



LAKE TANGANYIKA AUTHORITY

AUTORITE DU LAC TANGANYIKA

**Report of the extra - ordinary meeting of the
Lake Tanganyika Authority Management Committee**



*Dar es Salaam, United Republic of Tanzania,
May 12, 2010*



**Extra-ordinary meeting of the Lake Tanganyika Authority Management Committee,
Giraffe Ocean View Hotel, Dar es Salaam, United Republic of Tanzania**

1. OPENING OF THE MEETING

1.1 An extraordinary meeting of the Management Committee (MC) of the Lake Tanganyika Authority (LTA) took place on May 12th, 2010 at the Giraffe Ocean View Hotel in Dar es Salaam, Tanzania. The meeting was attended by members of the Management Committee from the Lake Tanganyika riparian countries of Burundi, Democratic Republic of Congo, Tanzania and Zambia; staff of the LTA Secretariat and the UNDP/GEF Project; as well as observers from Tanzania, United Nations Development Programme (UNDP) Country Office, International Centre for Research in Agroforestry (ICRAF) and International Union for Conservation of Nature (IUCN).

1.2 The meeting was opened at 09:45 Hours by the Chairperson of the Management Committee, Mr. Richard Muyungi, who is the Acting Director of Environment in the Vice President's Office, United Republic of Tanzania.

1.3 The draft agenda was adopted after brief discussion and making minor amendments. The agenda of the extraordinary meeting of the Management Committee meeting and the list of participants are shown in Annexes 1 and 2 respectively. The opening speech by the Chairperson is shown at Annex 3.

2. CONSIDERATION OF THE MAIN ISSUES

2.1 Annual Work Plan and Budget for 2010

The Executive Director presented the LTA Annual Work Plans and Budget (AWPB) for 2010. The meeting was informed that the LTA AWPB was only for activities at regional level to be coordinated by LTA while national activities are budgeted for under each National Coordinating Unit AWPB. After discussions, the LTA AWPB for 2010 was adopted by the Management Committee as shown in Annex 4.

2.2 National Contributions

The LTA Director of Administration and Finance presented an overview of the national contributions as at 11th May 2010 as shown in Annex 5. The outstanding country contributions for each country are: Burundi US\$284,099.63 (2010); Democratic Republic of Congo US\$607,800.00 (2009 & 2010); Tanzania US\$303,900 (2010) and Zambia US\$450,980.88 (2009 & 2010). Burundi promised to pay 60% of 2010 contribution by June 2010; Democratic Republic of Congo promised to pay at least 50% before August 2010; Tanzania promised to pay 60% by end of May 2010 and Zambia promised to pay the contributions for 2009 and 2010 by the end of July 2010. The meeting noted that if the national contributions are not paid in time, activities cannot be implemented. The meeting concluded that serious efforts should be made to ensure payments are made in a timely manner.

2.3 LTA/FAO Agreement

The Executive Director presented a report as shown at Annex 6 to the meeting on the negotiation process between LTA and Food and Agriculture Organization of the United Nations (FAO) on the LTA/FAO Agreement, particularly on the issue of Technical Assistance (TA) staff to be employed by the project, as approved by the Conference of Ministers (CoM) in Bujumbura in April 2008. After discussion,

an agreement was made that the Project could start with a TA staff on a consultancy basis, and after three months a consultation would be made with the MC to find a longer-term solution.

2.4 LTA Monitoring and Evaluation Manual

The Director of Monitoring and Evaluation presented the LTA Monitoring and Evaluation Manual as shown at Annex 7 that has been developed to monitor and evaluate the LTA programmes. After discussions, the manual was adopted and the chairman requested members to submit the written comments inputs for inclusion in the final draft version to be tabled at the fourth Conference of Ministers before 30th June 2010.

2.5 Preparations and Agenda for the Fourth MC and CoM meetings

The Executive Director presented to the meeting the proposed Agenda for the fourth ordinary meetings of the Management Committee (MC) and the Conference of Ministers (CoM) to be held in Zambia and asked the participants to inform the LTA Secretariat if there were any points that need to be included as soon as possible. The proposed Agenda is shown at Annex 8. The Zambian Delegation informed the meeting that their country was in the process of preparing for the 4th ordinary CoM meeting to be held in Lusaka, and proposed mid-August 2010 as the time for the meeting, taking into account the upcoming general elections in Burundi (May-July 2010) and Tanzania (October 2010).

3. CONSIDERATION OF TASKS ASSIGNED TO THE LTA SECRETARIAT

3.1 Fundraising Strategy

A draft Fundraising Strategy as indicated at Annex 9 was presented to the meeting. The MC members were given time to go through the Strategy and make recommendations by 30th June 2010. The Fundraising Strategy will be presented for consideration and adoption during the next ordinary meeting of the MC.

3.2 Terms of Reference for Regional Steering Committee

The Terms of Reference for the Regional Steering Committee shown at Annex 10 were tabled to the meeting. A suggestion was made by the Tanzania Delegation that the structures need to be reviewed as the current situation leaves out the Permanent Secretaries who have important roles in ensuring the implementation of the programme. It was agreed to table a proposal for inclusion of the Permanent Secretaries in the Regional Steering Committee during the upcoming Conference of Ministers ordinary meeting in August 2010. The meeting agreed that any comments and inputs into the draft Terms of Reference should be submitted to the LTA Secretariat by 30th June, 2010.

3.3 Communication on topics of fluctuating water levels, deforestation and sedimentation

The Director of Environment presented a communication on topics of fluctuating water levels, deforestation, and sedimentation in Lake Tanganyika and its basin as shown at Annex 11. The Tanzanian Delegation informed the meeting that there is additional financial support to examine these topics through the Water Resources Department of the Ministry of Water and Irrigation. The meeting agreed that the LTA Secretariat should liaise with the Ministry of Water and Irrigation of the United Republic of Tanzania in order to coordinate relevant activities as well as revise and update the terms of reference accordingly.

3.4 Amendments to the present Convention

The Executive Director presented two draft amendments to the present Convention: i) amendment to increase the number of MC members from three to four from each riparian country (Annex 12) and ii)

amendment to include African Development Bank (ADB) on the list of Observers (Annex 13). The Management Committee members were requested to submit their comments to the LTA Secretariat by 30th June 2010.

4. BRIEF PROGRESS REPORTS

4.1 Annual Report for 2009

The Executive Director submitted to the LTA 2009 Annual Progress Report to the meeting for the MC members to go through and the report will be tabled at the fourth ordinary Management Committee meeting.

4.2 Recruitment of Director of Fisheries

The Executive Director informed the meeting that the LTA Director of Fisheries, Mr. Kaitira Ibrahim KATONDA, was recruited on 8th March 2010 after endorsement by the governments of LTA Contracting States.

4.3 Regional Programme and Project Activities (1st Quarter of 2010)

The LTA Directors and the Regional Coordinator of the UNDP/GEF Project presented the Progress Reports for the 1st Quarter of 2010 as shown in Annex 14. After discussions, the meeting noted the progress that had been made despite the inadequate funding through the national contributions. The meeting however recommended that the Regional UNDP/GEF Project expedite the engagement of an organization to implement the UNDP-GEF Project activities in the Democratic Republic of Congo.

4.4 National Programmes and Project Activities (1st Quarter of 2010)

The National Coordinating Units of Burundi, Democratic Republic of Congo, Tanzania and Zambia; and the Project Management Unit of Zambia presented their Progress Reports for the First Quarter of 2010 (Annex 15). A discussion was opened on collaboration between NCUs and PMUs. A concern was raised that these discussions would have been more useful if representatives of the supporting partners were present. It was concluded that the topic of NCU and PMU collaboration will be added to the agenda of the fourth ordinary MC meeting.

4.5 Notifications sent to Contracting States of the Convention

The Executive Director informed the meeting that the LTA Secretariat issued and sent two notifications to the four riparian countries on 29th April, 2010. Notification 1: A request for information on activities within the area of the contracting states' jurisdiction or control aimed at implementation of the Convention on Sustainable Management of the Lake Tanganyika; Notification 2: A request for information on any activities that may be presumed to result in adverse impacts on the Lake Tanganyika and its Basin. The contracting states were requested to respond to the LTA Secretariat by 29th June 2010.

4.6 Short-list for External Auditor

The Director of Finance and Administration informed the meeting that in response to the request by the LTA Secretariat, only Burundi, Democratic Republic of Congo and Zambia had submitted lists of recommendations for candidates to be considered for appointment as External Auditor. The Tanzania Delegation pointed out that there was a communication problem, since the request was submitted to the former Director of Environment, who has retired. After a brief discussion, Tanzania agreed to the shortlisted Auditing Companies as they are similar to those working in Tanzania. The LTA Secretariat was therefore allowed to proceed with the process of getting an External Auditor for LTA.

5. BRIEF PRESENTATIONS FROM IUCN AND ICRAF

5.1 IUCN

The meeting was informed that IUCN Invasive Species Initiative was selected by the UNDP/GEF Project as the partner to implement a sub-project of invasive species monitoring and management activities in the Lake Tanganyika basin (Annex 16). A representative from IUCN, Dr. Geoffrey Howard, presented the project background of the invasive species issues in the Lake Tanganyika ecosystem as shown at Annex 16. After discussion, the meeting noted the relevance by all riparian states to adopt management actions once the invasive species have been identified.

5.2 ICRAF

The meeting was further informed that ICRAF was selected by the UNDP/GEF Project as the partner to implement a sub-project to support sustainable catchment management interventions in the Lake Tanganyika basin (Annex 17). A representative of ICRAF, Dr. Fergus Sinclair, presented an introduction to the sub-project, including examples of GIS images on environmental degradation hotspots in the basin and sedimentation at the mouth of the Rusizi River as shown in Annex 17. He informed the meeting that ICRAF proposes to hold a regional workshop at the end of June 2010 and national workshops from September to November 2010.

6. ANY OTHER BUSINESS

6.1 The UNDP/GEF Project requested on behalf of the LTA Secretariat that all partners disseminate relevant documents, abstracts of radio interviews, newspaper articles, Internet publications, etc that have been published about the LTA, its programme or the Projects. This will enable the LTA Secretariat to include relevant publications on the LTA website.

7. CLOSURE OF THE MEETING

The meeting was closed at 18:40.

EXTRA-ORDINARY MEETING OF THE LAKE TANGANYIKA AUTHORITY MANAGEMENT COMMITTEE
12th May, 2010, Giraffe Hotel, Dar-Es-Salaam, Tanzania
PROVISIONAL AGENDA

- 1. OPENING OF THE MEETING**
- 2. CONSIDERATION OF THE MAIN ISSUES:**
 - 2.1 Annual Work Plan and Budget for 2010
 - 2.2 National Contributions
 - 2.3 LTA/FAO Agreement
 - 2.4 LTA Monitoring and Evaluation Framework
 - 2.5 Preparations and Agenda for the next ordinary MC and next ordinary CoM meetings
- 3. CONSIDERATION OF TASKS ASSIGNED TO THE LTA SECRETARIAT:**
 - 3.1 Fundraising Strategy
 - 3.2 Terms of Reference for Regional Steering Committee
 - 3.3 Communication on topics of fluctuating water levels, deforestation and sedimentation
 - 3.4 Amendments to the present Convention
- 4. BRIEF PROGRESS REPORTS:**
 - 4.1 Annual Report for 2009
 - 4.2 Recruitment of Director of Fisheries
 - 4.3 Regional Programme and Project Activities (1st Quarter of 2010)
 - 4.4 National Programme and Project Activities (1st Quarter of 2010)
 - 4.5 Notifications sent to Contracting States of the Convention
 - 4.6 Short-list for External Auditor
- 5. BRIEF INTRODUCTIONS TO IUCN AND ICRAF INTERVENTIONS FOR THE UNDP/GEF PROJECT**
- 6. ANY OTHER BUSINESS**
- 7. CLOSURE OF THE MEETING**
- 8. COCKTAIL HOSTED BY THE HOST GOVERNMENT**

EXTRA-ORDINARY MEETING OF THE LAKE TANGANYIKA AUTHORITY MANAGEMENT COMMITTEE
12th May, 2010, Giraffe Hotel, Dar-Es-Salaam, Tanzania

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**OPENING SPEECH BY THE CHAIRMAN OF LAKE TANGANYIKA AUTHORITY MANAGEMENT
COMMITTEE**

(to inserted when available)

LAKE TANGANYIKA AUTHORITY SECRETARIAT
Abridged Annual Work Plan for Fiscal Year – 2010

A. EXECUTIVE ADMINISTRATION

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
1- LTA Secretariat Staff in place.	Director of Fisheries formally appointed; Hire three drivers					Executive Director	National Contributions; ADB	(Details under Administration and Finance)
2- Management Committee (MC) members consulted on the fourth MC and fourth Conference of Ministers (CoM) meetings and Extra-ordinary MC meeting held.	Consult with MC members and prepare necessary working documents and reports; Facilitate holding of the extra-ordinary meeting and prepare reports					Executive Director / Secondary: LTA Directors	a) National contributions b) UNDP/GEF	26,000 30,000
3- Fourth MC and fourth CoM meetings held.	Consult with MC and CoM members and the host government; Prepare necessary working documents and reports; Disseminate meeting reports					Executive Director Secondary: LTA Directors	a) National Contributions; b) UNDP-GEF Project	40,000 60,000
4-MC activities at country and regional levels facilitated.	Country level meetings held and activities undertaken to support LTA; Country level reports on the work done					Executive Director / Secondary: DAF	National contributions	100,000
5-Programme and Project activities supervised and support provided.	Undertake supervision missions to the LT riparian countries; Participate in Regional and National level programme and project implementation activities					Executive Director	a) National Contributions; b) UNDP/GEF Project c) ADB	5,000 15,000 15,000
6- Procurement of motor vehicles	Contact local motor vehicle dealers and procure two second hand, but good conditioned motor vehicles					Executive Director / Secondary: DAF	National contributions	60,000
7- Technical Assistance in place for PRODAP implementation.	Conclude Agreement negotiations with FAO and sign the Agreement; Project Coordination Unit established; activity implementation					Executive Director Secondary: LTA Directors	ADB	(details under Directorates and Project sub-components)
8- Relevant local, regional and international conferences / workshops attended.	Attend five regional workshops / conferences; Attend four international workshops and conferences					Executive Director	a) National contributions b) supporting partners	10,000 20,000

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
9- Additional resources mobilized.	Meet potential supporting partners, prepare and submit funding proposals (or concepts)					Executive Director	National contributions	10,000
10- Information on LTA activities widely disseminated.	Hold press conferences on thematic issues in Contracting States					Executive Director	National contributions	6,000
11- Notifications sent to Contracting States	Prepare and send two Notifications to each of the Contracting States on measures put in place to implement the Convention					Executive Director	--	--
12- Study visits undertaken	Visit Lake Victoria Basin Commissions and/or Lake Victoria Fisheries Organization					Executive Director	UNDP/GEF	5,000
13- Staff Development Programme initiated and developed	Undertake staff Annual Performance Appraisal; Identify staff performance enhancement areas; Staff members trained					Executive Director / Secondary: DAF	National contributions Other supporting partners	25,000 25,000
14- Loan for purchase of means of transport availed to staff members	Consider and approve requests for the loan facility to purchase means of personal transport					Executive Director / Secondary: DAF	National contributions	45,000
15- Corporate Branding developed	Develop a comprehensive Corporate Branding image in line with LTA mandate					Executive Director / Secondary: DAF	National contributions	53,000
Sub-total								550,000*
*Figures in red (total: US\$155,000) indicate funds expected from supporting partners – about 28% of the total budget.								

B. ADMINISTRATION AND FINANCE

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
1-LTA Secretariat Staff have Office furniture and equipment	Advertise and purchase Office furniture and equipment					DAF	European Investment Bank ADB UNOPS	10,000 41,349 10,000

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
2-Consultant Studies are done in collaboration with relevant LTA Directors	Advertising in newspapers for consultant recruitments and finalize the administrative process with funding Partners					DAF, DF, DME, DENV (ED)	ADB	6.000
3-Salaries and relevant advantages (Annual leaves, Gratuity) of LTA Staff are paid	Ensure monthly salary of LTA Staff					DAF, ED		89,000 490,770
4-Supervision missions are done to NCU to enhance performance	LTA Director visit NCUs for program supervision					DAF and other LTA Directors	ADB National contributions	11.000 5.000
5-Financial reports are comprehensive and comprehensive budget follow-up are sent to relevant Directors	Prepare comprehensive budget and financial report					DAF		
6-LTA resources mobilized	Meet national authorities and potential partners and develop proposals					DAF		
7-Facilitate logistics in different activities organized by the LTA Secretariat (workshops, meetings and conferences)	Prepare activity budget closely with relevant Directors involved in each activity					DAF		
8-LTA external audit is organized	Participate in the selection process and in the organization of an external audit of the LTA Secretariat					DAF, ED	ADB National Contributions	10.000 2.000
9-Work closely with UNDP-GEF project to improve LTA management	Discuss on UNDP-GEF budget participation for LTA Secretariat, find a good funding system for recurrent fees					DAF		
10-Monitoring of contracts/grants	Work closely with partners and colleagues; discussion, workshop are organized during the year to analyze the situation					DAF, ED & Directors		
11-All LTA Directors are trained in the use of TOMPRO, the Accounting Software and network connection for good communication of financial data is done	Purchase relevant equipments are for the network and organize in-house training for Directors					DAF	ADB	1.500

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
12- Facilitate development of two manuals by consultants: 1) Admin and Finance procedure and 2) Local Development Fund	Initiate procurement and engagement of the consultants					DAF, ED	ADB	60.000
13-Facilitate implementation of provisions of the Staff Rules and Conditions of Service for members of staff including completion and up-dating of Staff Bio-Data Forms	Participate in the revision of the Staff Rules and Conditions of Service; Completion of Staff Bio-Data forms, Stocking of data forms and allowing access to staff					DAF		
14-The daily need of office requirements procured	Ensure that procurements are done in compliance with the LTA and supporting partners regulations; Make sure that Directors and Assistants have what they need					DAF	ADB National contributions	28.750 10.000
15-Attendance to Local, Regional & International workshops and conferences	Participate in Local, Regional & International workshops and conferences					DAF	ADB National contributions	6,000 15,000
16-Subscription for relevant professional organizations (World Water Council, River Basin Organization, etc)	Contact relevant partners and look for registration, Pay different registration					DAF ED,DE,DF,DM&E	National contributions	3.000
							ADB	253.599
							Governments	515.770
							UNOPS	10.000
							EIB	10.000
							Sub-total	789.369

C. ENVIRONMENTAL MANAGEMENT

ANTICIPATED RESULT(S)/OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funding	Amount

ANTICIPATED RESULT(S)/OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funding	Amount
1. Updating the Strategic Action Programme	Draft TOR for recruitment of consultant or consultancy group, ensure collection of relevant baseline data required for updating the SAP, organise expert meeting to discuss topics relevant to lake level fluctuations, deforestation and sedimentation, organize two regional workshops to review the recommendations based on the consultancy and to validate the final report of the SAP					Director of Environment, Director of Fisheries, Director of Admin & Finance, UNDP/GEF Project PCU	ADB, UNDP/GEF Project	245,000 Budget with UNDP/GEF PCU and DAF AWP
2. Enhanced understanding of climate change implications for the Lake Tanganyika region and linkages to the SAP.	Coordinate study on Climate change processes in the Lake Tanganyika basin, collaborate with the UNDP/GEF Project and to organise a regional workshop on linkages from land-use and Climate change, preparation of a workshop on climate change and Fisheries in Great Lakes, preparing two technical workshops, one in Anglophone countries and another one in Francophone countries					Director of Environment, Director of Fisheries, DAF, FAO technical experts, UNDP/GEF PCU	UNDP/GEF Project FAO Cap-Net	110,000 45,000 75,000
3. Harmonisation of Environmental and Fisheries legislations (pollution standards, marine transport, air pollution) and preparation of the protocol on water pollution standards and marine transport	Coordinate the recruitment of consultants with specialisations in environmental law, in order to annotate relevant policies and legislation that affect LT Project processes, and draft harmonized regional environmental framework. Recruitment of a specialised consultant or consultancy group in the area of international law, collect information relevant to establishing a regional harmonised legislative framework.					Director of Environment, Director of Fisheries/Admin & Finance, UNDP/GEF PCU	UNDP/GEF Project	Budget with UNDP/GEF PCU and DAF AWP

ANTICIPATED RESULT(S)/OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funding	Amount
4. Lake Tanganyika Regional Integrated Environmental Monitoring Programme (LTRIEMP) in place.	Ensure that the LTRIEMP framework is established and relevant monitoring-related activities are coordinated and integrated by the LTAS, Consultative meetings with LTA, the UNDP/GEF PCU, representative of the riparian countries, and other relevant partners and stakeholders on the LTRIEMP					Director of M&E, Director of Environment , Director of Fisheries, UNDP/GEF PCU	UNDP/GEF Project, ADB, UNEP ROA/China partnership	
5. Organising an international scientific workshop on Lake Tanganyika, focusing on topics relevant to the LTRIMDP	Identify relevant scientific topics, and contact keynote speakers and participants, Lobby and raise publicity for the scientific workshop.					Director of Environment , Director of Fisheries, UNDP/GEF PCU, AGLONET, and GLOW/AEHMS team	UNDP/GEF Project, ADB, AGLONET, AEHMS team	
6. Attend relevant conferences/local, regional and international workshops.	Participation in Regional and international Meetings, Conferences and Workshop					Director of Environment	UNDP/GEF Project, National contributions	15 000
7. Undertake supervision visits	Visit Kalémie, Mpulungu, Kigoma and Rumonge to monitor process of LTRIMDP environmental activities.					Director of Environment/ADB	ADB	8000
8. Undertake LTA cooperation visits to Rwanda on Lake Tanganyika Basin environmental management	Mission in Kigali, Rwanda					Director of Environment	UNDP/GEF Project	4,000
9. Sustainable Environmental Management Awareness Raising	Outreach and awareness raising activities; In collaboration with NCUs and PMUs, organize national workshops for public awareness; produce a video/DVD and brochures.					Director of Environment , Director of Fisheries, UNDP/GEF PCU, PMUs, NCUs	ADB UNDP/GEF Project	81,000 68,000
10. Mobilising additional resources:	Meetings with (potential) donors and submitting funding proposals , Preparation of the document of the workshop					Director of Environment , LTAS, Partners, NCUs and PMUs	National contributions, ADB	5,000 5,000

ANTICIPATED RESULT(S)/OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funding	Amount
11. Professional enhancement	Identify and attend English course					Director of Environment	National contributions	Budget with ED
12. Reporting and Planning	Prepare 2010 activity reports and develop 2011 AWPB					Director of Environment, LTAS		
Sub-total								675,500

D. FISHERIES MANAGEMENT

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
1-Development of a Joint Management Mechanism (Co-Management): <i>PRODAP to finance sensitization and organizational development programmes, as well as the creation of fisheries management committees (Beach Management Units).</i>	1.1Preparation of Terms of Reference for a Consultancy Service on Co-management; 1.2Recruitment of a Consultant to review the Lake Victoria and Tanzania fisheries management committee structures and operation guidelines recommend structure and operation guidelines suitable for L. Tanganyika; 1.3Organize national workshops and a Regional Workshop to adopt the BMU structure and operation guidelines for Lake Tanganyika 1.4Meeting of the Regional Fisheries Working Group (Members of the Fisheries Technical Committee together with the NCU Fisheries Experts) to discuss information generated by the Consultancies in 1, 2 & 3					DF , CTA, NCUs/ Secondary: DAF	African Development Bank (AfDB) National contributions (NC)	AfDB - 150,000 NC – 20,000

