are recognized at national level</li> <li>• Proposed interventions are supportive of national policies and identified sector challenges</li> </ul>	<ul style="list-style-type: none"> <li>• Project design document</li> <li>• Any background research and appraisal undertaken in preparing the Project document and logframe</li> <li>• Interviews with relevant senior government officials</li> </ul>
	<ul style="list-style-type: none"> <li>• Review the problem addressed by the project and the underlying assumptions.</li> <li>• Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.</li> <li>• Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.</li> <li>• Were lessons from other relevant projects properly incorporated into the project design? Review how the project addresses country priorities.</li> <li>• Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country?</li> </ul>	<ul style="list-style-type: none"> <li>• Proposed interventions are supportive of national policies and identified sector challenges</li> </ul>	<ul style="list-style-type: none"> <li>• Project document review</li> <li>• Project Preparation Grant Document</li> <li>• Consultations process</li> <li>• Background context analysis</li> <li>• Informant interviews</li> <li>• Government counterparts;</li> <li>• Government stakeholders including all ministries participating from coordinating bodies or steering committees;</li> <li>• Civil Society Organizations;</li> </ul>

	<ul style="list-style-type: none"> <li>Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?</li> <li>Review the extent to which relevant gender issues were raised in the project design as per GEF guidelines.</li> </ul>		<ul style="list-style-type: none"> <li>Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.</li> <li>Provincial and district offices</li> </ul>
<b>Results Framework/ Logframe</b>	<ul style="list-style-type: none"> <li>Undertake a critical analysis of the project's logframe indicators and targets,</li> <li>Assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.</li> <li>Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?</li> <li>Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.</li> <li>Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits</li> </ul>	<ul style="list-style-type: none"> <li>Annual work plans, quarterly reports, and log frame provide clear and measurable baselines and targets</li> <li>Achieved targets are well documented and can be verified</li> <li>Field observations confirm achievements</li> </ul>	<ul style="list-style-type: none"> <li>Logframe</li> <li>Annual and quarterly reports</li> <li>ProDoc</li> <li>Background studies</li> <li>Other reports from other projects</li> <li>Policies</li> <li>Stakeholder interviews and field site visits</li> <li>Focus group meetings</li> </ul>
<b>Progress Towards Results</b>			
<b>Progress towards outcome analysis</b>	<ul style="list-style-type: none"> <li>Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix</li> <li>Colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make</li> </ul>	<ul style="list-style-type: none"> <li>Project results are clear and simple to understand</li> <li>Reporting of results is timely and verifiable</li> </ul>	<ul style="list-style-type: none"> <li>Guidance for Conducting Midterm Reviews of UNDP-Supported projects,</li> <li>Guidance for GEF-Financed Projects;</li> <li>GEF Tracking Tool</li> </ul>

	<p>recommendations from the areas marked as “Not on target to be achieved” (red).</p> <ul style="list-style-type: none"> <li>• In addition to the progress towards outcomes analysis, the MTR will:</li> <li>• Compare and analyse the GEF Tracking Tool at the Baseline (if any) with the one completed right before the Midterm Review.</li> <li>• Identify remaining barriers to achieving the project objective in the remainder of the project.</li> <li>• By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Barriers and challenges are reported in quarterly reports and mitigation measures are outlined</li> </ul>	
	<b>Project Implementation and Adaptive Management</b>		
<b><u>Management Arrangements:</u></b>	<ul style="list-style-type: none"> <li>• Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.</li> <li>• Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.</li> <li>• Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>• Intervention results demonstrate value for money</li> <li>• Quality of outputs is in line with agreed standards</li> <li>• Technical teams are supportive and are supportive of project implementation</li> <li>• There is clear and open communication, collaboration and coordination between technical teams and the PCU,</li> </ul>	<ul style="list-style-type: none"> <li>• Project design documents</li> <li>• Stakeholder interviews</li> <li>• Annual and Quarterly reports</li> </ul>
<b><u>Work Planning:</u></b>	<ul style="list-style-type: none"> <li>• Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.</li> <li>• Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?</li> </ul>	<ul style="list-style-type: none"> <li>• Project activities are completed on time</li> <li>• There is clear justification for delays</li> <li>• Deviations and delays are reported</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Work Plans</li> <li>• Log Frame</li> <li>• Monitoring reports</li> <li>• Interviews with project staff, WUAs community representatives</li> </ul>