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
2-Fisheries Management and Environmental Protection: <i>Development of a regionally managed statistics program with use of similar methodologies in the four LTA countries.</i>	2.1Preparation of Terms of Reference on Consultancy Service to develop a Regional Statistics Program; 2.2Recruitment of a Fisheries Statistics Consultant; 2.3Organization of national workshops (one in each LTA country), and a regional workshop, 2.4Acquisition of equipment for statistics (measuring scales)					DF, CTA, NCUs/ Secondary: DAF	AfDB National contributions (NC)	AfDB - 150,000 NC – 20,000
3- Fisheries Management and Environmental Protection: <i>Fisheries Surveillance. PRODAP to finance the development of a regional Monitoring, Control and Surveillance (MCS) system for Lake Tanganyika</i>	3.1Preparation of Terms of Reference; 3.2Recruitment of an International or Regional Consultant to conduct a Consultancy Service as per Terms of reference; 3.3Organization of national workshops (one in each LTA country); 3.4Organization of a regional stakeholders workshop.					DF, CTA, NCUs/ Secondary: DAF	AfDB National contributions	AfDB - 135,000 NC - 20,000
4-Improvement of landing sites in the project area: <i>PRODAP to finance the construction of infrastructure and the procurement of equipment in priority landing sites</i>	Inventory of existing landing sites in the project area conducted, and a preliminary list of landing sites to be improved or constructed drafted, review the proposed sites and come up with a final list of the prioritized landing sites to be improved or constructed, and propose indicative designs, prioritized landing sites in the project area improved or constructed					NCUs/ Secondary: DF, CTA	AfDB	[NCUs AfDB Budget]

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
5-Studies and Back-up Research: <i>PRODAP to finance back-up research programmes for fisheries research stations of Uvira (DRC), TAFIRI (Tanzania) and Mpulungu (Zambia) on the evaluation of resources, environmental level and impact on aquarium fish, as well as gender-related socio-economic studies</i>	To commission a research on the impact of collection of ornamental fishes in Lake Tanganyika, to identify fish spawning sites and other critical habitats in Lake Tanganyika, to conduct a socio-economic study on the gender profile of the Lake Tanganyika communities, meeting of the Regional Fisheries Working Group					NCUs; Research Institutions (Uvira, TAFIRI, Mpulungu)/ Secondary: DF, CTA	AfDB	AfDB - 2,000 [Studies on NCUs AfDB Budget]
6-Reginal Fisheries Working Group (composed of members of Fisheries Management Technical Committee and the NCU Fisheries Experts) Meeting	To organize a meeting of the Regional Fisheries Working Group to discuss the outcome of the Consultancies on Co-management, Regional statistics programme and Regional monitoring, control and surveillance systems.					DF, CTA/ Secondary: DFA, NCUs	National Contributions	NC – 30,000
7-Annual Meeting of the Fisheries Management Technical Committee, a sub-committee of the LTA Management Committee.	Preparation and meeting of the Fisheries Management Technical Committee					DF, CTA	National contributions	NC - 15,000
8-Creation of awareness in Fisheries Management and Environmental Protection in the four LTA countries through press conferences, news media (TVs, Radios & Newspapers), workshops, video, brochures and auto-stickers	In collaboration with NCUs and PMUs in the four LTA countries and LTA Director of Environment, organize press conferences and workshops for public awareness in fisheries and environmental issues; prepare articles on fisheries issues in newspapers, radios and TVs in each LTA country, prepare video and produce brochures and auto-stickers					DF, DE, CTA, NCUs, PMUs	AfDB National contributions (NC)	AfDB - 30,000 NC - 60,000
9-Organisation of a regional workshop on Climate Change and Fisheries in the Great Lakes: <i>FAO to support the organization of the workshop with the LTA Directorate of Environment taking the lead</i>	Preparation of workshop documents and agenda, identification of workshop participants, hold regional workshop,					DF, DE, UNDP/GEF Project	FAO, Government of Japan	Budget with DE AWPB

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
10-Attendance to Local, Regional and International Meetings, Conferences and Workshops	10.1 Participate in Regional and International meetings, and Workshops/Conferences relevant to Lake Tanganyika, e.g. CIFAA; 10.2 Attendance to local meetings/workshops organized by NCUs					DF, CTA	ADB	ADB - 16,000
11-Supervision Missions in the LTA countries	10.1 Visit National Coordinating Units PRODAP activities in Burundi, D. R. Congo, Tanzania, and Zambia for monitoring the implementation of various fisheries activities, 10.2 Visit the Directorates/Departments of Fisheries in Bujumbura, Kinshasa, Dar es Salaam and Lusaka on a familiarization/study visit and discussion with the Directors the implementation of PRODAP fisheries activities					DF, CTA	ADB	ADB - 16,000
12-Study visit to Lake Victoria	12.1 Study visit to the Lake Victoria Fisheries Organization in Jinja, Uganda 12.2 Study visit to the Lake Victoria Basin Commission in Kisumu, Kenya.					ED, DF, DE, DME	National contributions	NC - 10,000
13-Reporting and planning	13.1 Preparation of Activity Quarterly Reports (Q 1, Q 2 and Q 3), 13.2 Preparation of Annual Report 13.3 Preparation of Annual Work Plans and Budget for 2011					DF, CTA		Budget with DAF AWPB
14-Mobilization of additional resources in collaboration with all LTA Directorates	Meetings with Donors					DF, DE, DAF, DEM, ED	National contributions	NC - 4,000
Sub-total								678,000
Summary: <div> (i) African Development Bank (AfDB) - USD 499,000 (73.6%) (ii) National Contributions (NC) - USD 179,000 (26.4%) (iii) Sub-total for Fisheries Directorate - USD 678,000 (100%) </div>								

E. MONITORING AND EVALUATION

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
1. Baseline data collected and compiled for LTA and Projects Indicators.	Support and participate in baseline data collection and compilation at regional and national levels.					D-M&E Secondary: DoE, DoF	ADB, UNDP/GEF	2,000 Details under UNDP/GEF projects
2. Final compilation of the 2009 LTA Annual Report.	Prepare 2009 LTA Annual Report.					D-M&E Secondary: DoE, DoF, DAF	National contributions	--
3. Internal LTA M&E meeting held.	Organize in-house M&E meeting to discuss and agree on the draft LTA M&E manual.					D-M&E	National contributions	--
4. LTA M&E manual discussed and operationalised in the 4 riparian countries.	Organize country meetings on LTA M&E framework and operationalise the LTA M&E Manual.					D-M&E Secondary: PMUs, NCUs	ADB, UNDP/GEF	Details under national ADB and UNDP/GEF supporting projects
5. LTA M&E framework reviewed and finalized.	Review and finalize the LTA M&E framework.					D-M&E	ADB	3,000
6. Development of LTA MIS or M&E Database initiated.	Engage suitable individuals or firms to develop LTA MIS, provide inputs to the consultancy.					D-M&E Secondary: DoE, DoF	ADB UNDP/GEF	80,000
7. Regional Integrated Lake Tanganyika Monitoring development process initiated.	Work with consultants, participate and provide inputs in various meetings with partners and riparian states in the formulation of Lake Tanganyika integrated monitoring framework.					D-M&E Secondary: DoE, DoF	UNDP/GEF	Details under UNDP/GEF regional projects
8. LTA programme and project field activities supervised and support provided.	Undertake supervision missions to the 4 riparian states and support PMUs and NCUs, conduct on-spot training and backstopping in M&E.					D-M&E Secondary: ED, DoE, DoF	ADB National contributions UNDP/GEF and	12,000 8,000 Details under UNDP/GEF regional projects
9. Collection of data/reports and LTA quarterly report produced.	Ensure timely data collection and reports submission, produce quarterly bulletin on M&E data, consolidation and writing LTA reports.					D-M&E Secondary: DoE, DoF, DAF	National contributions	4,000

ANTICIPATED RESULT(S) / OUTPUTS <i>Also specify annual targets</i>	PLANNED ACTIVITIES <i>Also specify Monitoring & Evaluation to be undertaken</i>	TIME-FRAME				RESPONSIBLE PERSON <i>Also specify Secondary and/or partner</i>	BUDGET (USD)	
		Q.1	Q.2	Q.3	Q.4		Source of Funds	Amount
10. Attendance to Local, Regional and International Meetings, Conferences and Workshops.	Attend 2 local, regional and International meetings and Workshops /Conferences relevant to Lake Tanganyika.					D-M&E	National contributions	7,500
11. Additional resources mobilized.	Meetings with Development Partners and proposal writing.					D-M&E and LTA Directorates	National contributions	--
12. Information on LTA activities widely disseminated.	Facilitate development of LTA web-site with links to partner web-sites, publish electronic newsletters					D-M&E Secondary: DoE, DoF	National contributions UNDP/GEF	3,000 Details under UND/GEF regional projects
13. Supporting Projects prepared and facilitated for the Midterm Reviews	Facilitate compilation of relevant data, update of indicators and various documentation for the Midterm Review					D-M&E Secondary: DoE, DoF	National contributions ADB, UNDP/GEF	5,000 Details ADB and UND/GEF projects
14. Study visits undertaken	Undertake study visit to either LVBC or LVFO					D-M&E	UNDP/GEF	5,000
15. Professional enhancement	Identify Management Information System course					D-M&E	National contributions	5,000
16. Reporting and Planning	Preparation of quarterly reports (Q1, Q2 and Q3) and preparation of 2011 AWPB					D-M&E	National contributions	-
ADB								97,000
UNDP/GEF								5,000
National contributions								32,500
Sub-total								134,500

NATIONAL CONTRIBUTIONS STATUS AS AT 11TH MAY 2010**A. Background:**

According to the Resolution N. 01/08 article N. 6, of the Lake Tanganyika Conference of Ministers on the Status of the LTA Secretariat and the Regional Programme for the Integrated Management of Lake Tanganyika, Contracting States committed themselves to make provisions in their respective national budgets in order to meet their annual national contribution to the Lake Tanganyika Authority at the level agreed during the Second Meeting of the Lake Tanganyika Conference of Ministers. The amount agreed to was USD 303.900, and the Ministers agreed to make provision for funds to support initial project operations beginning in July 2008.

B. Record of national contributions:

2009 & 2010 Entries of LTA Secretariat from Governments

No.	Country	Amount Due 2009	Amount paid 2009	Date of payment	Balance Amount 2009	No.	Amount Due 2010	Amount paid 2010	Date of payment	Balance Amount 2010	Total balance 2009 & 2010
1	Burundi	\$303,900.00			\$303,900.00		\$303,900.00	\$19,800.37	Report	\$284,099.63	\$284,099.63
1a			\$162,225.13	12/12/08	\$141,674.87	1c					
1b			\$161,475.24	28/05/09	-\$19,800.37						
2	RD Congo	\$303,900.00			\$303,900.00	2	\$303,900.00			\$303,900.00	\$607,800.00
3	Tanzania	\$303,900.00			\$303,900.00	3	\$303,900.00			\$303,900.00	\$303,900.00
3a			\$303,900.00	09/04/09	\$0.00						
4	Zambia	\$303,900.00			\$303,900.00	4	\$303,900.00			\$303,900.00	
4a			\$18,924.39	16/07/09	\$284,975.61	4b		\$137,894.73	13/04/10	\$166,005.27	\$450,980.88
		\$1,215,600.00	\$646,524.76		\$569,075.24		\$1,215,600.00	\$137,894.73			\$1,646,780.51

Synthesis:

Total National Contribution due for 2009 and 2010	\$2,431,200.00
Total National Contribution received in 2009 and 2010	\$784,419.49
Total Nation Contribution 2009 and 2010 not paid	\$1,646,780.51

C. LTA Secretariat efforts to get national contributions remitted:

Efforts have been made by the LTA Secretariat to request Contracting States to remit their National Contributions. These efforts have included the following: phone calls, e-mails, direct visits to riparian countries and letters. Some specific dates for letters are:

September 1 and 2, 2009: to all Ministers

January 27th 2010 : to all Ministers

March 24th, 2010 to all Ministers.

D. Record of transfer notes:

Formal communication from Lake Tanganyika Authority Secretariat to countries will be given by the Secretariat to the Focal Points of the Management Committee.

LAKE TANGANYIKA RIPARIAN COUNTRIES ADVICE ON LTA/FAO AGREEMENT AND FOLLOW-UP ACTIONS BY THE LAKE TANGANYIKA AUTHORITY SECRETARIAT

Background

After reviewing the draft Lake Tanganyika Authority (LTA) / Food and Agriculture Organization of the United Nations (FAO) Agreement, the LTA Secretariat contacted the Management Committee (MC) Chairman in December 2009 to consult him on the way forward. The MC Chairman, after discussions with the LTA Executive Director, suggested that the LTA Secretariat prepare a short progress report on what had transpired and explain why it had taken long to conclude the negotiations. The MC Chairman also suggested that the LTA Secretariat should make some recommendations for the MC's consideration.

On January 20, 2010, the LTA Secretariat submitted the progress report on the negotiation process to MC focal points in the four Lake Tanganyika riparian countries and recommended that MCs should communicate their decisions by 29th January, 2010.

1. BURUNDI

The MC focal point Mr. Fidèle GAHUNGU sent a brief report to the Executive Director with a copy to the Minister on 5th February, 2010. The report is reproduced below:

COMMENTS OF BURUNDI LTA MANAGEMENT COMMITTEE WITH REGARD TO THE DRAFT AGREEMENT BETWEEN THE LTA AND THE FAO TECHNICAL ASSISTANCE FOR THE REGIONAL INTEGRATED DEVELOPMENT PROGRAM OF LAKE TANGANYIKA (PRODAP)

In its work session of February 4, 2010, the Burundi Management Committee met and made the following comments on the draft Agreement:

1) The Management Committee noted that the draft agreement between the two institutions had been discussed at the 2nd LTA Conference of Ministers held in Bujumbura in April 2008.

This Conference of Ministers grouping of the four member countries of the LTA had recommended both parties to conclude an agreement and begin activities as soon as possible.

2) The Burundi Management Committee recommends LTA and FAO to begin activities as soon as practicable according to the recommendation in the report of the 2nd Conference of Ministers held in April 2008 in Bujumbura;

3) If changes are to be made, this point could be presented to the agenda of the next extraordinary meeting of the LTA Management Committee.

**For the LTA Management Committee
/Burundi**

Fidèle GAHUNGU.

2. DEMOCRATIC REPUBLIC OF CONGO

The MC focal point Mr. Gayo LEMBA sent an e-mail message on 12th March, 2010. The relevant extract from the message is reproduced below:

To LTA Executive Director in Bujumbura

I hereby acknowledge receipt of your message in which you highlight some concerns.

After reviewing the document by the Management Committee, below answers are provided:

1. **Extra-ordinary Meeting:** The DRC Management Committee confirms its readiness to participate in the proposed extra-ordinary meeting for Wednesday, May 12, 2010 in Dar - es-Salaam.
2. **Agreement LTA / FAO:** Since the number of Technical Assistants and the budget were approved by the Management Committee and the LTA Ministerial Conference, reduction and change of the budget can only be done during regular meeting or extra-ordinary meetings of these LTA bodies.

On behalf of the DRC Management Committee, please accept, Mr. Executive Director, the assurances of my highest consideration.

GAYO LEMBA
National Director of Fisheries
Ministry of Agriculture
Democratic Republic of Congo

3. **TANZANIA**

No response was received.

4. **ZAMBIA**

The Lake Tanganyika Authority focal point Mrs. Carol ZULU sent an e-mail message on 9th February, 2010, but advised the LTA to wait for an official communication. On 18th February, 2010 the Permanent Secretary of the Ministry of Tourism, Environment and Natural Resources formally submitted the report to the LTA Secretariat. The full report is reproduced below:

**BRIEFING ON THE MEETING OF THE ZAMBIAN MANAGEMENT COMMITTEE MEMBERS OF THE LAKE
TANGANYIKA AUTHORITY HELD ON 26 JANUARY 2010 TO DISCUSS THE STATUS OF THE LTA/FAO
AGREEMENT**

1. **AGENDA**

- Review of the proposed LTA/FAO agreement
- Review of the summary report on issues prepared by the LTA secretariat
- Recommendations on the way forward

2. **MEMBERS PRESENT**

1. Ministry of Finance and National Planning – Mr. P. Lupunga
2. Ministry of Energy and Water Development, Dept. of Water Affairs – Mr. P. Chola
3. Ministry of Livestock and Fisheries, Department of Fisheries – Mr. P. Ngalande
4. Ministry of Tourism, Environment and Natural Resources – Mr. I. Makumba

3. **BACKGROUND**

The LTA Secretariat has been discussing and negotiating the Technical Assistance (TA) Agreement with the Food and Agriculture Organization (FAO) since May, 2009. The TA Agreement is intended to enhance implementation of the Project to support the Lake Tanganyika Integrated Regional Development Programme (PRODAP).

In November 2009, the FAO submitted to the Government of Zambia through the Ministry of Tourism, Environment and Natural Resources, a draft agreement that is intended to govern the implementation of the proposed LTA/FAO collaboration (ref. attachment 1). The FAO in their submission had requested our government to review the draft with a view for signing it at an appropriate time. As per procedure with issues bordering on legal matters, our ministry sought from the Attorney General legal advice on the draft agreement before we could commit government.

The Attorney General made observations and suggestions on the document and indicated that the draft agreement was generally acceptable (ref. attachment 2). With this background, the ministry dealt with the correspondence on the understanding that FAO had been in liaison with the LTA, it being the identified project executing agency in the proposed collaboration.

In January 2010, the LTA Executive Director wrote to the management committees in the four riparian states to report on the process followed and the status of the LTA/ FAO Agreement (ref. attachment 3). The LTA Secretariat also sought guidance on the way forward before the LTA/FAO Agreement could be signed. The LTA Secretariat further requested that Management Committee members to brief the responsible Honorable Ministers in their respective countries on the status of the LTA/FAO Agreement.

In view of the above, the MTENR being the national focal point for LTA facilitated a meeting on 26th January 2010 for the Management Committee to discuss issues raised in the Executive Director's summary report.

4. REVIEW OF THE DRAFT LTA/FAO AGREEMENT

On procedural matters, the management committee members observed that the FAO was being contracted to provide the TA and should have submitted the draft agreement to the LTA secretariat for circulation to the four riparian governments as it is the recognized and official communication channel under the LTA. Members also noted that there was reference to the project document which was not available for the committee to peruse and have an insight into the proposed work. In the transmission of the draft agreement, FAO makes indication of the possibility of an accredited authority to sign on behalf of government.

On substantial matters members made the following observations in addition to the Attorney General's legal advice:

- i. The draft agreement has not explicitly outlined the roles and obligations of each party involved in the proposed project (i.e. LTA, FAO and ADB). It is more elaborate on the obligations of the FAO and less on those of the LTA and the ADB in particular Article IV of the draft agreement;
- ii. FAO's Terms of Reference under the proposed project are not outlined for the management committee to give informed guidance;
- iii. The FAO proposes that excess funds that remain at the end of the project would be held in their special bank account at the disposal of the LTA.

5. REVIEW OF THE LTA SUMMARY REPORT

Members observed that from the summary report submitted by the LTA secretariat, it could be deduced that:

- i. There was disconnected consultation between the LTA, FAO and ADB. It was observed that FAO had direct contact with the financier and in some instances overlooked the LTA secretariat's role of communicating with various players in the project, while in other instances the FAO consultant directly dealt with ADB with no established liaison with the LTA;
- ii. It was noted that in the process of the work by the FAO consultant, changes were made to the work plan and budget that was endorsed by the second Conference of Ministers (COM2);
- iii. In Annex III of the summary report, FAO proposes a Chief Technical Advisor working with a short term fisheries consultant contrary to the three TA positions endorsed by the COM2.

6. RECOMMENDATIONS ON THE WAY FORWARD

The Zambian Management Committee Members in arriving at the way forward emphasized that all decisions that will be made with respect to this collaboration should not set a negative precedent for future

collaborations and underscored the need for all parties involved (LTA, FAO, ADB) to abide by the rules of procedure laid down under the Lake Tanganyika Convention.

The management committee members also observed that while the LTA was seeking guidance from the four riparian states, it should not be assumed that the views from the four governments would be uniform or similar and indicated the need for LTA secretariat to harmonize these. In their recommendations, the management committee members highlighted the following:

- i. LTA secretariat should avail the harmonized views from the four governments to the FAO consultant for incorporation in the draft contract which should be re-circulated by the LTA secretariat before governments can sign. In particular issues relating to clarity of obligations of all parties involved must be revisited;
- ii. Excess funds that remain at the end of the project should revert back to the financier (ADB) as is the practice in national projects and government funding;
- iii. TA positions, the work plan and respective budgets must be realigned to the decisions of the second conference of ministers. Should there be strong need to make changes to COM decisions, the rules of procedure requires that related issues should be tabled before the management committee for endorsement by the ministers;
- iv. At all stages of formulating the project and the agreement, all parties must strive to have open and clear consultations to avoid unnecessary misunderstandings that has cost project time. In the same line, supporting partners (FAO, ADB) must channel their communication to the four governments through the LTA secretariat as it is the organ established and recognized by the four states to inform members on all developments relating to Lake Tanganyika;
- v. At an appropriate time when governments would be required to sign, the respective ministers of the national focal point should sign as they will be doing so with an informed background unlike the proposed arrangement to have accredited authorities sign on behalf of government;

In conclusion, the members requested the Hon. Minister of Tourism, Environment and Natural Resources to consider sharing these views with her counterparts to facilitate progress on this proposed project.

FOLLOW UP ACTIONS BY THE LTA SECRETARIAT

On 12th March, 2010, the LTA Secretariat held a teleconference with FAO and explained the feedbacks received from Management Committee members.

On 13th March, 2010, the LTA Secretariat informed the African Development Bank (ADB) the outcome of the teleconference. The relevant part of the message sent to ADB is reproduced below:

LTA/FAO Agreement: Yesterday (March 12, 2010), LTA Secretariat and FAO Rome held a teleconference on the way forward regarding the LTA/FAO Agreement for provision of TA to PRODAP. We emphasized the urgent need for us to conclude the negotiations so that we can, before the end of this month, put together and submit the documents for 'no objection' request. Communications received from our Management Committee members implored us to quickly finalize the negotiations based on the approved regional workplan and budget. We discussed a number of options and agreed that FAO will immediately send us a revised version of the Agreement and the Project Document which is an integral part of the Agreement. Key highlights from our discussion:

- Out of the three key positions (Planning and Management Expert, Biostatistician and Fishing Technologist), we felt that the two positions (**Planning and Management Expert** and **Biostatistician**) were critical and should be provided under the TA Agreement while the Fishing Technologist tasks may be undertaken through short term consultancies. In this regard, we suggested that the Planning and Management Expert and Biostatistician must constitute the key TA positions;
- Both parties acknowledged the constraints: FAO felt that they were compelled to scale down on the TA positions and adjusted the budget in order to meet the FAO remuneration packages and we (LTA Secretariat) felt that signing an agreement that does not comply with the decisions of our Management Committee and the Conference of Ministers would adversely affect project implementation. We even drew the attention of FAO to the reports which were prepared following the second Management Committee and second Conference

of Ministers meetings where FAO was part of the interim secretariat that prepared the reports. After a long discussion and exchange of ideas, the two parties agreed to finding a way forward and FAO suggested to send to us a revised version of the Agreement and the Project Document and we expect this to come next week. The revised Agreement will have a clause to allow for budget adjustment in the process of project implementation which will have to be tabled before the Management Committee for approval – may be you can comment on this idea even before we formally make the *no objection* request.

I will keep you informed of the progress in the course of next week and I will also keep our Management Committee updated of the progress. Regarding the signing arrangements, as soon as we get the *no objection* granted, we hope that Ambassadors designated to Burundi for the DRC and Tanzania will sign on behalf of their governments and the process of conveying authorizations to Ambassadors has already started. Hopefully, Zambia will also designate the Ambassador in Dar es Salaam who is also accredited to Burundi to sign on behalf of the Zambian government – we will be making this suggestion to the Zambian government.

CONSULTATIVE MEETING WITH MANAGEMENT COMMITTEE REPRESENTATIVES

After receiving the revised draft Agreement from FAO on 19th March, 2010, the LTA Secretariat felt that progress could be made to start project implementation pending the final decision by the MC. On 30th March, 2010, the LTA Secretariat held a consultative meeting with MC Representatives who came to attend the Institutional Needs Assessment for environmental monitoring workshop in Bujumbura. Relevant extracts from the consultative meeting report are reproduced below:

The Executive Director then invited the Management Committee members to give their views, comments and/or way forward.

The Representative of the Tanzania Management Committee member, Mr. Damas MAPUNDA, explained that on the issue of the LTA/FAO Agreement, a meeting of the Tanzania members of the LTA Management Committee had been scheduled to be held in March 2010 but was postponed due to other national activities. He noted further that he was just a representative of the Acting Director of Environment in the Workshop and that he was not in a position to give any opinion on the LTA/FAO Agreement but he promised to forward the matter to his Director.

The Zambian member of the Management Committee, Mr. Charles MAGUSWI, noted that the LTA Management Committee had approved the TA positions and budget in a meeting and that changes to what was approved should also be made by the same body or a higher body (CoM). He, however, agreed on the proposal by FAO of hiring a Consultant for three months so that the Agreement can be signed while we await the Extra-ordinary Meeting of the Management Committee to make a decision on the proposed TA positions and budget. He advised the LTA Secretariat to ensure that the proposal of hiring a Consultant for three months should not have any adverse budgetary implications

The Member of the Management Committee from the Democratic Republic of Congo, Mr. Crispin SEDEKE, shared concerns with the Zambian delegate. He noted that the decisions of the LTA organs have to be respected and that changes or modifications to those decisions must be done in a meeting.

The Burundian Member of the Management Committee, Mr. Fidele GAHUNGU, agreed with the other members from Zambia and the Democratic Republic of Congo. He suggested that questions on the LTA/FAO Agreement should be taken to the next meeting of the Management Committee for discussion and final decision.

The Executive Director thanked the Management Committee members for their comments, suggestions and guidance on the LTA/FAO Agreement. He noted that he respects the decisions of the

Management Committee and the Conference of Ministers and that was why he could not sign the LTA/FAO Agreement without consulting the Management Committee members.

SUBMISSION OF DRAFT AGREEMENT TO ADB

On 23rd April, 2010, the LTA Secretariat submitted the draft LTA/FAO Agreement to ADB and formally requested for the 'No Objection' - the letter from the LTA Secretariat and the response from ADB are attached as Annex I and II respectively.

On 4th May, 2010, the LTA Secretariat reacted to the ADB's comments and the 'No Objection' – the LTA Secretariat message is reproduced below:

Dear Jean-Louis,

I wish to confirm that the fax message came through, however, your comments on Article XI.2, number of TA positions, man-months inputs and budget are issues that the Management Committee (MC) has to endorse – according to the MC, any changes to what was agreed to at the April 2008 meeting should get the endorsement of the MC. Article XI.2 came about when we thought the project should first of all start and then we discuss with the Management Committee on the concerns that have led to 'changes' in number of TA positions, man-months and budget.

A little bit of background: you will recall that we had planned for an extra-ordinary meeting in January, 2010, but after Mr. Mugurusi, the Management Committee Chairman retired, it took too long to arrange for an extra-ordinary meeting. As a way of getting the project started while we work on getting the extra-ordinary meeting organized, we thought Article XI.2 as proposed by FAO following our last teleconference was going to allow us to start the project while waiting for the MC's decision.

As indicated in my formal letter of submission of the draft Agreement, it is now confirmed that the MC extra-ordinary meeting will be held on the 12th May and I have extended an invitation to ADB and FAO in the hope that we can discuss and finalize this long process and get the Agreement signed. I will convey your comments to MC members just as I have conveyed FAO's rationale regarding TA positions and the budget.

Henry

With the information provided, the LTA Secretariat invites the MC to discuss and make a decision on the way forward.

LTA Secretariat letter for formal submission of draft LTA/FAO Agreement



LAKE TANGANYIKA AUTHORITY

AUTORITE DU LAC TANGANYIKA

LTA/ADB/HM/2010/04

22nd April, 2010

Monsieur Ken B. JOHM,
Chef de Division,
Gestion des Ressources naturelles et de l'Environnement (OSAN.4),
Groupe de la Banque Africaine de Developpement,
TUNIS, TUNISIE.

Dear Monsieur Chef de Division,

Subject: **LTA/FAO Agreement**

The Lake Tanganyika Authority Secretariat presents its compliments to the African Development Bank and requests the Bank to review the attached draft Lake Tanganyika Authority (LTA) / Food and Agriculture Organization of the United Nations (FAO) Agreement for provision of technical assistance to the African Development Bank supported PRODAP.

Please note that the draft Agreement is the outcome of the negotiations between LTA and FAO and makes provisions for project commencement pending the Management Committee's review of the work plan and budget as approved and endorsed by the Conference of Ministers during the second meeting held in April 2008. The LTA Secretariat has been arranging for the Management Committee extra-ordinary meeting to – among other issues – discuss and agree on final project implementation modalities including the budget. It is now confirmed that the extra-ordinary meeting will be held on 12th May, 2010 in Dar es Salaam, Tanzania and I would like to formally extend an invitation for African Development Bank's representation.

The Lake Tanganyika Authority Secretariat is most grateful for your review and 'no objection' consideration and would like to take this opportunity to renew to the African Development Bank the assurances of our highest consideration.


Dr. Henry MWIMA
EXECUTIVE DIRECTOR

6749/C kigobe Nord
B.P. 4910 - Ngagara / Bujumbura - Burundi
Office Phone: +257 22 27 35 82 / E-mail : info@lta-alt.org
Website: www.lta-alt.org

Annex II: Response by ADB to LTA Secretariat

AFRICAN DEVELOPMENT BANK GROUP
Agriculture & Agro-Industry Department (OSAN)



DIVISION MANAGER

Ref.: OSAN.4/FX/JLK/2010/04/026
DATE: 28/04/2010

2 PAGES

Mr. Henry Mwima
Executive Director
Lake Tanganyika Authority (LTA)
Kigobe Nord, Bujumbura
BURUNDI

SUBJECT : MULTINATIONAL: PROJECT TO SUPPORT THE LAKE TANGANYIKA INTEGRATED REGIONAL DEVELOPMENT PROGRAMME (PRODAP) - SAP N° P-Z1-AAF-001 / Grant N° 2100155003816: DRAFT AGREEMENT BETWEEN THE LAKE TANGANYIKA AUTHORITY (LTA) AND FAO.

Dear Mr. Mwima,

You have sent for our review, by letter ref. LTA/ADB/HM/2010/04 dated 22/04/2010, a draft agreement for the provision of technical assistance by FAO to the LTA, for the implementation of PRODAP.

Our comments on the version submitted to us are the following:

- article I.1: the duration of the Agreement should be reduced to 18 months, as the current closing date for the grant is 31 January 2012 and to accommodate for the time necessary to mobilize the TA, once the Agreement will have been signed by both parties;
- article II.2: rectify the mount of the initial transfer "transfer an initial amount of 373.480 USD" and the sentence "to make arrangements for (USD 810.000)" should be deleted;
- article V.6: complete paragraph has to be deleted;
- article XI.1: replace "24 months" by "18 months";
- article XI.2: the text from "on the understanding that FAObudget of the project" should be deleted. The process for recruiting the Fisheries Planning and Development Expert should start as soon as the Agreement has been signed by both parties;
- in the budget, the costs for the driver should be included in "General Operating Expenses".

As a result of the reduction in the duration of the Agreement, Annex 1 has to be revised. We are proposing the following revised budget (in USD):



LAKE TANGANYIKA AUTHORITY

2nd DRAFT

MANUAL FOR

PROGRAMME MONITORING AND EVALUATION

SYSTEM

December 2009

Directorate of Monitoring and Evaluation
P.O. Box 4910 Ngagara
Bujumbura
BURUNDI

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Abbreviations

AfDB	-	African Development Bank
AWPB	-	Annual Workplan and Budget
BI	-	Republic of Burundi
CoM	-	Conference of Ministers
DRC	-	Democratic Republic of Congo
FAO	-	Food and Agriculture Organisation
GEF	-	Global Environmental Facility
ICRAF	-	International Centre for Research in Agroforestry
IUCN	-	International Union for Conservation of Nature
LDFs	-	Local Development Funds
LTA	-	Lake Tanganyika Authority
LTIRDP	-	Lake Tanganyika Integrated Regional Development Programme
LTRIMP	-	Lake Tanganyika Regional Integrated Management Programme
MC	-	Management Committee
MDGs	-	Millennium Development Goals
M&E	-	Monitoring and Evaluation
NCUs	-	National Coordinating Units
NDF	-	Nordic Development Fund
NPSC	-	National Project Steering Committee
NWGs	-	National Working Groups
PMUs	-	Project Management Units
PRODAP -	Support	the Lake Tanganyika Integrated Regional Development Programme
RCUs	-	Regional Coordinating Units
SAP	-	Strategic Action Programme
TAC	-	Technical Advisory Committee
TDA	-	Transboundary Diagnostic Analysis
TZ	-	United Republic of Tanzania
UNDP	-	United Nations Development Programme
UNEP	-	United Nations Environment programme
ZM	-	Republic of Zambia

Preamble

This manual has been developed to provide step by step guidelines to Lake Tanganyika Authority (LTA) staff and management in the process of monitoring and evaluating its projects and programmes activities. Its main goal is to facilitate access to data and information that will enable tracking of progress and to enhance informed decision-making in activity implementation at all levels. The manual does not cover the process of environmental monitoring of Lake Tanganyika. This is described in details in other LTA documentation.

The manual is organized into four chapters. Chapter One introduces the basic factors about Lake Tanganyika and briefly discusses the socio-economic activities around the lake. The chapter also gives a background to various efforts that have been undertaken in order to develop a regionally integrated sustainable management of the biodiversity of Lake such as its Strategic Action Programme and the Convention.

The Chapter Two gives a brief description of the Lake Tanganyika Regional Integrated Management Programme (LTRIMP) by discussing its overall objectives and its two components funded by mainly UNDP/GEF and AfDB respectively. The chapter also discusses the implementation arrangements at national and regional levels. The LTRIMP is currently the main donor funded programme being implemented by LTA. Over time it is expected that more donor funded programmes will be implemented and will be incorporated in this manual.

The Chapter Three focuses on the implementation strategy and coordination of the LTA monitoring and evaluation system. The chapter further describes the elements that make up the monitoring framework as well as the elements the make up the evaluation framework. The main indicators, their data sources and the frequency of reporting are mentioned. The data capture forms and the reporting formats are described including the data flow at national and regional levels.

Chapter Four gives a brief conclusion of the manual and emphasizes the need for allocation of enough resources in order to strengthen monitoring and evaluation capacity at all levels.

Finally but not the least, this manual is not static but will be reviewed and updated periodically depending on practical experiences, new monitoring and evaluation issues or new programmes.

1.0 Background Information

1.1 Lake Tanganyika

1.1.1 Major Characteristics

Lake Tanganyika is shared by the four riparian countries; Burundi (8%), the Democratic Republic of Congo (45%), Tanzania (41%) and Zambia (6%).

The lake, with a maximal depth of 1,470m, is the deepest lake in Africa and second deepest in the world after Lake Baikal in Siberia. The length of the lake is over 670 km in the East African Rift with an average width of 50 km (3020' to 8048' South and from 2905' to 31015' East). With a surface area of 33,000 km² and the total volume of water is some 19,000 km³, it contains about 17% of the world's surface freshwater. Its basin covers about 220,000km² and is made up of many river systems (see map below).

More than 1,500 different species of plants and animals live in Lake Tanganyika and half of these are found nowhere else in the world. Lake Tanganyika is famous for its species flocks of cichlid fish, non-cichlid fish, decapod and ostracode crustaceans, gastropod and bivalve molluscs, among other groups. The value of the lake to global biodiversity is beyond measure.

1.1.2 Socio-economic Activities

The Lake is also of immense value to the surrounding communities. It is a source of fish for consumption and sale; it provides a key transport and communications link, supporting the economic and social development of lake-shore communities and it is a permanent source of water for industrial and agricultural development as well as for domestic use.

There are about one million people around the lake who depend on the fish resources. However, the population of Lake Tanganyika basin is estimated to be around ten million and is growing rapidly. The majority of these people rely on small-scale agriculture for their food and income. Industrial activity and associated pollution is localised and, with the specific exception of Bujumbura, still at a low level owing to the largely undeveloped nature of the basin.

Along the north-eastern, eastern and south-western shoreline, there are a number of tourist amenities such as lodges and beach resorts which offer diving, angling, and other water sports in addition to game viewing safaris.

The conservation and scenic values of Lake Tanganyika and its littoral zone, and the potential it offers as an 'eco-tourism' destination, are thus of great significance.



Figure 1: Lake Tanganyika and its basin

1.1.3 Environmental Challenges

Increased population and intensified human activities are the main threats to the lake's biological richness and its sustainable use. The rate of environmental damage caused by human activities is now much faster than the lake's adaptive capabilities and the absorptive capacity.

The increasing demand for fish for local consumption and for sale to distant markets has increased fishing pressure to the extent that the sustainability of the lake fisheries is threatened.

The increased demand for land for food production and other economic activities has greatly accelerated the erosion rate in recent years. Urbanisation has also increased household and industrial wastes that find their way into water courses and ultimately into the lake.

Lake Tanganyika receives its waters from many rivers in its basin but only one, the Lukuga River, flows out. This means that materials (sediment and pollutants) carried into the lake from its basin accumulate steadily and are only removed very slowly.

The eroded sediments and pollutants are slowly distributed throughout the lake by wind-driven currents changing its habitats and disturbing the primary production on which many organisms depend. Therefore, an environmental problem originating from one area might eventually affect the entire lake thereby affecting the socio-economic activities of all the riparian countries.

1.2 Institutional Arrangements for Sustainable Management of Lake Tanganyika

In recognition of Lake Tanganyika's extraordinary biodiversity and the multiplying threats against it, the four riparian states and a number of development partners began in early 1990s to discuss various ways of developing regional integrated programmes for conserving the biodiversity of Lake.

1.2.1 Strategic Action Programme for Lake Tanganyika

During the United Nations Development Programme (UNDP) / Global Environmental Facility (GEF) supported Lake Tanganyika Biodiversity Project which was implemented by the four riparian countries from 1995 to 2000, the Strategic Action Programme (SAP) for the sustainable use of the natural resources of Lake Tanganyika was formulated. National Working Groups (NWGs) and a Technical Advisory Committee (TAC) at the regional level were set up to facilitate this consultative process of developing the SAP.

The NWGs assisted to assemble national specific information and undertook analysis of the water-related environmental problems and conflicts in their part of the Lake basin. The analysed information was then shared together and a Transboundary Diagnostic Analysis (TDA) was produced covering the four riparian countries. The TDA was finalised and endorsed by the regional Steering Committee by March 2000.

The TDA identified main threats to the Lake's biodiversity as unsustainable fisheries, excessive sedimentation, increasing pollution and habitat destruction. The TDA process was one major step required to formulate the Lake Tanganyika Strategic Action Programme.

The SAP was adopted in July 2000 and incorporated specific action to reduce fishing pressures, control sedimentation, control pollution and promote habitat conservation. It also provides a regional framework for a prioritised set of national and regional actions to achieve the protection and conservation of the biological diversity and the sustainable use of the natural resources of Lake Tanganyika and its Basin as agreed upon by the four riparian countries.

1.2.2 Convention on the Sustainable Management of Lake Tanganyika

The Convention on the Sustainable Management of Lake Tanganyika was, like the SAP, formulated during the Lake Tanganyika Biodiversity Project. On 12th June 2003 the 4 riparian governments of Burundi, D.R. Congo, Tanzania and Zambia signed the Convention to ensure an integrated and co-operative management in the protection and conservation as well as the sustainable use of the natural resources of Lake Tanganyika and its Basin. Elaboration of regional and national project proposals for the implementation of the SAP and finalization of the Convention took place under the Lake Tanganyika Management Planning Project funded by GEF from early 2002 to mid 2003.

The Convention provides a legal framework for the riparian governments to co-operate in the development and implementation of harmonized laws and standards concerning the management of Lake Tanganyika and its Basin and ensure that present and future communities living near the Lake benefit from the sustainable use natural resources and amenities of the Lake and its Basin.

1.2.3 Lake Tanganyika Authority

The Convention stipulates the institutional management structure to implement the Convention and the SAP. It particularly defines the Lake Tanganyika Authority (LTA).

The LTA function is to coordinate the implementation of the Convention itself and represent the common interests of the Contracting States in matters concerning the management of Lake Tanganyika and its Basin.

The LTA has international legal personality and legal capacity necessary to perform its functions and mission. The organs of the LTA are the Conference of Ministers, the Management Committee and the Secretariat. The LTA became operational in January 2009 after the formal launch of its activities by the extraordinary meeting of Conference of Ministers held in December 2008.

1.2.3.1 The Conference of Ministers

The Conference of Ministers (CoM) is the supreme body of the Authority. It periodically evaluates the implementation of the Convention. It considers and adopts protocols amendments to this Convention and its annexes.

The CoM also has the mandate to establish whatever subsidiary bodies may be considered necessary for the effective implementation of this Convention as well as undertake any additional action that may be required for the effective achievement of the objectives of this Convention in the light of experience gained in implementing it.

1.2.3.2 Management Committee

The Management Committee (MC) consists of four members (from fisheries, environment, water and finance sectors) appointed by each Contracting State. The Executive Director of the LTA Secretariat serves as its secretary.

Among other things, the MC provides scientific and technical advice to the Conference of Ministers. It supervises the activities of the LTA Secretariat, approves annual workplans and monitors the execution of the programs and the budget of the Authority.

1.2.3.3 LTA Secretariat

The LTA Secretariat is the executive organ of LTA. It is managed by the Executive Director and the Deputy Executive Director. It is also composed of four directorates; administration and finance, fisheries, environment and monitoring and evaluation.

The Secretariat performs the financial and other administrative services required for the proper and efficient operation of the LTA. It formulates the annual workplans and budgets for the Authority and prepares projects, assessments and reports. It regularly obtains and updates information relevant to the implementation of the Convention and disseminates it to the Contracting States.

The LTA Secretariat became fully functional in January 2009 after recruitment of its critical staff. For purposes of efficiency, availability of infrastructure and accessibility, the CoM during the first ordinary meeting held in April 2007 approved that the Authority office be based in Bujumbura, Burundi. On 4th November, 2009, the LTA Secretariat Headquarters Agreement was signed by the host government and LTA.

2.0 Implementation of Lake Tanganyika Integrated Regional Development Programme

To implement the Lake Tanganyika Strategic Action Programme, the four riparian countries have formulated the Lake Tanganyika Integrated Regional Development Programme (LTIRDP), whose activities are mainly to contribute to the sustainable protection of the productive potential of the Lake, improve food security, and reduce poverty in the entire Lake Basin.

As mandated by the Convention, LTA is responsible for coordinating implementation of the Lake Tanganyika Regional Integrated Management Programme which is jointly supported by the four riparian states, with support from a range of partner organizations including United Nations Development Programme (UNDP), Global Environment Facility (GEF), African Development Bank (AfDB), Food and Agriculture Organisation (FAO), Nordic Development Fund (NDF), International Union for Conservation of Nature (IUCN), International Centre for Research in Agroforestry (ICRAF) and United Nations Environment programme (UNEP).

2.1 LTIRDP Objectives

The LTIRDP's long-term objective is the improvement of the living conditions of the riparian populations through the implementation of the Convention and SAP so as to bring about an integrated sustainable management and protection of the Lake Tanganyika.

The LTIRDP main priorities include establishment of sustainable fisheries, catchment management, pollution control, climate change adaptations, and natural resources monitoring programs. It has two immediate objectives:

1. To achieve sustainable management of the environmental resources of the Lake Tanganyika through the implementation of prioritized activities of the SAP; and
2. To improve livelihood through physical and social infrastructure development.

The first immediate objective of LTIRDP is supported by UNDP/GEF funding through the Partnership interventions for the implementation of the Strategic Action Programme for Lake Tanganyika Project.

The second immediate objective of LTIRDP is supported through Project to Support the Lake Tanganyika Integrated Regional Development Programme (PRODAP) funded by the AfDB, and NDF. Technical assistance for implementation of AfDB PRODAP supported activities is provided by FAO.

2.1.1 Partnership interventions for the implementation of the Strategic Action Programme for Lake Tanganyika Project

The Partnership Interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika Project is a four year project and became effective in November 2008. The total cost of the project is US\$ 13.5 million.

There are four main interventions for the Project:

- Establishment and institutional capacity building of the LTA
- Sedimentation control through demonstrations of sustainable catchment management
- Pollution control through improved wastewater management in Burundi and Tanzania
- Establishment of integrated regional lake monitoring system

2.1.2 Project to Support the Lake Tanganyika Integrated Regional Development Programme (PRODAP)

The PRODAP program became effective in December 2008. The total cost of the six year project is **US\$ 44.76 million**.

PRODAP main objective is to improve food security and the welfare of the populations of the catchment area through good management of Lake Tanganyika. The project has four components, namely a) Institutional

Capacity Building; b) Fisheries Development and Environmental Protection; c) Rehabilitation of Infrastructure and Local Development; and d) Programme Management.

The following are the main interventions of the Project:

- Sustainable fisheries management and protection of catchment area
- Improvement of living conditions of communities through the construction of infrastructure and the establishment of local development funds
- Construction of wastewater treatment plant in Tanzania
- Capacity building of local and national stakeholders

2.2 LTIRDP Implementation Arrangements

2.2.1 Regional Level Coordination

2.2.1.1 LTA Secretariat

The Lake Tanganyika Regional Integrated Management Programme is implemented by the LTA Secretariat which is responsible for the overall coordination of the programme activities at regional level.

The Secretariat is supported on UNDP/GEF component by a Project Coordinator and Environmental Advisor to provide technical expertise in the field of regional water-body institutional building as well as coordination and reporting roles across all five GEF national and regional components.

Similarly, the Secretariat will be supported on the PRODAP component by a Coordinating Unit which will be facilitated by the FAO.

2.2.1.2 Regional Steering Committee

The LTA Management Committee (MC) serves as a regional steering committee of the Programme and convenes at least once annually to review and approve workplans and budget as well as the implementation of activities, outputs and new and emerging issues. Management Committee reports to the Conference of Ministers. Representatives of development partners and other supporting agencies may be invited to participate as observers or to present specific reports in the meetings of the LTA MC.

2.2.2 National Level Coordination

2.2.2.1 National Implementing/Executing Agencies

At the national level, implementing units have been established to coordinate, control and monitor the implementation of the work programme and the annual budget in collaboration with the executing agencies. They are also responsible for preparing bidding documents, drawing up financial statements and managing special accounts.

For the UNDP/GEF component, Project Management Units (PMUs) have been established in riparian countries. Similarly for the AfDB component, National Coordinating Units (NCUs) have been established within the Ministry of Agriculture and Livestock in Burundi and DR Congo as well as in the decentralized administrations of the Ministries of Environment in Tanzania and Zambia.