	<ul style="list-style-type: none"> <li>Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.</li> </ul>	<ul style="list-style-type: none"> <li>Results are disseminated to all relevant stakeholders in an easy format to understand or local language.</li> </ul>	
<b><u>Finance and co-finance:</u></b>	<ul style="list-style-type: none"> <li>How was the financial management of the project, with specific reference to the cost-effectiveness of interventions?</li> <li>Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.</li> <li>Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?</li> <li>Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?</li> </ul>	<ul style="list-style-type: none"> <li>Funding adequacy</li> <li>Co-finance is realized</li> <li>Financial reports are shared with partners</li> <li>Utilization of co-finance</li> </ul>	<ul style="list-style-type: none"> <li>Project finance reports, - quarterly and annual</li> <li>Project Audit reports</li> <li>PSC approvals, minutes of meetings</li> <li></li> </ul>
<b><u>Project-level Monitoring and Evaluation Systems</u></b>	<ul style="list-style-type: none"> <li>Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?</li> <li>Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?</li> </ul>	<ul style="list-style-type: none"> <li>Project implementation is treated as part of business as usual rather extra work</li> <li>Delivery of project is part of staff performance indicators</li> </ul>	<ul style="list-style-type: none"> <li>Project monitoring reports</li> <li>Quarterly and annual reports</li> <li>Project tem interviews</li> <li></li> </ul>
<b><u>Stakeholder Engagement:</u></b>	<ul style="list-style-type: none"> <li>Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>Project implementation networks are established</li> <li>Implementing partners take ownership and understand their roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>Communications reports</li> <li>Meetings and workshops</li> <li>Newsletters</li> </ul>

	<ul style="list-style-type: none"> <li>Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?</li> <li>Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Project beneficiaries and stakeholders are well informed and understand the objectives of the project</li> <li>Project reports and awareness material (pamphlets, newsletters are circulated regularly)</li> </ul>	
<b>Reporting</b>	<ul style="list-style-type: none"> <li>Assess how adaptive management changes have been reported by the project management and shared with the Project Board.</li> <li>Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)</li> <li>Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.</li> </ul>	<ul style="list-style-type: none"> <li>Barriers are addressed</li> <li>Regular review meetings are held to assess progress, challenges and undertake risk evaluation</li> <li>Project results framework and PIR highlight changes</li> <li>Project results are regularly shared at meetings, workshops</li> <li>Village demonstration activities showcasing project activity success and knowledge transfer</li> </ul>	<ul style="list-style-type: none"> <li>AWP</li> <li>Quarterly reports</li> <li>Meeting minutes</li> <li>Budget requests</li> </ul>
<b>Communications</b>	<ul style="list-style-type: none"> <li>Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication?</li> <li>Are there feedback mechanisms when communication is received?</li> <li>Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?</li> <li>Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)</li> <li>For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits</li> </ul>	<ul style="list-style-type: none"> <li>Regular project meetings highlight progress, successes and failures</li> <li>Communication material is available at site locations or central offices outline project objectives and benefits</li> </ul>	<p>AWP</p> <p>Quarterly reports</p> <p>Meeting minutes</p> <p>Budget requests</p> <p>Field visits</p> <p>BTORs</p>
<b>Sustainability Risk Management</b>			