2.2.2.2 National Steering Committee

In each country, an Inter-Ministerial Steering Committee or National Project Steering Committee (NPSC) has been established with representatives from the Ministries responsible for Finance, Fisheries, the Environment, Water resources, the decentralized administrative services, a representative of the private sector and two representatives of socio-professional organizations.

The NPSC is responsible for reviewing and approving activity programmes and annual budgets, examining and adopting activity reports, and ensuring the implementation of the recommendations of the various supervision missions. Periodic project activity reports, audit reports and monitoring-evaluation reports will be submitted to them.

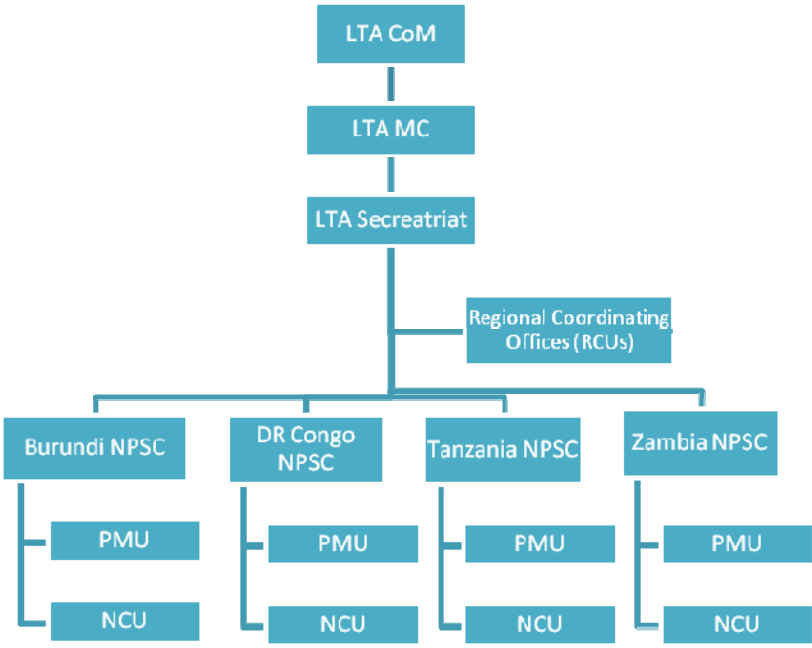


Figure 2: Implementation Organogram

3.0 LTA Monitoring and Evaluation System

3.1 Objectives

The goal of the LTA Monitoring and Evaluation (M&E) system is to provide a step by step guide to LTA Secretariat, NCUs, PMUs and other partners on effective tracking and recording of performance to enhance informed decision-making at all levels of implementation based on adaptive management approaches. In addition, the LTA M&E system will assist the LTA Secretariat, NCUs, PMUs and other partners in assessing the progress being made in achieving the Convention major objective

The LTA M&E system is illustrated into this LTA M&E Manual with the following specific objectives:

- To promote importance of systematic data collection and utilization of monitoring and evaluation results in programme implementation and planning of future interventions;
- To give guidance on LTA and Development Partners reporting requirements.
- To increase the understanding of the status and trends of the ecosystem and explaining the changes in the levels of project/programme outputs and outcomes overtime; and
- To strengthen the M&E capacity at regional and national levels.

The basic concepts and simple definitions of M&E terms used in this Manual are shown in Annex 1.

The LTA M&E system is largely based on the logical frameworks of the two components of the LTRIMP and it is composed of two sections; the LTA monitoring framework and the LTA evaluation framework.

3.2 LTA Monitoring System

The LTA monitoring system is intended to capture data on activities and output indicators of its various programmes. This data is collated and analyzed to assess the rate of implementation of planned activities in relation to agreed workplans and budgets, i.e., the number of planned activities actually undertaken in compliance to the agreed timeframe and targets in the workplans. The data is also analyzed to assess the effectiveness in meeting the desired outputs or results. The monitoring framework further assists in validating the key assumptions used in developing the workplans so as to improve subsequent planning and decision making (adaptive management).

The LTA monitoring system is made up of four main elements, namely:

1. Monitoring Indicators
2. Annual workplan and budget
3. Monitoring visits, field supervision visits and data audits
4. Progress reports (reporting formats and dissemination of reports)

These four elements together provide the LTA management with information the performance of various programmes in relation to implementation targets.

3.2.1 Monitoring Indicators

The LTA monitoring framework uses monitoring indicators¹ to assess the performance of implementation of activities and programmes. The monitoring indicators are mainly activity and output indicators which must be discussed and agreed upon by all major stakeholders so that it is clear from the beginning to everyone what will be monitored in order to confirm whether the programme achieved its intended targets and purpose.

Programme documents normally have some monitoring indicators identified at programme formulation stage. These indicators form a good foundation for discussion, improvement and final selection of monitoring indicators. Only essential and limited number of indicators must be selected so as to justify the cost of data collection, which is requires both human and financial resources.

¹ The definition of an indicator is given in Annex 1

After the monitoring indicators are selected, the expected targets and baseline data must be determined. The expected targets can also be obtained from the programme documents and / or can be reviewed through consensus by all stakeholders. Baseline data must be obtained through commissioned studies as well as from various existing formal data sources available in the country.

The LTA monitoring framework is shown in tables 1 and 2 below. The framework serves as a plan to guide LTA monitoring activities and it shows the following:

- The activities and output indicators to monitor
- The responsible person or officer for monitoring activities
- The timing or frequency (when monitoring activities are planned)
- The methodology (how monitoring is to be carried out)
- The resources required and their sources
- Risks/assumptions

Table 1: LTA Monitoring Framework with UNDP/GEF Support

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor				Responsibilities	Means of Verification: Data Source and Type	Frequency	Resources	Risks
	Indicator name	Baseline	Target	Time (yr)					
Outcome 1: Regional and national institutions established and implementing the SAP and provide the institutional support for the cooperative management of Lake Tanganyika	LTA established	n/a	TBA	2006	LTA, GEF RCU	1st CoM Minutes	Annually	LTRIMP funds	Countries keep and concretize their commitment to ratify the Convention; Commitment to implementation of the SAP interventions; The countries increase their participation in the LTRIMP activities
	National Steering (Inter-ministerial) Committees established	n/a	TBA	2007	LTA, PMUs in BI, DRC, TZ & ZM	Progress Reports, Meeting Reports	Annually	LTRIMP funds	
	Convention ratified	n/a	TBA	2007	LTA	Instruments of ratification	Annually	LTRIMP funds	
	Number of Protocols to Convention established	n/a	TBA	2010	LTA, GEF RCU	Progress Reports, Protocol Documents	Quarterly	LTRIMP funds	
	Numbers of policies harmonized	n/a	TBA	2010	LTA, GEF RCU	Progress Reports, Policy documents	Annually	LTRIMP funds	
	Number of regional master plans established	n/a	TBA	2010	LTA, GEF RCU	Master plans reports, Meeting Reports	Annually	LTRIMP funds	
	<i>Additional resources leveraged for activities and sustainability</i>	n/a	TBA	2010	LTA, GEF RCU	Progress Reports, Country Contributions	Annually	LTRIMP funds	
	Information resource centre developed and maintained	n/a	TBA	2010	LTA, GEF RCU	Progress Reports, Published Reports	Annually	LTRIMP funds	
	Lake Tanganyika Strategic Action Plan updated	n/a	TBA	2009	LTA, GEF RCU	Revised SAP document	Annually	LTRIMP funds	
Outcome 2: The quality of the water of Lake Tanganyika is improved at identified pollution hotspots	Wastewater treatment plants <i>operationalised (or constructed)</i> in Bujumbura	TBA	TBA	2008	PMU Burundi	Annual Progress Reports	Annually	LTRIMP funds	Capacity of central and local governments to ensure a timely and satisfactory implementation/exec ution of the projects
	Wastewater treatment plants constructed in Kigoma	TBA	TBA	2008	PMU Tanzania	Annual Progress Reports	Annually	LTRIMP funds	
	Improvement in water quality at identified hotspots	TBA	TBA	2010	LTA, GEF RCU	Annual Progress Reports	Annually	LTRIMP funds	

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor				Responsibilities	Means of Verification: Data Source and Type	Frequency	Resources	Risks
	Indicator name	Baseline	Target	Time (yr)					
Outcome 3: Demonstration sites around the Lake show how sediment discharge can be reduced whilst providing significant livelihood benefits to local people	Hectarage under demonstration pilot sites for sustainable catchment management established in Uvira, Kigoma and Mpulungu districts	TBA	25000	2008	Burundi, Tanzania & Zambia PMUs	Quarterly Progress Reports	Annually	LTRIMP funds	Capacity of central and local governments to ensure a timely and satisfactory implementation/execution of the projects
	Number of awareness and environmental education conducted	TBA	TBA	2008	Burundi, DRC, Tanzania & Zambia PMUs	Quarterly Progress Reports	Annually	LTRIMP funds	
	Improvement in water quality a identified hotspots	TBA	30%	2010	Burundi, DRC, Tanzania & Zambia PMUs	Annual Progress Reports	Annually	LTRIMP funds	
	Reduction in silt load in targeted rivers in year 4 compared to baseline in year 1 and TDA	TBA	30%	2010	Burundi, DRC, Tanzania & Zambia PMUs	Annual Progress Reports	Annually	LTRIMP funds	
Outcome 4: Regional monitoring decision-making support system to foster the Lake's management established	Monitoring unit established and equipped	n/a	TBA	2008	LTA, GEF RCU	Quarterly Progress Reports	Annually	LTRIMP funds	The LTA assist countries in assessing national monitoring processes; The LTA has the required technical expertise to develop monitoring capacity and to establish a decision-making management support system
	Internal and external network for communication within the Program is established	n/a	TBA	2008	LTA, GEF RCU	Quarterly Progress Reports	Annually	LTRIMP funds	
	Standardization of parameters and targets for monitoring established	n/a	TBA	2009	LTA, GEF RCU	Quarterly Progress Reports	Annually	LTRIMP funds	
	LTA website developed and maintained	n/a	TBA	2009	LTA, GEF RCU	Quarterly Progress Reports	Annually	LTRIMP funds	
	Two reports prepared annually to support decision-making at regional level	n/a	TBA	2009	LTA, GEF RCU	Quarterly Progress Reports	Annually	LTRIMP funds	

Table 2: LTA Monitoring Framework with AfDB Support

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor				Responsibilities	Means of Verification: Data Source and Type	Frequency	Resources	Risks
	Indicator name	Baseline	Target	Time (yr)					
Output 1: Fisheries are developed and the environment protected in a sustainable manner.	Number of pilot villages adopting the joint fisheries management mechanism	TBD	200	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, By Laws	Quarterly	LTRIMP AfDB funds	Increased regional cooperation, liberalization of markets for products, monitoring of industrial fishing
	Number of landing places constructed/rehabilitated - fitted with basic infrastructure and equipment	TBD	200	2008	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Quarterly	LTRIMP AfDB funds	
	Number of sensitive (reproduction and early growth) areas protected from harmful fishing gear and practices	TBD	50	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits	Quarterly	LTRIMP AfDB funds	
	Number of management committees established, and provided with monitoring and surveillance equipment	TBD	200	2008	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Signed Agreements	Quarterly	LTRIMP AfDB funds	
	Number of surveillance posts established and made operational with the participation of fishermen	TBD	13	2008	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Agreements with enterprises	Quarterly	LTRIMP AfDB funds	
	Hectarage of catchment areas protected with biological developments against erosion	TBD	120,000	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits	Quarterly	LTRIMP AfDB funds	
	Hectarage of catchment areas protected with physical developments protected against erosion	TBD	80,000	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Labour Intensive Agreements	Quarterly	LTRIMP AfDB funds	
Output 2: The infrastructure is rehabilitated and local development initiatives supported	Number of latrines constructed by the Local Development Funds (LDF).	TBD	235	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Quarterly	LTRIMP AfDB funds	Increased regional cooperation, liberalization of markets for products,

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor				Responsibilities	Means of Verification: Data Source and Type	Frequency	Resources	Risks
	Indicator name	Baseline	Target	Time (yr)					
	Number of water points constructed by the Local Development Funds (LDF).	TBD	365	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Quarterly	LTRIMP AfDB funds	monitoring of industrial fishing
	Number of schools constructed by the Local Development Funds (LDF).	TBD	85	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Quarterly	LTRIMP AfDB funds	
	Number of health centres constructed by the Local Development Funds (LDF).	TBD	70	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Quarterly	LTRIMP AfDB funds	
	Number of diversification micro-projects funded for the most vulnerable population groups (of whom 60% are women)	TBD	100	2009	NCUs in TZ & ZM	Progress reports, Contracts with beneficiaries, field visits	Quarterly	LTRIMP AfDB funds	
	Number of lake transport micro-projects funded for the most vulnerable population groups	TBD	30	2009	NCUs in TZ & ZM	Progress reports, Contracts with beneficiaries, field visits	Quarterly	LTRIMP AfDB funds	
	Kilometres of agricultural feeder roads rehabilitated	TBD	885	2009	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Annually	LTRIMP AfDB funds	
	Number of rural markets constructed	TBD	13	2009	NCUs in BI,DRC, TZ & ZM	Progress Reports, Field Visits, Contracts with suppliers, Acceptance reports	Annually	LTRIMP AfDB funds	
Output 3: Institutional capacities have been	The Lake Tanganyika Authority becomes operational	n/a	n/a	2006	LTA	Quarterly Progress	Annually	LTRIMP AfDB funds	Increased regional

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor				Responsibilities	Means of Verification: Data Source and Type	Frequency	Resources	Risks
	Indicator name	Baseline	Target	Time (yr)					
strengthened						Reports			cooperation, liberalization of markets for products, monitoring of industrial fishing
	Number of operators trained locally in responsible fisheries and management practices	TBD	15,000	2010	NCUs in BI,DRC, TZ & ZM	Training/progress Reports, Training contracts	Quarterly	LTRIMP AfDB funds	
	Number of operators' associations in the fisheries sub-sector established and/or revitalized	TBD	500	2010	NCUs in BI,DRC, TZ & Z	Progress Reports, Field Visits	Quarterly	LTRIMP AfDB funds	
	Number of employees of decentralized local authorities and administrations trained - 40% women	TBD	150	2010	NCUs in BI,DRC, TZ & ZM	Training Reports	Quarterly	LTRIMP AfDB funds	
	Number of managerial staff trained (fisheries, environment and fisheries research departments - 30% women)	TBD	45	2010	NCUs in BI,DRC, TZ & ZM	Training Reports	Quarterly	LTRIMP AfDB funds	
	Number of technicians trained (from fisheries, environment and fisheries research departments - 30% women)	TBD	100	2010	NCUs in BI,DRC, TZ & ZM	Training Reports	Quarterly	LTRIMP AfDB funds	
	Number of sensitization campaigns on the sustainable management of fisheries and IEC methods organized with the communities	TBD	70	2010	NCUs in BI,DRC, TZ & ZM	Progress Reports, Protocols	Quarterly	LTRIMP AfDB funds	

The LTA monitoring framework uses Indicators Data Forms to collect and update data on the agreed output indicators on regularly basis. These forms record the actual achievements of the indicators against the expected targets for each respective reporting period. Therefore these forms enable management to obtain the required information in order to assess the overall performance of the programme in a particular period.

There are currently four Indicator Data Forms:

1. PMU Indicator Data Form;
2. NCU Indicator Data Form;
3. Regional Coordinating Units (RCUs) Indicator Data Form; and
4. LTA Indicator Data Form

3.2.1.1 PMUs Indicator Data Form

PMU Indicator Data Form, shown at Annex 2, collects and records data on actual achievements of the agreed indicators in a given quarter as a result of implementing the planned activities in the approved AWPB of the same period. These indicators are grouped according to the 4 main interventions or outcomes of the Partnership interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika Project:

1. Institutional capacity building of the LTA
2. Sedimentation control through demonstrations of sustainable catchment management
3. Pollution control through improved wastewater management in Burundi and Tanzania
4. Establishment of integrated regional lake monitoring system

3.2.1.2 NCUs Indicator Data Form

The NCU Indicator Data Form shown at Annex 3 collects and records data on actual achievements of the agreed indicators as a consequence of implementing the planned activities in the approved AWPB of the same period. The Indicators in the form are organized according to the four components of the PRODAP as follows:

1. Institutional Capacity building
2. Fisheries development and Environmental Protection
3. Infrastructure Rehabilitation and Local Development
4. Programme management.

3.2.1.3 LTA Secretariat Activity Report Form

The Regional Coordinating Units Indicator Data Form shown at Annex 4 collects and records data on actual achievements of the indicators formulated to access the regional coordinating functions in a given period

3.2.1.4 LTA Indicator Data Form

The LTA Indicator Data Form shown at Annex 5 collects and records data on actual achievements of the indicators that access the Secretariat coordination functions as it implements the coordination activities in a given period.

3.2.1.5 Data Forms Revision and Reporting Frequency

It is expected that more forms will be developed as implementation and review of the Programme gains momentum. In addition, the current forms will also be reviewed regularly to make them more effective in capturing relevant programme data. The general operational guidelines for the three forms are shown at Annex 6.

The LTA Monitoring Framework will also utilize existing data collection tools in the line ministries and national institutions in the four riparian countries to complete the Indicator Data Forms. These will include annual economic reports, farmer surveys, socio-economic and demographic surveys.

Table 3: LTA Monitoring Forms

No.	Form Title	Purpose	Tasks	Responsible	Frequency (Submission)
1	LTA AWPB Implementation Monitoring Form ² (Annex 4)	Actual achievement against the target for planned activities in the Annual Workplan	Filling in / completing nationally	PMUs, NCUs, RCUs, LTA	Quarterly
2	PMU Indicator Data Form (Annex 5)	Track national KPIs achievements under UNDP/GEF Component	Filling in	PMUs	Quarterly
			Consolidating for the 4 countries	LTA	Quarterly
3	NCU Indicator Data Form (Annex 6)	Track national KPIs achievements under AfDB Component	Filling in	NCUs	Quarterly
			Consolidating for the 4 countries	LTA	Quarterly
4	RCUs Indicator Data Form (Annex 7)	Track regional KPIs achievements under UNDP/GEF Component	Filling in	RCUs	Quarterly
5	LTA Indicator Data Form (Annex 8)	Track KPIs achievements - LTA coordination	Filling in	NCUs	Quarterly

3.2.2 Annual Workplan and Budget (AWPB)

It is important to note that monitoring and reporting are undertaken against a programme annual workplan and budget.

The Annual Workplan and Budget (AWPB) is the implementation guide to the LTA Secretariat, Regional UNDP/GEF Office, the NCUs and the PMUs. It outlines the activities to be undertaken with intended outputs which can be measured by key indicators. The AWPB is also based on the approved project documents and logical framework.

The AWPB is prepared once every year, normally towards the end of the fourth quarter in a participatory manner through a planning workshop with the involvement of key stakeholders and beneficiaries. The planning workshop is also used to review the achievements of the targets and the constraints encountered in the previous year. This helps to identify better strategies for implementing new activities and assigning the corresponding targets.

The identified activities with their targets are then priced and drafted into the LTA agreed format and outline (see Annex 7). The main sections of the format include the Objective, Results/Output, Activities, Sub-activities, Baseline, Target, Implementation Period, Responsible Person, Budget (sources and amount) and Inputs Required.

The draft AWPB for the Programme is compiled by LTA Secretariat with inputs from the PMUs and NCUs and is then submitted to AfDB and UNDP/GEF not later than the agreed date for their review and comments. Depending on feedback, the final programme workplan and budget is completed and submitted to the LTA Management Committee for approval.

The timeframe for submission of AWPBs is as follows:

- | | | |
|-------------------------|---|--|
| 1. NCUs/PMUs to LTA | - | Not later than September 30 in each year
(The NCUs and PMUs are therefore required to organize and hold the National Steering Committee meeting for endorsement of their AWPBs before this date). |
| 2. LTA to ADB, UNDP/GEF | - | Not later than November 15 in each year |

² This form is discussed under Annual Workplan and Budget Section

3. LTA to MC, CoM - Not later than December 15 in each year

LTA AWPB Implementation Monitoring Form in Annex 8 has been developed to track the implementation of the AWPB on quarterly basis. This form records the actual achievement against the target for each of the planned activity including the actual funds utilised against the budget in each quarter. The challenges faced and other comments can also be recorded on the form.

The LTA AWPB Implementation Monitoring Form enables management to assess and track the project and programme performance by comparing the achievements against the targets in a particular period. Management can also quickly identify issues that need management intervention and appropriate facilitation.

3.2.3 Monitoring/Supervision Visits and Data Audits

3.2.3.1 Monitoring/Supervision Visits

LTA Secretariat will conduct periodic monitoring/supervision visits to the PMUs and NCUs, preferably on semi-annually basis.

These supervision visits will focus on providing technical support to the PMUs and NCUs as well as assessing the performance with regard to achievement of agreed targets and the quality of services realized from activity implementation.

In addition, fiduciary monitoring to verify the financial records and provide on spot capacity building may also be conducted.

The monitoring/supervision visits may be jointly undertaken by two or more members of LTA staff and thus contribute to the overall program accountability.

A monitoring/supervision visits checklist will be used to guide the monitoring/supervision visits.

At the end of the supervision mission, a list of next action steps or points based on empirical findings will be developed and agreed by all parties. These will be closely monitored and the PMUs and NCUs will be required to periodically report to LTA on the progress made.

3.2.3.2 Data Audits

The LTA Secretariat's M&E Directorate will undertake data audits on regular basis, preferably annually to verify and validate the data collected and recorded by LTA. This is important because credibility and validity of programme data is cardinal for monitoring and evaluation purposes.

Data audit will involve checking individual data sets on registers or other back-up documentations (e.g., workshop attendance list) used to capture data during activity implementation

The data audits will usually be synchronized and undertaken at the same time with the monitoring or supervision visits in order to save on costs and time. The Data Audit Checklist will be used to facilitate the process.

3.2.4 LTA Progress Reports

Reporting involves comparing activity or output targets against actual achievements in given period. The programme workplan and budgets are therefore the main reference documents for reporting on progress. Report enables management to assess programme performance and identify problems that require its action.

Timeliness in reporting is very essential. This is particularly important for the reports that require the inputs from several people. For instance, delays in submitting community level reports will result in delays in

finalizing the national level reports as well as the regional level reports. Further, delays in reporting lead to untimely and late decision making by management thereby negatively affecting performance of the Program.

The LTA progress reporting takes place at quarterly and semi-annually intervals. The Regional Coordination Units, PMUs and NCUs submit the Quarterly Reports to LTA Secretariat not later than the stipulated time as shown in table 4. The LTA Secretariat submits the consolidated Quarterly Reports to LTA Management Committee and Conference of Ministers as well as the Development Partners not later than the stipulated time as shown in table 4.

Report format has been developed to facilitate reporting as well as ensure that only relevant information is reported (see Annex 9). Basically, the report should contain progress update with actual results achieved as compared to targets and total expenditures incurred as compared to budget during the disbursement period (e.g., one quarter). If program results or expenses differ significantly from plans, the Regional Coordination Units, PMU, NCU or LTA Secretariat should explain the reasons for these deviations. The LTA Secretariat also provide a regional overview of programme results attained, potential issues emerging, lessons learned and any unplanned changes in the programme and budget.

The dissemination of these progress reports is expected to serve the following key purposes:

- Share the data and information for better planning of LTRIMP activities;
- Give feedback on the efforts and resources committed and highlight issues that still require intervention; and
- Increase public awareness and commitment in the four riparian nations to the Lake Tanganyika Convention and SAP.

Table 4: Reporting Deadlines for RCUs, PMUs and NCUs

No	Report Type	RCUs, PMUs and NCUs submission deadline to LTA Secretariat	LTA Secretariat submission deadline to MC, CoM and Development Partners
1	First Quarter Report	15 th April	15 th May
2	Semi Annual Report	15 th July	15 th August
3	Third Quarter Report	15 th October	15 th November
4	Annual Report	15 th January	15 th February

3.2.5 LTA Data Flow

The data flow of the LTA Monitoring Framework is depicted by the chart in figure 3 below. The chart identifies three level of data flow, namely:

Community Level

At the end of each quarter, data on activities implemented in communities (e.g., pilot sites or villages) is collected by designate community management members or community based organisation engaged to implement the community activities. The data is compiled on simple data reporting forms which are submitted to the PMUs or NCUs within or before the stipulated reporting deadline.

PMUs/NCUs Office Level

The national implementation units which are the PMUs or NCUs consolidate the data from the various community project sites after validation. The PMUs and NCUs also collect and compile primary data on the activities they directly in charge of implementation. The consolidated data is entered onto agreed data capture form electronically and submitted before the agreed deadline to LTA Secretariat with a copy to the National Project Steering Committee for their review.

Further, the NCUs and the PMUs use the consolidated to produce quarterly narrative reports which are submitted to LTA Secretariat together with the data capture forms. The officers responsible are the national Project Coordinators in the MOUs or NCUs.

Regional Level

At regional level, the RCUs and LTA Secretariat receive the national consolidated data and narrative reports quarterly from the PMUs and NCUs. The RCUs and the Secretariat also make follows for any delayed submission of the reports.

All the consolidated data received at the LTA Secretariat is then scrutinized for errors and consistencies by the M&E Directorate with support of the other directorates. The LTA Secretariat also on quarterly basis collects and compiles data on the activities it is directly implementing as per its mandate. This validated data is thereafter entered into the computerised database³ at LTA for quick retrieval of information and analysis.

The consolidated data is utilised in the preparation of the LTA quarterly and annual reports as well as other special reports as may be required. The quarterly and annual reports are submitted to LTA Management Committee and Conference of Ministers as well as the Development Partners for their review and guidance on the performance of the LTA Programmes.

³ The LTA computerised database will be developed IT experts to ease data entry and generation of different reports for stakeholders

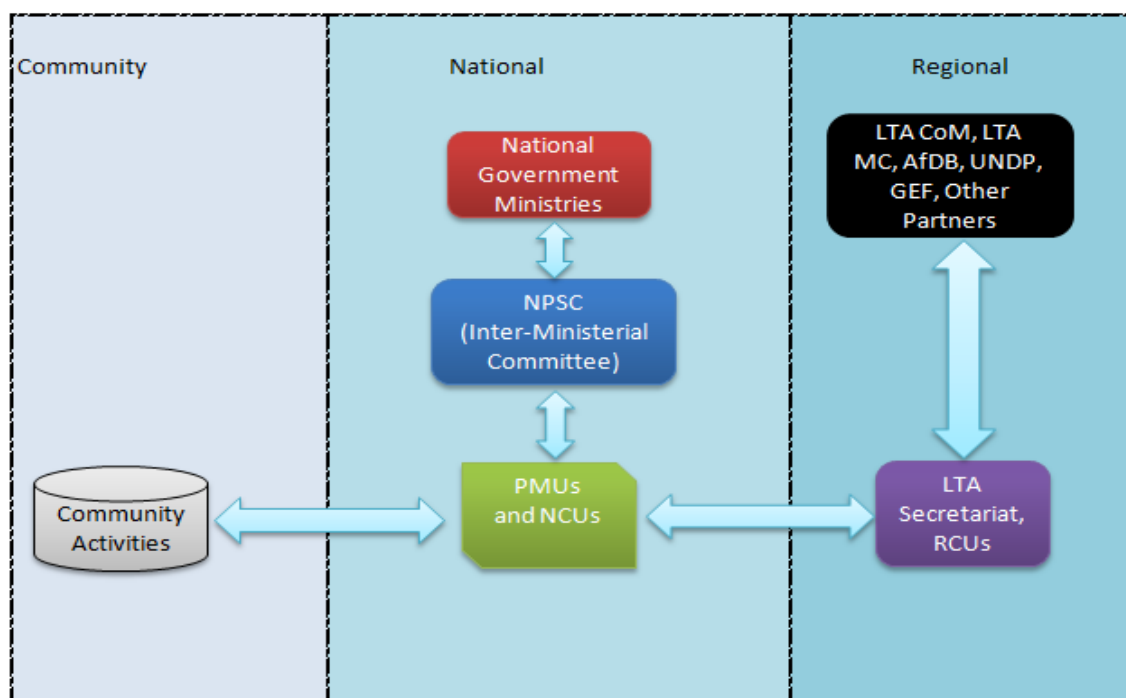


Figure 3: Data Flow Chart

3.3 LTA Evaluation System

3.3.1 Impact and Outcome Indicators

The LTA evaluation framework will focus on outcome and impact indicators which relate to the behaviour or attitude change in target communities with regard to sustainable utilisation of natural resources of Lake Tanganyika and its basin as well as the long term availability of the services provided by the LTA programmes. As in the case of monitoring indicators, the outcome and impact indicators must be discussed and agreed upon by all major stakeholders and the programme documents must be used as reference.

Tables 5 and 6 show the impact and outcome indicators as contained in the respective logical frameworks of UNDP/GEF and AfDB components:

Table 5: Impact and Outcome Indicators under UNDP/GEF Component

No.	INDICATORS	Baseline (if applicable)			Targets				Directly tied (Y/N)	Baselines included in targets (Y/N)	Comments
		Value	Year	Source	Year1	Year2	Year3	Year4			
IMPACT INDICATORS											
MDG 1 ERADICATE EXTREME POVERTY AND HUNGER											
1	Proportion of population living in extreme poverty (%)								N		
2	Prevalence of underweight children (under five years of age) (%)								N		
MDG 7 ENSURE ENVIRONMENTAL SUSTAINABILITY											
1	Land covered by forest (%)								N		
2	Land protected to maintain biological diversity (%)								N		
3	Population using solid fuels (%)								N		
OUTCOME INDICATORS											
1	Lake Tanganyika Strategic Action Program reviewed and updated								Y		
2	Pollution at hotspots reduced ⁴								Y		
3	Sediment rates at demonstration sites reduce significantly ⁵								Y		
4	Sediment control interventions begin to be replicated within the Region ⁵								Y		

⁴ Need to revise this indicator to make it clear and simple (i.e., “SMART”)

⁵ Need to revise this indicator to make it clear and simple (i.e., “SMART”)

⁶ Need to revise this indicator to make it clear and simple (i.e., “SMART”)

Table 6: Impact and Outcome Indicators under AfDB Component

No.	INDICATORS	Baseline (if applicable)			Targets						Directly tied (Y/N)	Baselines included in targets (Y/N)	Comments
		Value	Year	Source	Year1	Year2	Year3	Year4	Year5	Year6			
IMPACT INDICATORS													
1	Increased contribution of the fisheries sector to GDP of the riparian countries ⁷ (%)										N	Y	
OUTCOME INDICATORS													
1	Prevalence rate of water-borne diseases ⁸										Y	Y	
2	Literacy rate of riparian communities ⁹										Y	Y	
3	Local Development Funds (LDFs) established to finance social amenities ¹⁰										Y	Y	
4	Fish production increases ¹¹										Y	Y	
5	Post-catch reduction ¹²										Y	Y	
6	The net average income of operators in the fisheries sub-sector increases ¹³										Y	Y	

⁷ According to PRODAP Doc., contribution of fisheries to the GDP of the riparian countries increases from 1.6 % in 2004 to 1.8 % in 2010, that is a 12.5% increase by 2010.

⁸ Reduces by 20% in 2010 (PRODAP Doc.)

⁹ Rises by 40% in 2010 (PRODAP Doc.)

¹⁰ Four established by 2008 (PRODAP Doc.)

¹¹ From 165,000 tonnes in 2004 to 200,000 tonnes in 2010 (PRODAP Doc.)

¹² Losses fall from 15 % in 2004 to 4 % in 2010, representing an annual recovery of 16,500 tonnes by 2010 (PRODAP Doc.)

¹³ From US\$ 150 in 2004 to US\$ 350 in 2010 (PRODAP Doc.)

3.3.2 Data Sources

The national surveys such as demographic health surveys, farmers surveys, household surveys or living conditions surveys, economic reports and census reports which are regularly undertaken by government departments in charge of national statistics in the four riparian countries, will be used as data sources for most of the impact and outcome indicators. The MDGs country reports published periodically will also be used as important sources of data.

The data from the national surveys mentioned above will be strongly supplemented with data collected through field surveys commissioned by LTA and undertaken by independent national and international consultants.

The PMUs and the NCUs are required to collect the baseline data for each of the above impact and outcome indicators using these data source and the commissioned baseline surveys. This baseline data when compared and analysed with the new data from subsequent surveys or evaluation studies will assist to determine the effectiveness and relevancy of LTIRDP in meeting its objectives.

3.3.3 LTA Evaluation

The LTA evaluation framework is shown in table 5 below. The framework shows the types of evaluation needed, the purpose or indicators being assessed, the partners, the timeframe and the sources of funding. It also includes all mandatory evaluations that are required, as per loan or grant agreements, to generate the most critical and useful information for LTA and its Development Partners management decision making.

The type of LTA evaluations will include the following:

- Baseline surveys
- Mid-term reviews
- Terminal evaluations
- Beneficiary impact surveys and case studies

Table 7: LTA Evaluation Framework

1	Mid-term review of PRODAP	AfDB, NDF, FAO	PRODAP Outcome Indicators	December 2011	Govt line ministries, NPSC, LTA MC, UNDP/GEF, communities, CBOs	PRODAP	Y
2	Mid-term review of UNDP/GEF Component <i>(to confirm on UNPD's Project Performance and Evaluation Review (PPER) and Tri-Partite Review (TPR))</i>	UNDP/GEF	PRODAP Outcome Indicators	December 2010	Govt line ministries, NPSC, LTA MC, AfDB, NDF, FAO, communities, CBOs	PRODAP	Y
3	Terminal Evaluation of PRODAP	AfDB, NDF, FAO	PRODAP Outcome Indicators	<i>December 2010</i>	Govt line ministries, NPSC, LTA MC, UNDP/GEF, communities, CBOs	PRODAP	Y

4	Terminal Evaluation of UNDP/GEF Component	UNDP/GEF	PRODAP Outcome Indicators	December 201_	Govt line ministries, NPSC, LTA MC, AfDB, NDF, FAO, communities, CBOs	PRODAP	Y
5	Case Studies	n/a	LTRIMP outcome and impact Indicators	August 2012	Govt line ministries, NPSC, LTA MC, AfDB, NDF, FAO, communities, CBOs	LTRIMP	N
6	Household Surveys	n/a	LTRIMP outcome and impact Indicators	2011	Govt line ministries, NPSC, LTA MC, AfDB, NDF, FAO, communities, CBOs	LTRIMP	N

The LTA planned evaluations will be as much as possible be aligned with national and regional development priorities. This ensures that proposed evaluations will generate important information to help LTA and its partners better manage for results in a changing context.

Opportunities for joint evaluations with governments and partners should be actively pursued. Evaluations commissioned by LTA should be useful for national partners. For instance, if one of the four governments is undertaking evaluation of a national development strategy or framework to which LTA programme is contributing, the LTA managed evaluation should enhance complementarities and minimize duplicated efforts.

4.0 Conclusion

There is currently limited capacity at national and regional levels with respect to adequate personnel and logistics to undertake the M&E functions. This is partly as a result of LTA and the LTIRMP being relatively new.

LTA will on a regular basis address issues related to capacity building and will strive to make sure the required personnel are engaged and oriented in M&E skills. LTA will also work with national, regional and international partners to strengthen its M&E framework. The ultimate aim is to achieve strong M&E role in the effective implementation of LTA programmes.

However, the implementation of the LTA M&E system will require resources for capacity building (personnel and logistics); funds for data collection, analysis and dissemination and technical support for periodic surveys (including data analysis and report write-up). This requires strong management support at all levels and allocation of adequate funding to M&E activities.

Annexes

Annex 1: Basic Concepts of Monitoring and Evaluation

Monitoring and evaluation is generally used together to refer to the whole process of assessing progress or achievements of a project or programme. The following are simple definitions of key M&E terms and concepts used in this Manual.

1. **Monitoring** can be defined as the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving Programme goals and objectives. It involves regular observation and recording of programme activities, outputs and outcomes and checking whether the planned results are being achieved.
2. **Evaluation** is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision making. It is a process of assessing value (i.e., relevance, efficiency, effectiveness and sustainability) on what a program has achieved particularly in relation to overall objectives.
3. A **programme** or **Project** is an intervention process, which has a defined start and end time, a set of tasks or assignments and a budget, that is developed to solve a well defined goal or objective. The programme or project is composed of inputs, activities, outputs, outcomes and impacts.
4. **Inputs** are the financial, human and material resources that are used to produce the intended output of a program.
5. **Activities** generally refer to the actions taken or work performed through which inputs such as funds, staff, vehicles and other types of resources are mobilized to produce specific outputs of programs, e.g. training courses being conducted, sensitization meetings being organized, etc.
6. **Outputs** are the immediate products obtained by the programme through the execution of activities, e.g., number of people trained, number of guidelines developed, number of demonstration plots established, etc
7. **Outcomes** are the intermediate results obtained by the program through the execution of one or several activities. They typically incorporate a quality element. They often require separate surveys to be measured, e.g., the proportion of target population that have adopted sustainable fishing practices.
8. **Impact** is the long-term result obtained by the program through the execution of activities, e.g., changes in disease incidence and prevalence and changes in disease morbidity and mortality. Impact refers to the highest level of results expected of the program. Impact therefore, generally refers to the overall goal or goals of the program.
9. **Logical Framework (Logframe)** of the programme or project is a matrix showing the hierarchical or logical interrelationship and interaction of inputs, activities, outputs and expected outcomes and impact of the program is normally referred to as logic intervention and is can be clarified and displayed in the form of a logic model, an example of which is shown below.
10. An **indicator** is a quantitative or qualitative factor or variable that provides a simple and reliable means to measure change linked to an activity or intervention of the programme. Indicators therefore help in assessing the performance of a program.

<i>Characteristics of a good indicator</i>	
Specific	An indicator needs to be specific and related to the conditions the project/program seeks to change. It should be clear about what to change and where, when, and how the situation will be changed
Measurable	Able to quantify the targets and benefits. Quantifiable indicators are preferred because they are precise, can be aggregated and allow further statistical analysis of the data
Attainable	An indicator (or information) must be attainable at reasonable cost using an appropriate <u>collection</u> method
Relevant	An indicator must be one that is necessary to measure; it must have relevance to the management information needs of the people <u>who</u> will use the data
Time bound	The time period in which an indicator will be accomplished should be clearly stated

11. **Mid-term review** is undertaken approximately halfway through programme implementation. It assess whether the programme is on track, what problems and challenges it is encountering and what corrective actions are required. It will also facilitate the re-examination of the Project objectives and will allow adjustments to be made, if necessary.
12. **Terminal Evaluation** is undertaken at the end of programme and assesses whether the objectives and goals were achieved in an effective and efficient manner, and provide recommendations and lessons learned from project implementation in order to assist in determining whether to continue, replicate or expand a project.
13. **Case studies or illustrations** are narration summaries based on personal interviews and group discussions with beneficiaries to depict their experience in programme processes and portray best practices and lessons learnt that can be replicated elsewhere.

Annex 2: PMUs Indicator Data Form

Programme Details

Country:	
Programme Title	
Programme Area:	
Implementing Agency:	
Period:	

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
BURUNDI							
Output 1: Tertiary wastewater collection network constructed and commissioned							
1	Km of tertiary wastewater collection network constructed and commissioned	n/a					
Output 2: The water treatment lagoon station commissioned and pre-treatment facilities operational							
1	Water treatment lagoon station constructed and commissioned	n/a					
2	Number of industrial enterprise units (most pollutant) equipped with waste water pre-treatment systems	n/a					
Output 3: Discharge standards established, approved and issued							
1	Discharge monitoring laboratory established, equipped and commissioned	n/a					
2	Number of laboratory and management staff trained	n/a					
3	Discharge standards published	n/a					
1	Strategy for raising urban community awareness developed	n/a					
2	Number of sensitisation and education materials produced	n/a					
3	Number of Radio and TV programmes broadcast	n/a					
4	Number of sensitization workshops held for identified groups	n/a					
5	Water quality control programme developed	n/a					

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
Output 5: Project implementation study updated and project effectively managed, monitored and evaluated							
1	MIS developed and maintained	n/a					
2	Project implementation study updated	n/a					
3	National Project Steering Committee meetings held on schedule	n/a					
DEMOCRATIC REPUBLIC OF CONGO							
Output 1: Government and community natural resource institutions reviewed and strengthened for achieving integrated catchment management							
1	Number of institutional agreements with community institutions in place.	n/a					
2	Number of government extension staff in place and functioning	Male					
		Female					
		Total					
3	Number of community institutions established	n/a					
Output 2: The water treatment lagoon station commissioned and pre-treatment facilities operational							
1	<i>Hydrological parameters linked to LT M&E process developed</i>	n/a					
2	Sediment reduction management plans for each river developed	n/a					
Output 3: Appropriate agroforestry practices and soil management needs assessed with stakeholders and popularly piloted in local farming systems							
1	Number (proportion) of farmers have adopted Agroforestry technique	Male					
		Female					
		Total					
2	Hectarage (proportion) of fields have shrub/ grassy hedges	n/a					
3	Number (proportion) of farmers who have adopted at least 1 anti-erosion technique	Male					
		Female					
		Total					
4	Number of agroforestry plants distributed	n/a					
Output 4: Capacity of government and communities to manage successful catchment project activities sustainably; with appropriate agro-forestry species is strengthened							

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
1	Funding increases for catchment activity	n/a					
2	Increased staff allocation for catchment management	n/a					
Output 5: Old managed forest areas rehabilitated and new community and private woodlots established and sustainably managed regenerating appropriate forest cover							
1	Hectarage of old woodlots rehabilitated, or 80% of old woodlots are rehabilitated	n/a					
2	Hectarage of plantations are established	n/a					
3	At least 60 % of plantations have established a functional community management system	n/a					
Output 6: Appropriate energy-saving technologies assessed with stakeholders, advocated, piloted and widely adopted by targeted resource user groups							
1	Number (proportion) of households using improved stoves in Uvira City	n/a					
2	Number (proportion) of households using improved stoves in Uvira rural zones	n/a					
3	Number (proportion) household groups using charcoal ovens in Uvira City	n/a					
4	Number (proportion) of household groups using charcoal ovens in Uvira rural zones	n/a					
Output 7: Awareness of communities raised about soil erosion, deforestation and Agroforestry management issues in relation to local livelihoods and the conservation of Lake Tanganyika							
1	Number (proportion) of local community (residents) participated in popular workshops	Male					
		Female					
		Total					
2	Number (proportion) of primary and secondary school students participated in workshops	Male					
		Female					
		Total					
3	Number (proportion) of ILDs and NGOs and local administration workers participate in popular workshops	Male					
		Female					
		Total					
ZAMBIA							
Output 1: Sustainable natural resource use practices established							

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
1	The number (<i>proportion</i>) of HH practicing improved land use practices demonstrated in the project target areas	n/a					
2	The number (<i>proportion</i>) of HH practicing low input sustainable agricultural techniques	n/a					
3	<i>PFM type of forest management regimes developed and utilized in target forests</i>	n/a					
4	<i>Improvement in water quality measures in targeted demonstration sites</i>	n/a					
5	The number of HH in non project sites emulating the practices in project sites starts to increase in final year	n/a					
Output 2: Alternative income generating activities (IGAs) developed							
1	<i>30 percentage change in household income arising from alternative IGAs</i>	n/a					
2	Number of the HH in the target sites involved in alternative income generating activities	Male					
		Female					
		Total					
3	Number of households/or population benefiting from alternative income generating activities	Male					
		Female					
		Total					
Output 3: Awareness of stakeholders on the importance of sustainable natural resource management raised							
1	Number of local level programmes for natural resource co-management established and functional.	n/a					
2	Number of local leaders trained	Male					
		Female					
		Total					
3	Number of environmental management awareness materials and dissemination mechanisms developed	n/a					
4	Number of stakeholders reached by the environmental management campaigns	Male					
		Female					
		Total					
Output 4: Capacity of local governance structures for sustainable natural resource management enhanced							
1	Number of functional Community Conservation Committees.	n/a					

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
2	Number of By-laws enacted on CBNRM as a result of community lobbying	n/a					
3	Number of political leaders supporting enactment of by-laws for catchments conservation	n/a					
Output 5: Project efficiently and effectively managed, monitored and evaluated							
1	Appropriate Project baseline and benchmark outputs developed for monitoring project's planned results	n/a					
2	Appropriate number of project plans and reports available in a timely manner at different management	n/a					
General Comments, lessons learnt issues etc...							

Prepared by: Name: Title: Signature:..... Date:.....	Approved By: Name: Title: Signature:..... Date:.....
--	--

Annex 3: NCUs Indicator Data Form

Programme Details

Country:	
Programme Title	
Programme Area:	
Implementing Agency:	
Period:	

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
Output 1: Fisheries are developed and the environment protected in a sustainable manner							
1	Number of pilot villages adopting the joint fisheries management mechanism	n/a					
2	Number of landing places constructed/rehabilitated - fitted with basic infrastructure and equipment	n/a					
3	Number of sensitive (reproduction and early growth) areas protected from harmful fishing gear and practices	n/a					
4	Number of management committees established, and provided with monitoring and surveillance equipment	n/a					
5	Number of surveillance posts established and made operational with the participation of fishermen	n/a					
6	Hectarage of catchment areas protected with biological developments against erosion	n/a					
7	Hectarage of catchment areas protected with physical developments protected against erosion	n/a					
Output 2: The infrastructure is rehabilitated and local development initiatives supported							
1	Number of latrines constructed by the Local Development Funds (LDF).	n/a					
3	Number of schools constructed by the Local Development Funds (LDF).	n/a					
4	Number of health centres constructed by the Local Development Funds (LDF).	n/a					

5	Number of diversification micro-projects funded for the most vulnerable population groups (of whom 60% are women)	n/a					
6	Number of lake transport micro-projects funded for the most vulnerable population groups	n/a					
7	Kilometres of agricultural feeder roads rehabilitated	n/a					
8	Number of rural markets constructed	n/a					
Output 3: Institutional capacities have been strengthened							
1	Number of operators trained locally in responsible fisheries and management practices	Male					
		Female					
		Total					
2	Number of operators' associations in the fisheries sub-sector established and/or revitalized	Male					
		Female					
		Total					
3	Number of employees of decentralized local authorities and administrations trained - 40% women	Male					
		Female					
		Total					
4	Number of managerial staff trained (fisheries, environment and fisheries research departments - 30% women)	Male					
		Female					
		Total					
5	Number of technicians trained (from fisheries, environment and fisheries research departments - 30% women)	Male					
		Female					
		Total					
6	Number of sensitization campaigns on the sustainable management of fisheries and IEC methods undertaken with the communities	n/a					
General Comments, lessons learnt issues etc							

Prepared by:	Approved By:
Name:	Name:
Title:	Title:
Signature:.....	Signature:.....
Date:.....	Date:.....

Annex 4: RCUs Indicator Data Form

Programme Details

Country:	
Programme Title	
Implementing Agency:	
Period:	

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
General Comments, lessons learnt issues etc...							

Prepared by:	Approved By:
Name:	Name:
Title:	Title:
Signature:.....	Signature:.....
Date:.....	Date:.....

Annex 5: LTA Indicator Data Form

Programme Details

Country:	
Programme Title	
Implementing Agency:	
Period:	

No.	Indicators	Disaggregation	Overall Project target	Target this period	Actual Achieved	Accumulated Achievement	Reason for Programmatic Deviation and other comments
LTA Secretariat Coordination Functions							
1	Number of LTA MC and CoM meeting held	n/a					
2	Number of Protocols to Convention established	n/a					
3	Numbers of policies harmonized	n/a					
4	<i>Additional resources leveraged for activities and sustainability</i>	n/a					
5	Lake Tanganyika Strategic Action Plan updated	n/a					
6	Number of regional master plans established	n/a					
7	LTA website developed and maintained	n/a					
8	Information resource centre developed and maintained	n/a					
9	Number of supervision missions undertaken	n/a					
10	Standardization of parameters and targets for Lake Tanganyika monitoring established	n/a					
11	Two reports prepared annually to support decision-making at regional level	n/a					
12	Number of regional and international workshops seminars participated	n/a					
General Comments, lessons learnt issues etc...							

Prepared by:	Approved By:
Name:	Name:
Title:	Title:
Signature:.....	Signature:.....
Date:.....	Date:.....

Annex 6: Guideline for the Indicator Data Forms

Program Details

1. Country (Fill in country name)
2. Programme Title (Fill in Programme name)
3. Programme Area (Fill the District you are operating in)
4. Implementing Agency (Fill name of your unit)
5. Period (Fill in the months of the quarter under review- e.g. January to March 2009)

The Table

6. Indicators

These are Indicators as determined in the Programme document and will be reviewed from time to time.

7. Overall Project Target

These are total value of the target expected to be achieved for the indicator at the end of the Programme in your Project site or area.

8. Intended targets column

These are the targets planned for the particular period you are reporting on as indicated in the workplan.

9. Actual achieved column

These should be actual numbers or value you achieved after implementing the planned activity for that indicator. Where no activity was conducted, fill in zero (0) and do not leave it blank.

10. Accumulated Achievement

These are the numbers or value that you have achieved for the indicator from start of the Programme up to the period you are reporting

11. Reason for program deviation column

This should be the reason which explains why the target was under achieved or over achieved. Avoid tabulating the same reason for program deviation for all the activities.

12. General Comments, lessons learnt, issues etc column

This should bring out some of the challenges, lessons or issues that came out during programme implementation.

13. Prepared By

Name (Fill in the name of the individual compiling the report)

Title (Fill in the designation/position in the institution of the person compiling the report)

Signature (The individual compiling the report should endorse it with their signature)

14. Approved By

Name (Fill in the name of the individual verifying/checking or approving the report)

Title (Fill in the designation/position in the institution of the person approving the report)

Signature (This is the endorsement of the individual approving the report)

Wherever possible, attach supporting documentation for all figures appended in the 'actual achieved' column, e.g., a Training Report with attendance sheet.

Annex 7: LTA Annual Workplan and Budget Format

RESULT(S) / OUTPUTS	PLANNED ACTIVITIES	2009												RESPONSIBLE PERSON	BUDGET (USD)		INPUTS
		Qrt.1			Qrt.2			Qrt.3			Qrt.4				Source of Funds	Amount	
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec				
D-M&E fully oriented with LTA objectives and activities	Document reviews and internal consultations. M&E: D-M&E fully oriented													D-M&E	n/a	--	SAP, Convention, UNDP/GEF and AfDB Project docs., etc

Annex 8: LTA AWPB Implementation Monitoring Form

Programme Details

Country:	
Implementing Agency:	
Programme Area:	
Responsible Person (and/or partner):	
Reporting Period:	

NO.	COMPONENT / OUTPUT	PLANNED ACTIVITY (P)	TARGET		ACHIEVEMENTS (A)	A/P (%)	BUDGET	EXPENDITURE	COMMENTS/ACTIONS REQUIRED
			UNIT	QTY					

NO.	COMPONENT / OUTPUT	PLANNED ACTIVITY (P)	TARGET		ACHIEVEMENTS (A)	A/P (%)	BUDGET	EXPENDITURE	COMMENTS/ACTIONS REQUIRED
			UNIT	QTY					

Annex 9: LTA Progress Report Format

TITLE PAGE (as per required layout and Logos)

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LIST OF FIGURES

ABBREVIATIONS

EXECUTIVE SUMMARY

This should be brief (not more than one and half pages) and should contain the main highlights in the report, especially major achievements and issues that need to be attended to by the Project Management.

1.0INTRODUCTION

The Introduction should give a concise project description (not more than 2 pages). The Introduction is therefore required in order for the reader (especially new ones) not to have to read other project documents in order to understand the project and the report. This part should include such information as general background to the project, main features and component objectives.

2.0 ACTIVITY IMPLEMENTATION AND ACHIEVEMENTS

Firstly, this section should give an overview of the planned activities during the review period (workplan). Secondly, the section should discuss the output/activity achievements including an analysis of the implementation process. This part should also include some pictures to show some of activities visually.

This chapter explains the data or information recorded on to the Activity Report Forms for the period under review. The Activity Report Forms should be included as Annex to the report

3.0 FINANCIAL PERFORMANCE

This is a descript part and should indicate the receipts of funds and sources of funds. The expenditure of the funds should also be described according to cost categories. Tables can be used to explain issues clearly.

The community contribution in monetary terms should also be indicated here. This is very important so that community contribution (usually in kind) is properly documented as part of the programme. The details of the financial reports in tabular form should then be attached as an Annex.

4.0 CONSTRAINTS AND RECOMMENDATION

4.1 Constraints

4.2 Recommendation

State clearly the constraints encountered in the review period and what you would like to be done to solve them (Recommendations). However, your recommendations should be as reality as possible and should take into account inherent constraints.

6.0 CONCLUSION

The last part should be your conclusion and here you should state what you feel is the general overview in term of progress in project implementation in the period under review.

ANNEXES

- Annex 1: Activity Report Forms**
- Annex 2: Financial Report**
- Annex 3: Any Supporting Documents that might be important (e.g., Technical Reports, District Reports, etc.**

PROPOSAL OF THE PROVISIONAL AGENDA FOR THE FOURTH MANAGEMENT COMMITTEE MEETING OF THE LAKE TANGANYIKA AUTHORITY

Day 1

- 1 Opening of the meeting
- 2 Adoption of the agenda
- 3 Election of the bureau
- 4 Adoption of the report of the 3rd Session
Coffee/Tea break
- 5 Issues rising from the 3rd Session
 - 5.1 Terms of reference on water level fluctuation, deforestation and sedimentation
 - 5.2 Terms of reference for the Regional Steering Committee
 - 5.3 Report of the extraordinary session of May 2010
 - 5.4 Terms of reference of the investigation mission in the riparian states on the issues related to the level of water fluctuation, deforestation and increase of sedimentation
 - 5.5 LTA/FAO Assistance Agreement
 - 5.6 AfDB and IUCN status within the LTA meetings
 - 5.7 Fundraising
- 6 Endorsement of the Director of Fisheries
Lunch break
- 7 Project Programme/Activities, LTA Work plan and budgets
 - 7.1 LTA and UNDP/GEF project activity report
 - 7.2 Disbursement of AfDB funds to riparian governments
 - 7.3 Report of the AfDB funded activities
Coffee/Tea break
 Project Programme/Activities, LTA work plan and budgets (Continuation) and,
End of activities day 1.

Day 2

- 8 Project Programme/Activities, NCU work plan and budgets
 - 8.1 Activity report of the NCU of the UNDP/GEF national project
 - 8.2 Project Programme/Activities, NCU work plan and budgets of the (Continuation)
Coffee/Tea break
- 9 Proposals for amendment of the Convention on Sustainable Management of the Lake Tanganyika
- 10 Situation of national contributions
- 11 The request of Rwanda for joining the LTA Convention
- 12 Resources mobilization
- 13 Collaboration agreements between the LTA and other regional institutions
Coffee/Tea break
- 14 Amendment of the present Convention
- 15 Preparation of the provisional agenda of the fourth Conference of Ministers
- 16 Date and venue of the fifth Management Committee meeting
- 17 Any other business
End activities of day 2



Draft

**FUNDRAISING STRATEGY
FOR THE LAKE TANGANYIKA AUTHORITY**

- covering the period:2011 – 2015 -

May, 2010

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Acronyms and Abbreviations

ADB	African Development Bank
AWPB	Annual Work Plan and Budget
CoM	Conference of Ministers
FAO	Food and Agriculture Organization of the United Nations
FFMP	Framework Fisheries Management Plan
GEF	Global Environment Facility
IUCN	International Union for Conservation of Nature
LT	Lake Tanganyika
LTA	Lake Tanganyika Authority
LTCIF	Lake Tanganyika Convention Implementation Fund
LTCL	Lake Tanganyika Conservation Levy
LTEF	Lake Tanganyika Endowment Fund
LTF	Lake Tanganyika Friends
LTFTF	Lake Tanganyika Friends Trust Fund
LTRIDMP	Lake Tanganyika Regional Integrated Development and Management Programme
MC	Management Committee
NDF	Nordic Development Fund
PRODAP	Project to Support the Lake Tanganyika Integrated Regional Development Programme
SAP	Strategic Action Programme
UNDP	United Nations Development Programme

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INTRODUCTION

Mindful of the need to ensure long-term financial sustainability, the Republic of Burundi, the Democratic Republic of Congo, the United Republic of Tanzania and the Republic of Zambia - the four Lake Tanganyika riparian countries committed themselves to making contributions to the Lake Tanganyika Authority (LTA) at the first meeting of the Conference of Ministers (CoM) held in Dar es Salaam, United Republic of Tanzania in April, 2007. The CoM passed resolutions calling for collective actions to mobilize financial resources and called upon international agency partners to provide support to the LTA. The CoM also directed the Executive Director, together with the Management Committee (MC) to actively seek resources for financing senior staff positions within the LTA. The decisions and resolutions made by the CoM took into consideration the provisions of Article 28 of the Convention on Sustainable Management of Lake Tanganyika which was signed on 12th June 2003 by all the four riparian countries. Article 28 of the Convention is included in Annex I of this Fundraising Strategy.

At the second sitting of the CoM held in Bujumbura, Republic of Burundi in April, 2008, the ministers from the four riparian countries signed a resolution (Annex II) to confirm their commitments in making contributions to the LTA in accordance with Article 28 of the Convention on Sustainable Management of Lake Tanganyika.

At the third sitting of the CoM held in Uvira, Democratic Republic of Congo in August, 2009, the ministers reaffirmed their commitments to making contributions to the LTA and called upon the international agency partners to continue their support. Furthermore, the ministers endorsed the MC recommendation for the Executive Director to prepare the Fundraising Strategy in consultation with the four riparian countries.

OBJECTIVES

This Fundraising Strategy presents a number of options for resource mobilization in order to provide long-term financial sustainability for the LTA. The Fundraising Strategy proposals are intended to add value to the current resource mobilization achievements made by the riparian countries and development partners. The specific objectives are to:

- a) Strengthen the current funding mechanisms;
- b) Develop fundraising mechanisms starting with riparian countries own resource assets to support implementation of the Convention on Sustainable Management of Lake Tanganyika;
- c) Propose funding mechanisms aimed at providing long-term financial sustainability for the LTA; and
- d) Expand sources of funding in order to increase LTA's independence and flexibility to implement programme and project activities and to reduce excessive reliance on external funding.

In addition to the above objectives, the Fundraising Strategy presents a framework for action at national and regional levels for increasing financial resources from multiple sources. The riparian countries through the CoM will be expected to adopt protocols to formally establish funding mechanisms. The LTA Secretariat will facilitate drafting of the relevant protocols to be discussed and reviewed by the MC before adoption by the CoM.

SITUATIONAL ANALYSIS

The four LT riparian countries (the Contracting States) established the LTA in accordance with Article 24 of the Convention on Sustainable Management of Lake Tanganyika. The major function of the LTA is to oversee implementation of the Lake Tanganyika Regional Integrated Development and Management Programme (LTRIDMP). The LTRIDMP is intended to bring about integrated sustainable management and protection of Lake Tanganyika and its Basin and to alleviate poverty and improve the socio-economic development of the riparian populations. Broad functions of the LTA as described in Article 23 of the Convention are:

- Coordinate the implementation of the Convention;
- Coordinate implementation of the decisions of the CoM in accordance with the Convention; and
- Advance and represent the common interests of the Contracting States in matters concerning the management of Lake Tanganyika and its Basin (Figure 1).

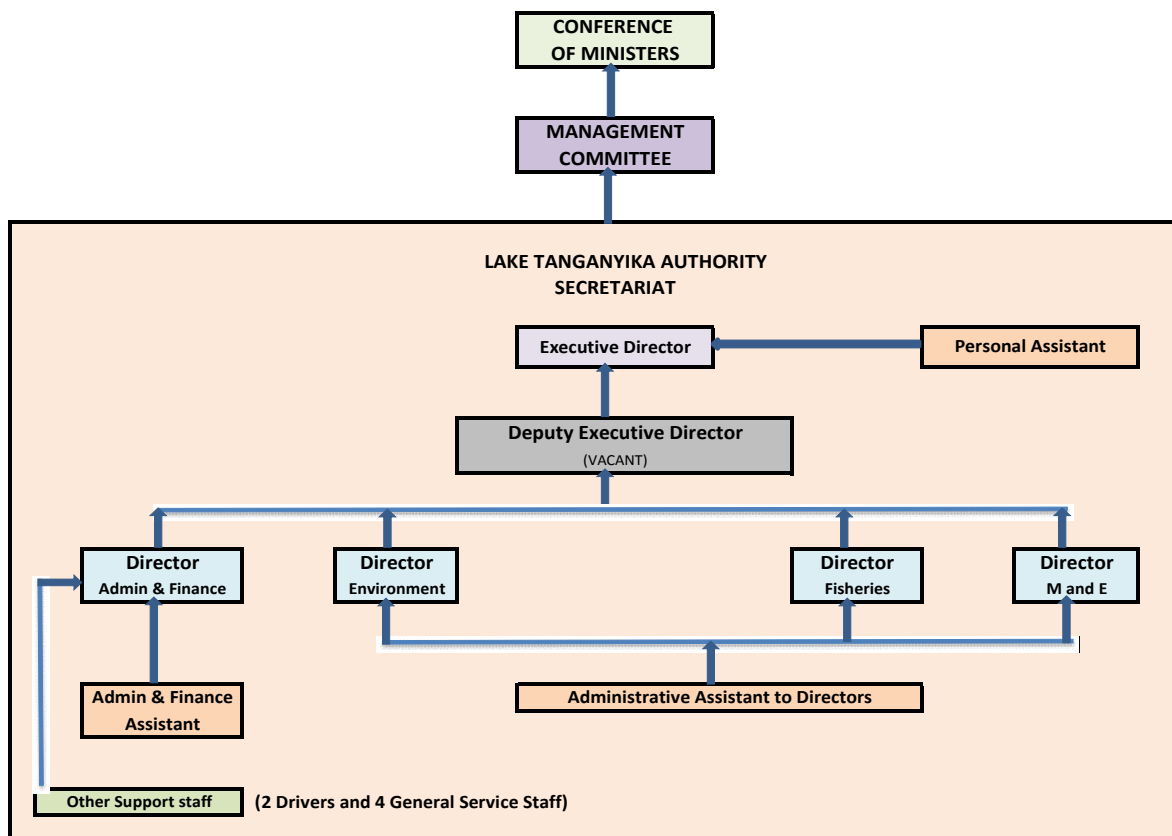


Figure 5: LTA Structure and reporting lines

Staff Development Plan (2011 – 2015)

To effectively meet the mandate set out in the Convention on Sustainable Management of Lake Tanganyika, the LTA will need additional human, financial and technical resources. A brief discussion of the senior staff responsibilities and additional resources needed over the next five years are summarized below.

Executive Administration

The Executive Administration consists of the Executive Director; the Deputy Executive Director and support staff assigned to the two offices. By the end of April 2010, only the Executive Director position and the Personal Assistant (Secretary) to the Executive Director had been filled. The LTA Secretariat is under the direction of the Executive Director who is the chief executive officer and who represents the LTA in the exercise of its legal personality.

Article 26 of the Convention on Sustainable Management of Lake Tanganyika states that the Secretariat of the LTA *shall comprise an Executive Director, a Deputy Executive Director and any other staff that may be required for its operation*. At its first sitting, the CoM meeting considered candidates for appointment to the Executive Director and Deputy Executive Director positions under agenda item 7. Only the Executive Director was appointed because the position had 12 months support from United Nations Development Programme / Global Environment Facility (UNDP/GEF). The Conference noted the need to mobilize resources to finance the position of Deputy Executive Director and resolution 5 (Annex IV) was adopted. The LTA Secretariat proposes to hire three Executive Administration positions in 2011: the Deputy Executive Director, the Legal Counsel and Professional Translator.

Administration and Finance Directorate

This Directorate is headed by the Director of Administration and Finance and is responsible for administration and financial management including procurement of materials and services for the LTA. The Directorate has the overall supervision of the General Service Staff members. It also has coordination and

oversight functions related to financial accountancy of programme and project activities directly or indirectly under the LTA. The LTA Secretariat proposes to hire one Personal Assistant for the Deputy Executive Director, one Accountant and two Drivers in 2011.

Environmental Management Directorate

The Environmental Management Directorate is headed by the Director of Environment. The Directorate functions are targeted at coordinating the regional activities and programmes concerning the sustainable management of the resources of Lake Tanganyika and its Basin with particular focus on the environment. The Directorate is also responsible for providing leadership in the implementation of the Strategic Action Programme (SAP) in close collaboration with the Fisheries Management Directorate and supporting partners. The process of updating the current SAP and providing regional and national oversight in the implementation of the revised SAP is another key responsibility under this Directorate. The LTA Secretariat proposes to hire one Environmental Management Officer in 2011.

Fisheries Management Directorate

The Fisheries Management Directorate is headed by the Director of Fisheries. The Directorate functions are targeted at coordinating the regional activities and programmes concerning the sustainable management of the resources of Lake Tanganyika and its Basin with particular focus on the fisheries. The Directorate is also responsible for providing leadership in the implementation of the Framework Fisheries Management Plan (FFMP) in close collaboration with the Environmental Management Directorate and supporting partners. The process of updating the current FFMP and providing regional and national oversight in the implementation of the revised FFMP is another key responsibility under this Directorate. The LTA Secretariat proposes to hire one Fisheries Management Officer in 2011.

Monitoring and Evaluation Directorate

The Monitoring and Evaluation Directorate is headed by the Director of Monitoring and Evaluation and is responsible for overall monitoring and evaluation of LTA programmes and projects in the Lake Tanganyika and its Basin. The Directorate is also responsible for providing leadership in the development of a regional and harmonized Lake Tanganyika monitoring programme in close collaboration with supporting partners, the Environmental Management and Fisheries Management Directorates. Furthermore, the Directorate will play a leading role in overseeing the implementation of the regional and harmonized Lake Tanganyika monitoring programme at both regional and national levels. The LTA Secretariat proposes to hire one Information and Database Officer and one Data Entry Clerk to assist with website maintenance and update as well as database management.

Asset register and additional resource requirements

The key assets of the LTA Secretariat are included in Annex V. At the moment, the LTA Secretariat has only two motor vehicles which were procured through the grant from African Development Bank (ADB). These two vehicles are insufficient to service the Executive Administration and the four Directorates. The LTA Secretariat has proposed to procure two additional vehicles in 2010 using funds from the national contributions. In 2011, the LTA Secretariat plans to procure one more vehicle either from national contributions or supporting partner contributions.

Table 1 below presents a summary of the budget projections envisaged by the LTA Secretariat to effectively support implementation of regional and national activities and the increased staff establishment over the five year period.

Table 8: Five Year Projections for the LTA staff and Operational Requirements

BUDGET ITEM	BUDGET PROJECTIONS (USD)					TOTAL (USD)
	2011	2012	2013	2014	2015	
I. Salaries & other entitlements for LTA Staff						
1. Salaries	556,000.00	564,000.00	564,000.00	564,000.00	564,000.00	2,812,000.00
2. Demobilization fees	5,000.00	5,000.00	5,000.00	5,000.00	5,000.00	25,000.00
3. Gratuities	54,000.00	54,000.00	54,000.00	54,000.00	54,000.00	270,000.00
4. Leave Allowance	20,600.00	20,600.00	20,600.00	20,600.00	20,600.00	103,000.00
5. School Allowance	10,000.00	10,000.00	10,000.00	10,000.00	10,000.00	50,000.00
Sub-Total	645,600.00	653,600.00	653,600.00	653,600.00	653,600.00	3,260,000.00
II. Travel Expenses						
Travel Expenses	100,000.00	120,000.00	130,000.00	140,000.00	150,000.00	640,000.00
III. Technical Assistance*						
International and Regional Technical Assistance	325,000.00	410,000.00	500,000.00	500,000.00	500,000.00	735,000.00
IV. Materials & Equipment						
Materials and Equipment	250,000.00	250,000.00	100,000.00	90,000.00	90,000.00	780,000.00
V. MC and CoM activities						
¹ . MC and CoM ordinary meetings	110,000.00	120,000.00	130,000.00	140,000.00	150,000.00	650,000.00
2. Other MC and CoM support activities	100,000.00	200,000.00	200,000.00	200,000.00	200,000.00	900,000.00
Sub-Total	210,000.00	320,000.00	330,000.00	340,000.00	350,000.00	1,550,000.00
VI. Fisheries Management and Environmental Management / Protection*						
¹ . Fisheries Management	900,000.00	1,200,000.00	1,500,000.00	2,000,000.00	2,500,000.00	8,100,000.00
2. Environmental Management	900,000.00	1,200,000.00	1,500,000.00	2,000,000.00	2,500,000.00	8,100,000.00
3. Ecosystem Management Programme		1,000,000.00	1,500,000.00	2,000,000.00	2,000,000.00	6,500,000.00
4. Special studies	100,000.00	150,000.00	150,000.00	150,000.00	150,000.00	700,000.00
Sub-Total	1,900,000.00	3,550,000.00	4,650,000.00	6,150,000.00	7,150,000.00	23,400,000.00
VII. Monitoring and Management System*						
Harmonized	80,000	90,000	100,000	110,000	120,000	410,000.00

BUDGET ITEM	BUDGET PROJECTIONS (USD)					TOTAL (USD)
national/regional monitoring programme						
VIII. Other Administration and Financial Management Costs						
1. Bank charges	10,000.00	10,000.00	10,000.00	13,000.00	13,000.00	56,000.00
2. Security services	4,200.00	4,200.00	4,200.00	4,200.00	4,200.00	21,000.00
Sub-Total	14,200.00	14,200.00	14,200.00	17,200.00	17,200.00	77,000.00
IX. Other recurrent costs						
Office supplies and other requirements	40,000.00	40,000.00	40,000.00	40,000.00	40,000.00	200,000.00
X. National Coordination Units						
Staff remunerations and other entitlements	960,000.00	960,000.00	960,000.00	960,000.00	960,000.00	4,800,000.00
OVERALL TOTAL	4,524,800.00	6,047,800.00	6,577,800.00	8,100,800.00	9,130,800.00	34,382,000.00
*The figures for III, VI and VII may significantly change depending on the success rate of our project resource mobilization efforts						

CURRENT AND PROPOSED FUNDING MECHANISMS

At the second CoM meeting, the ministers underlined the necessity to make provisions in the riparian governments' national budgets and collectively agreed to make annual contributions in equal proportions at the level of US\$303,900 and to make provisions to support initial project operations. Based on the envisaged staff increase and programme/project activities over the five year period, the LTA proposes that annual contributions for each riparian government starting from 2011 should be US\$435,000.

At all the three sittings of the CoM, the riparian governments committed themselves to making contributions to the LTA. However, meeting these commitments in a timely manner remains to be a critical constraining factor on the LTA programme implementation and project implementation oversight.

Current Funding Mechanisms

Currently, there are two funding mechanisms: national contributions from riparian governments and support from development partners. Table 2 gives the details of contributions to the LTA by the end of 2009.

Table 9: Contracting States and Development Partners contributions by 31 December 2009

Contracting State/ Development Partner	Amount Due(USD)	Actual Amount Received (USD)	Balance (USD)	Percentage (%) paid
Burundi	303,900.00	323,700.37	-19,800.37	106.52%
D.R. Congo	303,900.00	0.00	303,900.00	0.00%
Tanzania	303,900.00	297,437.96 ¹	0.00	100.00%
Zambia	303,900.00	18,924.39 ²	284,975.61	6.23%
ADB	1,457,250.00	111,772.13	1,345,477.87	7.67%
UNDP/GEF	324,165.00	322,453.27	1,711.73	99.47%
TOTAL	2,977,015.00	1,074,288.12	1,916,264.84	36.00%

Comments

1 – Tanzania remitted full national contributions but USD 6,462.04 went to transfer charges

2 – Zambia remitted second instalment of USD 137,894.73 on April 13, 2010

As indicated in Table 1, LTA received 52.65% of the national contributions out of the total amount (US\$1,215,600) from the riparian governments while only 7.67% and 99.47% contributions were received from the African Development Bank (ADB) and UNDP/GEF respectively. The following suggestions are recommended for consideration by the MC and for adoption by the CoM in order to ensure that national contributions from the riparian governments get to the LTA in good time:

- a) Hold MC meeting at the beginning of the last quarter (October) of each financial year to review the LTA's Annual Work Plan and Budget (AWPB) for the subsequent financial year;
- b) Present the AWPB to the CoM immediately after the MC meeting for approval;
- c) Make provisions for the approved budget on each riparian government's national budgetary allocations; and
- d) Each riparian government should remit full national contributions not later than the end of January of every financial year.

The ADB, UNDP/GEF, the Food and Agriculture Organization of the United Nations (FAO), the International Union for Conservation of Nature (IUCN) and the Nordic Development Fund (NDF) have supported the riparian governments in the process of establishing the LTA. At the time of preparing this Fundraising Strategy, only ADB and UNDP/GEF were providing support to the LTA while NDF was providing support directly to the Tanzania component of the Project to Support the Lake Tanganyika Integrated Regional Development Programme (PRODAP).

Proposed Funding Mechanisms

A list of options for resource mobilization in order to provide long-term financial sustainability for the LTA is proposed for consideration by the MC and adoption by the CoM.

i. Lake Tanganyika Convention Implementation Fund

The Lake Tanganyika Convention Implementation Fund (LTCIF) is proposed based on the provisions of Article 28 (5) of the Convention on Sustainable Management of Lake Tanganyika which states: *The Conference of Ministers shall, no later than its third meeting, discuss the adoption of a protocol to establish a fund or other financial mechanism to support the implementation of this Convention.*

The main goal of the LTCIF is to substantially enhance regional and national financial flows in order to support effective implementation of the Convention and to achieve the objective of the Convention as stated in Article 2. This should be viewed as both a national and regional commitment of the riparian governments and should be implemented through provision of annual contributions to the LTA in accordance with Article 28 (1) of the Convention which states: *The Contracting States shall contribute in equal proportions to the budget of the Authority unless otherwise agreed.* To effectively meet the commitments made in the Convention, riparian countries will be expected to mainstream management of shared Lake Tanganyika Basin natural resources in broader national planning processes. In addition to national contributions, the riparian countries and the LTA Secretariat in collaboration with the MC should embark on fundraising ventures.

LTCIF will be managed by the LTA Secretariat in accordance with the Financial Regulations approved at the third CoM meeting held in 2009 in Uvira, Democratic Republic of Congo. Compliance mechanisms will be stated in the protocol for the establishment of the LTCIF to be adopted at the fourth sitting of the CoM.

The LTCIF will be focused at achieving the following:

- a) Timely meeting the LTA staff and National Coordination Units (NCUs) staff remunerations and entitlements;
- b) Substantial contribution to LTA Secretariat's efforts in overseeing the Contracting States' implementation of the Convention;
- c) Procurement of works, goods and services;
- d) Support LTA Secretariat's efforts in developing mechanisms and overseeing implementation of such mechanisms in effective implementation of the Convention; and
- e) Engage services of long-term professional fundraiser(s) who will be given specific minimum targets to achieve annually.

ii. Lake Tanganyika Endowment Fund (LTEF)

Each LT riparian government will be expected to make a one-off contribution of not less than US\$375,000 to the Lake Tanganyika Endowment Fund (LTEF) and thereafter, invite national, regional and international organizations including previous and current supporting partners, United Nations development system and business / private sector entities to match or exceed the four riparian governments' collective contribution of not less than US\$1.5million.

LTEF will operate as a joint initiative between the riparian governments and supporting partners. A sub-committee of the MC consisting one member from the Ministry in charge of Finance and one representative of each supporting partner will constitute the Board of Trustees while the LTA Executive Director supported by the LTA Director of Administration and Finance will provide secretariat services. The target endowment capital is proposed to be between US\$ 8million and US\$ 10million which will be invested with a reputable Asset Manager or investment management firms. The income earned on capital investment will be utilised by the LTA under the guidance of the Board of Trustees and in accordance with the Financial Regulations approved at the third CoM meeting held in 2009 in Uvira, Democratic Republic of Congo.

The LTEF funds will be focused on the following areas:

- a) Implementation of environmental and fisheries management activities aimed at sustainable management of Lake Tanganyika and its Basin;
- b) Supplement LTCIF funds in meeting the LTA staff and National Coordination Units (NCUs) staff remunerations and entitlements;
- c) Management-driven research whose results will feed into the Lake Basin resources management decisions;
- d) Education and public awareness;
- e) Promote public participation in decision making processes and implementation of tools such as environmental monitoring;
- f) Communicate effectively LTA's programme and project activities to ensure that the stakeholders and partners remain supportive; and
- g) Support Technical Committees in performing their functions.

iii. Lake Tanganyika Friends Trust Fund (LTFTF)

There are a lot of people who have worked on Lake Tanganyika and/or its Basin who would like to make some contributions towards sustainable management of the natural resources. Others may not have necessarily worked on Lake Tanganyika and/or its Basin, but may be interested to support efforts to sustainably manage the resources of Lake Tanganyika and its Basin. The LTA Secretariat through the web-site and other means of communication would invite such people to constitute the Lake Tanganyika Friends (LTF) and to make contributions to the Lake Tanganyika Friends Trust Fund (LTFTF). This would offer an opportunity to the LTA to generate funding through LTF membership dues and subscriptions. The starting capital for the LTFTF would be contributions from the serving staff members of the LTA Secretariat, staff members of supporting projects, MC and CoM members. The target LTFTF starting capital is proposed to be between US\$ 200,000 and US\$ 250,000.

The LTFTF funds will be focused on the following areas:

- a) Education and public awareness including publication of newsletters;
- b) Fisheries and environmental monitoring data collection; and
- c) Short-term research based on management concerns.

iv. International and regional agency partners

The primary targets for this fundraising option are past and present supporting partners. Other target partners will be those whose operations are within the Lake Tanganyika Basin geographic area and/or who support sustainable management of shared lake basin resources. Solicitation for support will require active involvement of the two highest organs of the LTA: the CoM and MC. To justify the need for more funding, the riparian governments should first of all demonstrate their collective commitments in supporting the LTA. Furthermore, a detailed assessment of the socio-economic costs of the loss of biodiversity and its associated ecosystem services in the Lake Tanganyika Basin must be done. The benefits of immediate actions to reduce loss of biodiversity and its associated ecosystem services especially to the riparian populations must be documented. After this is done a

high-political level regional fundraising roundtable meeting should be called and the identified target international and regional agency partners should be invited.

v. *Innovative resource mobilization mechanisms*

To broaden the scope of resource mobilization for the LTA, a resource mobilization study must be commissioned to undertake research and analysis into innovative resource mobilization options. This may entail incorporating new ideas into the existing funding mechanisms or a departure from the traditional ways of raising funds. However, these efforts must be guided by the provisions of the Convention on Sustainable Management of Lake Tanganyika and must offer effective and creative answers to problems of unsustainable funding.

STRATEGY IMPLEMENTATION ARRANGEMENTS

Implementation arrangements for this Fundraising Strategy are proposed for consideration by the MC and adoption by the CoM:

- a) **Head of State hosted Lake Tanganyika Fundraising Conference:** The launching of this Fundraising Strategy should start at national levels with particular focus on the two funding mechanisms: LTCIF and LTEF. The Head of State should host the Lake Tanganyika Fundraising Conference. At the Conference, the Head of State should formally announce the government's commitment to supporting the LTA and use the occasion to hand over two cheques to the CoM member for the LTCIF and the LTEF. Thereafter, solicitation should be made for contributions from the private sector, international, regional and national organizations.
- b) **Lake Tanganyika Fundraising Regional Conference:** After the Head of State hosted Lake Tanganyika Fundraising Conference, the CoM should hold a Regional Fundraising Conference. At this Conference the protocols adopted for the creation of funding mechanisms should be formally signed. Each Head of Delegation would hand over the government's contribution to the LTA Executive Director. These contributions would go to the newly established funding mechanisms. The target participants would be supporting partners, sub-regional organizations and the private sector.
- c) **Fundraising Sub-Committee of the Management Committee:** The Management Committee should establish a Fundraising Sub-Committee consisting of representatives of the Ministries in charge of Finance and the LTA Secretariat. The Sub-Committee should be charged with the responsibility of working very closely with the LTA Secretariat to mobilize resources from national and regional sources.
- d) **Funding Proposals:** The LTA Secretariat should undertake a survey of relevant funding agencies and submit funding proposals and – where necessary – unsolicited funding proposals. In addition to raising funds through funding proposals, the LTA Secretariat should look for opportunities to enter into strategic partnerships with partners who may provide funds and/or services such as technical assistance, capacity building, joint resource management undertakings, etc.

CONCLUSION

The riparian countries and development partners have demonstrated their commitment in the establishment of the LTA and in supporting the organization's efforts in implementation of the Convention on Sustainable Management of Lake Tanganyika. However, substantial investments are required in order to put in place sustainable management strategies for the biodiversity of Lake Tanganyika and its Basin. To achieve long-term financial sustainability, the CoM should translate the fundraising suggestions contained in this Fundraising Strategy into action and should consider financial resources and mechanisms as a standing agenda item at future ordinary and extra-ordinary MC and CoM meetings.

Finally, this Fundraising Strategy presents a starting point for development of a long-term Fundraising Strategy. However, more research and analysis should be undertaken to come up with more viable, innovative and long-term options for sustainable resource mobilization. In order to ensure sustainability, the new funding mechanisms must be seen as adding value or complementing the on-going efforts supported by riparian governments.

Article 28. FINANCIAL RESOURCES

1. The Contracting States shall contribute in equal proportions to the budget of the Authority unless otherwise agreed.
2. The Authority shall seek to obtain funds for its operation and for projects from donors and other sources.
3. The Authority shall, as far its financial resources permit, fund:
 - a. the incremental costs to each Contracting State of managing the Lake Basin on a cooperative basis; and
 - b. activities undertaken to implement the strategic action program in as far as these benefit more than one of the Contracting States.
4. Each Contracting State shall fund those activities related to the implementation of the present Convention that are undertaken within its territory or for its exclusive benefit, unless otherwise agreed by the Conference of Ministers.
5. The Conference of Ministers shall, no later than its third meeting, discuss the adoption of a protocol to establish a fund or other financial mechanism to support the implementation of this Convention.

Annex II: Resolution signed by the Ministers at the second sitting of the Conference of Ministers on the status of the Lake Tanganyika Authority Secretariat and the Regional Programme for Integrated management of the Lake Tanganyika

The Conference of Ministers,

Recalling the Dar es Salaam Declaration of fifth April 2007, issued on the occasion of the First Lake Tanganyika Conference of Ministers, and formally establishing the Lake Tanganyika Authority as provided for in the Convention on the Sustainable Management of Lake Tanganyika,

Noting with satisfaction the continued cooperation between the Lake Tanganyika States towards full implementation of the Convention for the Sustainable Management of Lake Tanganyika, as marked for example by the ratification of the Convention by the Democratic Republic of Congo in November 2007 and the signing of a Memorandum of Understanding between the Democratic Republic of Congo and the Lake Tanganyika Authority to allow the channeling of AfDB grant funds, reserved for the Regional Secretariat, to the Authority's account,

Taking further note of the substantial progress Contracting States have made in fulfilling the AfDB and Nordic Development Fund conditionalities for fund disbursement to the Regional Programme for the Integrated Management of Lake Tanganyika,

Acknowledging with gratitude the continued close consultation and collaboration between the Contracting States and the Lake Tanganyika Partner Agencies, including the AfDB, the Nordic Development Fund, UNDP/GEF, the IUCN and the FAO through its FishCode Programme, in working towards the full implementation of the Convention,

Appreciating the continued understanding of the principal funding agency Partners regarding the complexity of processes the Contracting States are following in order to fulfill all conditionalities for release of the first disbursement of loans and grants to support the Regional Programme for the Integrated Management of Lake Tanganyika,

Aware that it is crucial for the attainment of the goals set out in the Convention on the Sustainable Management to ensure the operational establishment of the Lake Tanganyika Authority and of the Regional Programme for the Integrated Management of Lake Tanganyika without further delay,

Recognizing the political will of the Lake Tanganyika States to achieve full and effective establishment of the Lake Tanganyika Authority and its Secretariat as soon as possible,

- 1. Stresses that the remaining conditionalities linked to the AfDB-funded project component of the Regional Programme for the Integrated Management of Lake Tanganyika at the national level need to be fully met no later than 31 May 2008, including, where appropriate, formal notification to the Bank of suitable candidates to serve in National Coordination Units, and formal notification to the Bank of the proof of establishment of National Coordination Units.*
- 2. Further stresses that the remaining conditionalities linked to the AfDB funded project component of the Regional Programme for the Integrated Management of Lake Tanganyika at the regional level need to be met no later than 31 May 2008, in particular concerning the formal notification to the Bank, by each country, of the names of their appointees to the Lake Tanganyika Management Committee, representing the sectors of Fisheries, Environment, Finance and Water respectively.*

3. Calls on the Governments of the Lake Tanganyika States to ensure the formal appointment, no later than 30 June 2008, of the National Coordinators and other experts to serve in the respective National Coordination Units.
4. Further calls on the Governments of the Lake Tanganyika States to ensure the formal appointment, no later than 30 June 2008, of the Executive Director and the Director of Finance and Administration of the Lake Tanganyika Authority's Secretariat.
5. Additionally calls on the Governments of the Lake Tanganyika States to ensure the formal appointment, no later than 31 July 2008, of the remaining Lake Tanganyika Authority Secretariat's Directors, namely the Director of Fisheries, the Director of Environment, and the Director of Monitoring and Evaluation.
6. Underlines the necessity for Contracting States to make provision in their respective national budgets in order to meet their annual national contribution obligation to the Lake Tanganyika Authority at the level agreed during the Second Meeting of the Lake Tanganyika Conference of Ministers, namely US\$303,900, and to make provision as well for funds to support initial project operations beginning in July 2008.

Resolved in Bujumbura, Republic of Burundi, this twenty-fifth day of April 2008, and signed by:

For the United Republic of Tanzania:

Hon. Dr. Bakili M. Buzi
Minister of State, Vice President's Office
Bujumbura

For the Republic of Burundi:

Hon. Antoine Kanyarukwa
Minister of Environment, Land Planning and Public Works

For the Republic of Rwanda:

For the Democratic Republic of Congo:

Hon. Prof. Jean-Louis Ndayishimiye
Minister of State, Prime Minister's Office
Kigali

Hon. Prof. Jean-Louis Ndayishimiye
Minister of State, Prime Minister's Office
Kigali

Annex III: Staff members of the Lake Tanganyika Authority Secretariat by the end of April 2010

No.	Name	Position	Date of Employment
1	Henry K. MWIMA	Executive Director	10 January 2009
2	Desire EBAKA LOMPOMBI	Director - Administration and Finance	10 January 2009
3	Gabriel HAKIZIMANA	Director - Environment	10 January 2009
4	Augustine MUTELEKESHA	Director - Monitoring and Evaluation	21 August 2009
5	Kaitira I. KATONDA	Director – Fisheries	08 March 2010
6	Christelle NIJIMBERE	Personal Assistant to Executive Director	14 August 2009
7	Liliane DEBEGE	Administration and Finance Assistant	14 August 2009
8	Pacifique NDORICIMPA	Administrative Assistant to Directors	14 August 2009
9	Philomène NDAYIZEYE	Gardener	26 February 2009
10	Aloys BARUNDURE	Messenger	26 February 2009
11	Odette NKURUNZIZA	Office Assistant	27 February 2009
12	Thomas RWASA	Messenger / Gardener	16 March 2009
13	Arnauld NZOJIYOBIRI	Driver	15 April 2010
14	Alain-Eli NDAYISHIMIYE	Driver	15 April 2010

Annex IV: Resolution of the first Lake Tanganyika Conference of Ministers on the Appointment of the Deputy Executive Director of the Lake Tanganyika Authority

The Conference of Ministers,

Recalling that article 26(4) of the Convention on the Sustainable Management of Lake Tanganyika provides for the appointment of a Deputy Executive Director by the Conference of Ministers,

Underscoring the importance of the position of Deputy Executive Director,

Acknowledging the work of the Regional Interview Panel constituted through the selection process to identify the most suitably qualified candidates in each Lake Tanganyika riparian State for the position of Executive Director,

Noting that, due to lack of resources to finance the post of Deputy Executive Director, the Regional Interview Panel did not undertake to select candidates for this post,

Further noting that the Second Ministerial Preparatory Meeting proposed that, upon availability of resources, the Deputy Executive Director either be recruited through a separate process or be chosen from the list of suitably qualified candidates recommended by the Regional Interview Panel for the post of Executive Director,

requests the Executive Director to advise the Conference of Ministers on the most appropriate course of action to follow with a view towards mobilizing sufficient resources for the appointment of the Deputy Executive Director.

Annex V: Asset Register of the Lake Tanganyika Authority by the end of April, 2010

Item	Number	Date Procured	Source of funds
Nissan Motor vehicles	2	January 2010	ADB
Groupe Generator 80 KVA	1	August 2009	Riparian Governments
Photocopier Canon IR 2022	1	January 2010	ADB
Binding machine	1	January 2010	ADB
Fax machine	1	January 2010	ADB
Portable HP Computer	3	February 2009	Riparian Governments
Portable HP Computer	1	December 2009	ADB
Printer Brother HL-2140	3	February 2009	Riparian Governments
Printer HP - 2035	6	January 2010	ADB
Printer colorjet CP 3505n	1	January 2010	ADB
Scanner HP scanjet 2400	3	February 2009	Riparian Governments
Scanner HP scanjet 2410	7	January 2010	ADB
UPS Mercury 800 VA	3	February 2009	Riparian Governments
UPS APC 750 VA	7	January 2010	ADB
Stabilizer EMKAY 1000 W	3	February 2009	Riparian Governments
Stabilizer STAC 1000 VA	7	January 2010	ADB
Desktop DELL Computer	7	January 2010	ADB
LCD Projector	1	February 2009	Riparian Governments
Wooden Office Cupboard	5	February 2009	Riparian Governments
Wooden Office Cupboard	7	November 2009	ADB
Wooden Office Table	4	February 2009	Riparian Governments
Wooden Office Table	6	November 2009	ADB
Office Chair	4	February 2009	Riparian Governments
Office Chair	6	November 2009	ADB
Visitor's Chair	8	February 2009	Riparian Governments
Visitor's Chair	12	November 2009	ADB
Landline Telephone	8	April 2009	Riparian Governments
Fire Extinguisher	2	April 2009	Riparian Governments

DRAFT TERMS OF REFERENCE FOR THE REGIONAL STEERING COMMITTEE

BACKGROUND

The second meeting of the Conference of Ministers held from 24th to 25th April, 2008 in Bujumbura, Republic of Burundi noted with approval the Management Committee's recommendation for regional coordination. To this effect, the following decision was made: ***To ensure coordination at the regional level, the Lake Tanganyika Management Committee will act as a Steering Committee for the regional components of both United Nations Development Programme – Global Environment Facility (UNDP/GEF) and African Development Bank (AfDB) projects which will make strategic decisions for both projects.*** The Conference of Ministers furthermore agreed that in addition to establishing the Regional Steering Committee (RSC), the National Steering Committees (NSCs) established as part of the AfDB conditionalities may act as Steering Committees in each of the four riparian countries to ensure coordination for the national components of the UNDP/GEF and AfDB projects.

MANDATE OF THE REGIONAL STEERING COMMITTEE

The mandate of the Regional Steering Committee (RSC) is to provide overall policy guidance and to make strategic decisions for effective implementation of programme and project activities. Furthermore, the RSC will provide scientific and technical advice to the Lake Tanganyika Authority Secretariat (LTAS) and will oversee implementation of the Convention on Sustainable Management of Lake Tanganyika and the Lake Tanganyika Regional Integrated Development and Management Programme (LTRIDMP). The RSC specific terms of reference includes, but not limited to:

1. Review and approve Annual Work Plans and Budgets (AWPBs);
2. Help create linkages between the regional and national components of the LTRIDMP;
1. Provide guidance in the implementation, up-dating and validation of the Strategic Action Programme (SAP) and the Framework Fisheries Management Plan (FFMP);
2. Adopt members of the Technical Committees and provide them with terms of reference for their work in the implementation of the Convention on Sustainable Management of Lake Tanganyika and the LTRIDMP;
3. Advice on project staff recruitment and project staff composition for the supporting projects working within the framework of the LTRIDMP **whenever necessary**;
4. Provide guidance to the LTAS when negotiating with donors interested in supporting the LTRIDMP and help in mobilizing additional funding to support activities and outputs of the LTRIDMP;
5. Propose for approval by the Conference of Ministers any new project intending to support the LTRIDMP; and
6. Request the LTAS to undertake any other actions deemed necessary for the objective oriented implementation of the LTRIDMP.

RSC MEMBERSHIP

Membership of the RSC will be in accordance with Article 25 the Convention on Sustainable Management of Lake Tanganyika and the decision of the second sitting of the Conference of Ministers held in April, 2008. Additional members will be co-opted from the supporting and development partners. The current membership of the RSC is indicated below:

- Four voting members from each riparian country representing Ministries in charge of i) Fisheries, ii) Water, iii) Environment and iv) Finance;
- Two ex-officio members: LTA Executive Director and Deputy Executive Director who will be responsible for providing secretariat services; and
- One member from each of the development partners: UNDP-GEF, AfDB, Nordic Development Fund (NDF) and Food and Agriculture Organization of the United Nations (FAO).

The RSC may establish Sub-Committee(s) to provide focus and advice for specific tasks or activities. Members of Sub-Committee(s) will include the RSC voting and non-voting members and – if necessary – RSC non-members whose experience and expertise may be useful to the work of the Sub-Committee(s).

RSC MEETINGS

The Management Committee Rules of Procedure shall apply for the RSC. Specifically, the rules to guide the RSC meetings shall be as summarized below:

1. Three quarters of the voting members present shall constitute a quorum;
2. The RSC shall hold at least one ordinary annual meeting which shall be held back to back with the Management Committee ordinary annual meeting, unless the RSC and/or the Conference of Ministers decides otherwise;
3. The LTAS shall notify the RSC members of the date and place and provisional agenda of the meeting as early as possible but at least 30 days prior to the opening of the meeting;
4. In exceptional circumstances, the RSC may hold extraordinary meetings. An extraordinary meeting shall be held at any other time decided by the RSC or at the written request of the LTAS, the Conference of Ministers or any of the supporting development partners;
5. The provisional agenda for the meeting shall be drawn up by the Lake Tanganyika Authority (LTA) Executive Director, in consultation with the supporting development partner(s) and the Chairperson;
6. The provisional agenda of the meeting shall include:
 - a) Progress report covering the work done since the last meeting;
 - b) Items proposed by the supporting development partner(s);
 - c) Items requested for inclusion by the RSC at a previous meeting;
 - d) Items pertaining to the Annual Work Plan and Budgets;
 - e) Items pertaining to collaboration and coordination between regional and national components;
 - f) The report on the accounts;
 - g) Items pertaining to the implementation, up-dating and validation of SAP and FFMP; and
 - h) Any item which the Executive Director deems it necessary to put before the RSC.
7. Each voting member present shall be entitled to one vote only, save that in the event of an equality of votes the Chairperson shall have a second or casting vote;
8. A simple majority vote of voting members present at a meeting shall constitute a valid decision;
9. LTAS with support from supporting development partner(s) will take and compile proper minutes of the proceedings of all meetings, and a record of members present at each meeting; and
10. The minutes shall be signed by all RSC members (voting and non-voting) that attended the meeting in question, and shall be available at all times for inspection or copying by any member.

Advisors and observers may be allowed to participate in RSC meetings to provide information or expertise on a topic. However, the LTAS and the Chairperson must be given prior notification and only those advisors and observers invited by the LTAS will be allowed to participate in the meeting. Costs for participation of advisors and observers may be met by the party requesting for their participation.

If the RSC member has a direct or indirect pecuniary or personal interest in any of the topics under discussion, he/she is to declare such an interest or any other perceived or actual conflict of interest prior to discussion and decision-making. If a member declares such interest, the other RSC members will determine if the member should participate in the discussion and / or decision-making.

REVISION OF TERMS OF REFERENCE

RSC terms of reference will be reviewed at least every two years to determine if any amendments are necessary.

COMMUNICATION ON WATER LEVEL FLUCTUATIONS, DEFORESTATION AND SEDIMENTATION FACT-FINDING ACTIVITIES IMPLEMENTED AND PLANNED BY THE LTA AND UNDP-GEF PROJECT

The following communication refers to Item 5.3 in the report of the Management Committee Meeting that was held in August 19-20, 2009 (page 4), regarding the fact-finding mission on problems related to the decrease of water level, deforestation and sedimentation. During the discussion on this topic, the Management Committee requested the LTA Secretariat to prepare the terms of reference and ensure that fact-finding missions are regionally harmonized and coordinated.

Based on the fact that LTA Secretariat in collaboration with the UNDP/GEF Project Workplan include several activities relevant to the topics of water level fluctuations, deforestation and sedimentation, the Management Committee decided that this undertaking should be done as part of the activities included in the UNDP/GEF interventions. The Management Committee advised the LTA to ensure that a regional team of experts is constituted to undertake the task. Furthermore, the LTA Secretariat was tasked to coordinate the assignment in consultation with ICRAF and other organizations with relevant expertise and ensure that the task is undertaken by the end of March 2010.

The UNDP/GEF Project Workplan includes the following activities that are pertinent to the abovementioned topics:

Outcome 1, Output 2, Activity 2.1.2.d: *Collect regional data on relevant environmental parameters. Establish priority listing of parameters to be addressed, with understanding of causes of change. Establish draft standards for parameters. Present draft protocols for Convention including standards and implications for control. Establish legal implications of standards, monitoring and enforcement processes.*

Data can be collected in three different ways: a) through searches in **scientific literature**; b) inputs from **local/regional/international experts** who have collected data on relevant topics; and c) through the **Regional Integrated Environmental Monitoring Programme (RIEMP)** that is being setup by the LTA and UNDP/GEF Project (also see below, under Outcome 4).

Scientific literature is actively being collected by the LTA and PCU of the UNDP/GEF Project, and will be deposited in an online Documentation Centre as part of the LTA website so that it can be easily accessed by interested parties. This includes general scientific literature relevant to the topics of the SAP, as well as a focused overview of data on lake level fluctuations. An example of a brief overview is included in this communication as Appendix I.

As part of the SAP updating trajectory, the UNDP/GEF Project plans to recruit a consultant in order to collate available data and establish draft standards for parameters. This consultancy is planned to take place over a period of six weeks in the third and fourth quarter of 2010. A series of national technical workshops and regional consultancy workshops is planned, and will include a number of experts on the abovementioned topics. The draft TOR for this expert meeting is included as Appendix II.

As part of the consultancy that took place over a period of 10 weeks during January-March 2010 in order to establish the framework for the RIEMP, several institutions were identified that have a mandate to collect information relevant to the abovementioned topics (Appendix III). The report of this consultancy, as well as that of the associated workshop will be disseminated separately by the UNDP/GEF Project. The experts from these identified institutions are expected to play an active role in disseminating relevant data and information to the LTA (this includes ICRAF, see below). The LTA and UNDP/GEF Project are also reaching out to regional and international experts in order to solicit inputs from them.

Outcome 3, Output 1, Activity 1.1.1.b: Establish contract with World Agroforestry Centre (ICRAF) to provide advisory inputs for catchment management and sediment control; and **Activity 1.3.1.a.** Provide training in technological approaches (remote sensing, GIS) and participatory methods for sedimentation monitoring.

The UNDP/GEF Project has been working closely together with ICRAF and UNOPS over the past months, in order to establish adequate TOR, workplan, and contract. The contract between UNOPS and ICRAF was signed in April. The TOR for ICRAF is included as Appendix IV.

Outcome 4: Regional monitoring and management systems contribute to the long-term sustainable management of Lake Tanganyika.

The monitoring programme that is being established by the LTA through the UNDP/GEF Project in collaboration with a range of national, regional and international partners should form the basis for current and future data collection (also see comments mentioned under C). Also see Appendix V, which lists the annual workplan of the UNDP/GEF Project for 2010.

LIST OF APPENDICES

Appendix I. Brief overview of data relevant to enhancing our understanding of water level fluctuations in the Lake Tanganyika Basin.

Appendix II. Draft Terms of Reference for an Expert Meeting to discuss topics of water level fluctuations, sedimentation, and deforestation in the Lake Tanganyika Basin.

Appendix III. Overview of relevant topics and institutions identified as (potential) partners for data collection in the framework of the Lake Tanganyika Regional Integrated Environmental Monitoring Programme.

Appendix IV. Terms of Reference ICRAF.

Appendix V. Annual workplan of the UNDP/GEF Project for 2010

APPENDIX I. Brief overview of data relevant to enhancing our understanding of water level fluctuations in the Lake Tanganyika Basin.

Table 1. Geological history of Lake Tanganyika, including information on lake level fluctuations.

Epoch	Event	Date ¹	Reference
MIOCENE 5.3-23 ma	Formation of a flat basin with slowly meandering proto-Malagarasi river. Connection to the Congo basin hydrological system. NB: some estimates indicate that formation of the lake was initiated between ~25-15 Mya.	20-12 Ma	Tiercelin & Mondegue (1991), Cohen et al. (1993)
	Transformation of the proto-Malagarassi-Congo River in a swampy area with a mosaic of shallow lakes.	12-8	Tiercelin & Mondegue (1991), Cohen et al. (1993)
	Initiation of tectonic activity in northern Lake Tanganyika region (~7.8-5 Ma). Formation of the northern basin.	8-7	Lezzar et al. (1996), Cohen et al. (1997)
	Establishment of a truly lacustrine habitat. Subsidence of the graben produces progressively deeper lakes. Closing of the drainage system at the Lukuga outlet to the Congo river.	6-5	Tiercelin & Mondegue (1991)
PLIOCENE 1.8-5.3 ma	Formation of the southern basin. Pliocene regional aridification in East and Central Africa (~3-2 Ma).	4-2	Cohen et al. (1997)
	Strong tectonic activity on the Kivu-Ruzizi Volcanic Dome (~1.9 Ma). Major lake level decline (~650-700 m bpl). Separation of the northern, middle and southern basin. Small and probably saline lakes in the northern basin.	1.1	Lezzar et al. (1996), Cohen et al. (1997), Scholz & Rosendahl (1988) ²
	Rise of lake levels in the northern basin, evidence of sedimentation from the Proto-Ruzizi river basin drainage.	670-550 ka	Cohen et al. (1997)
PLEISTOCENE 10 ka -1.8 ma	Formation of Burton's Bay. Tectonically driven, and/or climatic driven low lake levels (~350 m bpl).	360-390	Cohen et al. (1997)
	Low lake level (~350 m bpl), followed by transgression in the northern basin between	290-260	Cohen et al. (1997)

~260-190 ka.

Low lake level (>400 m bpl³), followed by transgression in the northern basin between ~170-40 ka.

Low lake level (~350 m bpl).

Period of repeated fluctuations. Probably dry intervals at 42, 29, and 23 ka, causing intermediately low lake levels (~160 m bpl). Insufficient to separate the northern, middle and southern basin, but low enough to cause near-total desiccation of Burton's Bay in the north.

Continued lowering of lake levels, probably associated with a cooler and drier climate resulting from Late Pleistocene glaciation events. Minimum (~350 m bpl) around 18 ka. Possibly increase of precipitation and temperature from ~18-17 ka to ~15-14.5 ka.

Rising water levels. Increased waterflow through the Ruzizi river caused by upfolding of the Virunga volcanoes north of Lake Kivu. Establishment of post-glacial climatic conditions by ~12 ka, with increasing temperatures and humidity.

Intermittent closing and opening of Rusizi connection and intermittent establishment of open drainage via Lukuga river. Highest known water levels (784 asl) were presumably reached around 1878, re-establishing Lukuga outlet and causing flood in the Congo river. Regression (~40 m) between 1880 and 1890. Minor regressions during late 1920's, and 1950's. High lake levels after 1960's El Niño event. Minor regressions during mid-1970's and mid-1980's.

190-170 Cohen et al. (1997), Scholz et al. (2003)

55 Scholz et al. (2003)

45-20 Cohen et al. (1997), Scholz et al. (2003)

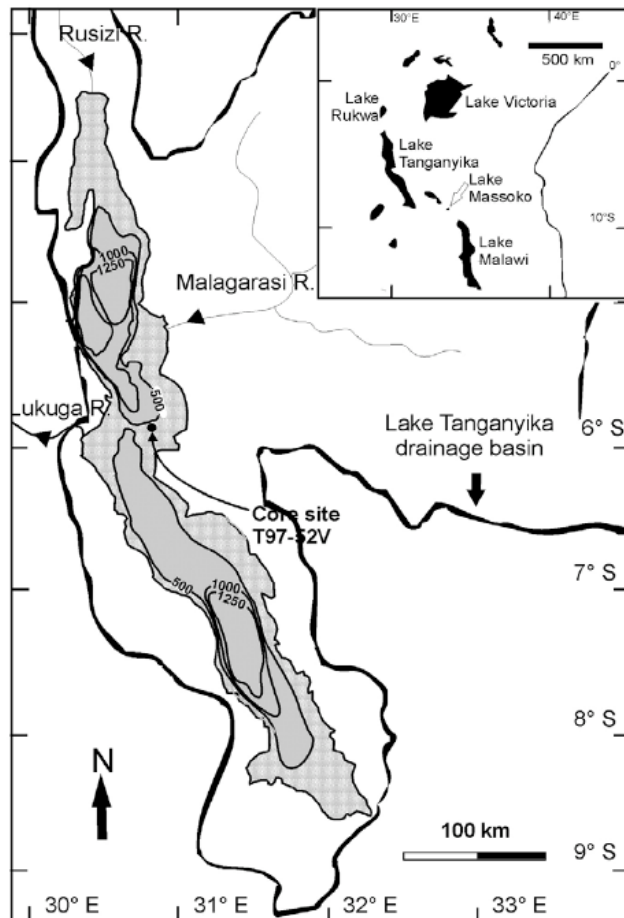
19-14 Gasse et al. (1989), Johnson (1996), Guiot & Tiercelin (1993), Cohen et al. (1997), Scholz et al. (2003), Gasse (2000)

12-9 Gasse et al. (1989), Tiercelin & Mondegue (1990), Guiot & Tiercelin (1993), Johnson (1996)

5-present Tiercelin & Mondegue (1990), Nicholson (1999)

¹Note that these are all approximate numbers that are subject to discussion and must be interpreted with caution. ²Scholz & Rosendahl (1988) estimated an age of 25,000 ya for a 600 m lake level decline in Lake Tanganyika, based on sedimentation rates of 1mm/year that were calculated for Lake Malawi. Tiercelin & Mondegue (1991) estimated a minimum of 200,000 years based on a rate of 0.5 mm/year sedimentation that was calculated for marine sediments. ³Scholz et al. (2003) estimated an age of between ~130-190 ya for a lake level drop of at least 400 m, probably as a response to the cool and arid tropical climate during the penultimate Pleistocene glaciation. Ma=million years ago; ka=thousand years ago; bpl=below present lake level (present=1990's); asl=above sea level.

As can be seen from the geological evidence listed in Table 1, water level fluctuations are a natural phenomenon, which has occurred since the formation of the lake millions of years ago. These fluctuations result from tectonic movements and climatic events in the Lake Tanganyika Basin region.



The image on the left shows the three basins that constitute Lake Tanganyika. (From Burnett et al. (2010) Tropical East African climate change and its relation to global climate: A record from Lake Tanganyika, Tropical East Africa, over the past 90+kyr, Palaeogeography, Palaeoclimatology, Palaeoecology, *in press*.)

Scientific papers cited here are available upon request from the UNDP/GEF Project PCU.

Table 1 will be updated with more recent scientific data, and disseminated via the LTA website as well as email.

Note that inputs from national meteorological institutions will be instrumental in updating the table with water level measurements and rainfall data over recent decades.

Draft Terms of Reference for the Team Of Experts On Water Level Fluctuations, Deforestation and Sedimentation Levels in the Lake Tanganyika Basin

BACKGROUND

During the second Management Committee (MC) meeting in Bujumbura, April 2008, members of the MC expressed their concern about problems related to water level fluctuations, sedimentation and deforestation that appeared to be increasing in the Lake Tanganyika Basin. It was agreed that urgent actions were necessary. The MC subsequently decided that the riparian countries should conduct investigations on the status of the above mentioned topics, disseminate the results, and present recommendations.

During the third MC meeting in Uvira, August 2009, the LTA Secretariat indicated that none of the four riparian countries had been able to undertake investigations on the abovementioned topics. The MC subsequently asked the LTA Secretariat to prepare terms of reference and ensure that relevant investigation activities are coordinated at the regional level.

After contemplating appropriate strategies and discussions between the LTA Secretariat and the Project Coordination Unit of the UNDP/GEF Project, it was concluded that the most efficient approach would be to solicit inputs from experts. The LTA secretariat in collaboration with the UNDP/GEF Project has planned several activities in order to obtain a better understanding of topics that are relevant to the Strategic Action Programme for Lake Tanganyika, including changes in lake water levels, deforestation and sedimentation rates. These activities include data collection, monitoring activities, and workshops. Experts involved in these activities will be invited to take part in data collection and analysis and in a multidisciplinary consultation workshop. The terms of reference for the experts are presented here.

OBJECTIVES

The objectives of the consultation workshop are to:

- Obtain an enhanced understanding of the current status and (expected) changes in water level, deforestation and sedimentation rates in the Lake Tanganyika Basin.
- Formulate recommendations for management activities.
- Disseminate the results of the consultancy workshop to the LTA, MC, UNDP/GEF Project and other relevant stakeholders.

COMPOSITION OF THE TEAM OF EXPERTS

The multidisciplinary team of experts will be supervised by the Executive Director of the LTA. The team of experts will consist of the following members:

- 1 Expert on lake level fluctuation patterns.
- 1 Representative of relevant meteorological institutions in the Lake Tanganyika Basin.
- 1 Expert on forest cover and land use in the Lake Tanganyika Basin.
- 1 Expert on sedimentation rates in the Lake Tanganyika Basin.

The team of experts will meet on the day following the regional meeting that is planned by the LTA Secretariat in collaboration with the UNDP/GEF Project in order to update the Strategic Action Programme. The team is expected to produce a report. The report will need to be available in English and French at least one month before the 4th MC meeting.

TASKS OF THE TEAM OF EXPERTS

The expert on lake level fluctuations will be expected to work closely together with representatives of meteorological institutions in order to formulate statements on regional patterns of changes in the water level of Lake Tanganyika.

The representative of relevant meteorological institutions in the Lake Tanganyika Basin will be expected to contribute data of rainfall patterns and other data necessary to obtain an enhanced understanding of changes in lake levels.

The expert on forest cover and land use will be expected to generate an overview of current patterns, and present scenarios of future changes.

The expert on sedimentation rates will be expected to focus on areas designated as pilot sites for sustainable catchment management activities.

Recruitment of Experts

The positions to be filled by the require experts will be advertised regionally and a panel consisting of MC members, the LTA Secretariat and supporting partners will form the Selection Panel to select the best candidates.

DRAFT PROPOSAL 1 TO AMEND THE PRESENT CONVENTION OF THE SUSTAINABLE MANAGEMENT OF LAKE TANGANYIKA

Note by the Secretariat:

Pursuant to Article 36 of the Convention on the Sustainable Management of Lake Tanganyika, the Secretariat is circulating a Proposal to amend the Convention jointly submitted by the Republic of Burundi, the Democratic Republic of Congo, the United Republic of Tanzania and the Republic of Zambia.

The Proposal:-

THE CONTRACTING STATES TO THE PRESENT CONVENTION,

HAVING CONSIDERED Article 36 of the Convention on the Sustainable Management of Lake Tanganyika signed on 12th June, 2003 in Dar Es Salaam, the United Republic of Tanzania,

HAVING NOTED that the Convention, which provides for the protection and conservation of the biological diversity and the sustainable use of the natural resources of the Lake Tanganyika and its Basin by the Contracting States on the basis of integrated and co-operative management entered in force on (to get the actual date from AU, the Depositary),

AFFIRMING the decision made by the Contracting States' second sitting of the Conference of Ministers on 24th April, 2008 in Bujumbura, the Republic of Burundi,

AWARE OF the need to ensure that the decision of the Contracting States' second sitting of the Conference of Ministers regarding membership of the Lake Tanganyika Management Committee is implemented as soon as possible,

HAVE AGREED as follows:

Article 25 of the present Convention is amended as follows:

Paragraph 1 is replaced by the following text:

The Lake Tanganyika Management Committee consists of four members appointed by each Contracting State representing Ministries in charge of Environment, Finance, Fisheries and Water. The Executive Director of the Authority shall serve as the Secretary of the Management Committee and shall attend its meetings but shall not have the right to vote.

DRAFT PROPOSAL 2 TO AMEND THE PRESENT CONVENTION OF THE SUSTAINABLE MANAGEMENT OF LAKE TANGANYIKA

Note by the Secretariat:

Pursuant to Article 36 of the Convention on the Sustainable Management of Lake Tanganyika, the Secretariat is circulating a Proposal to amend the Convention jointly submitted by the Republic of Burundi, the Democratic Republic of Congo, the United Republic of Tanzania and the Republic of Zambia.

THE CONTRACTING STATES TO THE PRESENT CONVENTION,

HAVING CONSIDERED Article 36 of the Convention on the Sustainable Management of Lake Tanganyika signed on 12th June, 2003 in Dar Es Salaam, the United Republic of Tanzania,

HAVING NOTED that the Convention, which provides for the protection and conservation of the biological diversity and the sustainable use of the natural resources of the Lake Tanganyika and its Basin by the Contracting States on the basis of integrated and co-operative management entered in force on (to get the actual date from AU, the Depositary),

AFFIRMING the decision made by the Contracting States' third sitting of the Conference of Ministers on 21st August, 2009 in Uvira, the Democratic Republic of Congo,

CONSIDERING that it is desirable to amend the Convention to provide for additional Observers,

HAVE AGREED as follows:

Article 24 of the present Convention is amended as follows:

Paragraph 6 is replaced by the following text:

The African Union, the African Development Bank, the United Nations and their specialized agencies may be represented as observers at meetings of the Conference of Ministers. Any State not party to this Convention and any other body or agency, whether governmental or non-governmental, qualified in fields relating to the subject matter of this Convention, which has informed the Secretariat of its wish to be represented as an observer may be admitted unless two or more of the Contracting States present, object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of Ministers

Comment by the Secretariat:

The Secretariat advises that the proposed amendment not be considered in the affirmative. The Secretariat is of the opinion that Article 24 paragraph 6 adequately provides for additional observers.

BRIEF PROGRESS REPORT ON REGIONAL PROGRAMME AND PROJECT ACTIVITIES (1ST QUARTER OF 2010)**LTA SECRETARIAT****Administration and Finance**

- Finalization of the implementation of the Accounting Software in the section regarding the general accounting;
- Preparation of the consultancy service for the elaboration of two manuals: the administrative and financial procedures manual and the local development fund management manual;
- The funding of recurrent expenses (office maintenance, workshops, conference, travels....).
- Ensure logistic and administrative support in different activities organized by the Secretariat and partners.

Environment

- Preparation of 2009 activities report and planning of the activities of the year 2010
- Development of Terms of Reference on the reduction of the level of water, deforestation and sedimentation
- Consultation with the UNDP/GEF project on 2010 work plan
- Preparation of a project on afforestation in Zambia in collaboration with SWECO, the project proposal has been submitted to the NDF
- Organization of a national workshop on the UNDP/GEF project, Burundi component
- Participation in the recruitment commission of the Coordinator of the UNDP/GEF project, Burundi component
- Participation in the preparation of the Workshop on Establishing a Framework for the Lake Tanganyika Regional Integrated Environmental Monitoring Programme in collaboration with UNDP/GEF project and the LTA S
- Consultation with the NCU Burundi to prepare a national workshop of information and sensitizing of the population of Burundi on NCU's activities.
- Participation in protection activities of the Ntchangwa River basin in collaboration with a local NGO named "Action Ceinture Verte".
- Preparation of a project of rehabilitation of the Rusizi River catchment area, located in the northern part of the Lake Tanganyika, in collaboration with the Economic Community of the Great Lakes Countries

Fisheries

- Preparations for the Workshop on Establishing a Framework for the Lake Tanganyika Integrated Environmental Monitoring Programme
- Preparations for the Workshop on Climate Change and Fisheries in the African Great Lakes, planned to be held in April 2010
- Preparation of the 2010 Annual work Plan and Budget for the Directorate of Fisheries
- Finalization of the LTA/FAO Agreement
- Meeting with NCU Coordinators and PMU Managers, 31 March 2010

Monitoring and Evaluation

- Preparation and consolidation of the 2009 LTA Annual Report that incorporates programmes and projects activities.
- Organized in-house M&E meeting with all LTA directorates and UNDP-GEF regional project to discuss the draft LTA M&E manual and consensus was reached on among other things, the indicator list to monitored and evaluated, the dataflow, the formats for progress reports and the reporting timelines;

- Worked with the Institutional Needs