	<ul style="list-style-type: none"> <li>• Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.</li> <li>• In addition, assess the following risks to sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Risk assessment is carried out regularly and reported in quarterly narrative reports</li> </ul>	
<b><u>Financial risks to sustainability:</u></b>	<ul style="list-style-type: none"> <li>• What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?</li> </ul>	<ul style="list-style-type: none"> <li>• Project activities are included in provincial and district business plans (mainstreamed)</li> <li>•</li> </ul>	Institutional plans
<b><u>Socio-economic risks to sustainability:</u></b>	<ul style="list-style-type: none"> <li>• Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• A sustainability strategy is included in intervention design</li> <li>• Activities can enable beneficiaries to generate own income and plowback</li> <li>• Beneficiaries are taught entrepreneurship</li> </ul>	National level policies Economic outlook reports
<b><u>Institutional Framework and Governance risks to sustainability:</u></b>	<ul style="list-style-type: none"> <li>• Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• The province and district demonstrate ownership of project activities</li> <li>• Project is not treated as extra work</li> </ul>	Key policy status and revisions
<b><u>Environmental risks to sustainability:</u></b>	<ul style="list-style-type: none"> <li>• Are there any environmental risks that may jeopardize sustenance of project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>• Local communities are aware of disaster response and can identify mitigation measures in case of extreme natural disasters or disease outbreaks</li> </ul>	

## **6.8 ANNEX H: OTHER TARGETED INTERVIEW QUESTIONS**

The below questions were used in the interviews. Not all questions were asked of each interviewee. The questions were used to make sure that all aspects are covered.

### **SECTION 1: MTR RAISED ISSUES**

1. Is sustained funding of SLM interventions through LGA and Ministry funds supported by any evidence?
2. Have water users associations managed to retain some of the revenues generated after government directive of depositing all revenues to treasury? Has anybody assisted?
3. Has all the funds for Co-financing been disbursed to the project? Is there a need for no cost extension?
4. Is the scale of IGAs supported significant enough to offset socio economic costs borne to the communities by vacating 60metres from water sources? Is there a deliberate support/incentive to those vacating the areas?
5. Did the project modify the strategic results framework indicators after MTR?
6. What is the fate of the proposed SLM Fund? Has it been dropped and other options sought?
7. Has access to funds from the National Water Fund through credible proposals increased?
8. Have the newly established sub-catchment committees been empowered to foster coordination among stakeholders?
9. Has the project employed a part time technical advisor to support the PCU?
10. Any attempts to partner with the private sector? Eg engagement with large water users?

### **SECTION 2. OTHER ISSUES OF INTEREST**

1. In your opinion what was unique in this project? Something striking?
2. What do you think the project did very well?
3. In which areas do you think the implementation of the project could be improved? How?
4. Can you comment on the sustainability of SLM interventions beyond the project life? (Financial, socio-economic, institutional, ecological/environmental)
5. Can you comment on the sustainability of the implemented IGAs at community level?
6. Can you comment of the composition of the Project Steering Committee (PSC)?

7. Is there any evidence that the PSC provided the needed oversight for the project?
8. Any other issues?



## 6.9 ANNEX I TE RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

## 6.10 ANNEX J: UNEG CODE OF CONDUCT FOR EVALUATORS

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject.

Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest, which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

### Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Evaluator: Nelson Gapare (Team Leader)

Name of Evaluator: Professor John F. Kessy (National Expert)

I confirm that we have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Madrid, Spain on March 13, 2021.

Signature (Nelson Gapare):

A handwritten signature in black ink, appearing to read 'Gapare', written in a cursive style.

Signature (Prof. John F. Kessy)

A handwritten signature in blue ink, appearing to read 'J. Kessy', written in a cursive style.

## 6.11 ANNEX K: TE REPORT CLEARANCE FORM

**Terminal Evaluation Report for Securing Watershed Services through Sustainable Land Management in the Ruvu and Zigi catchments (Eastern Arc Region), Tanzania (PIMS 5077)**

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Inela Weeks

Signature: 

Date: 15 March 2021

Nota Bene: The TE Audit Trail has been finalised and is available as a separate file

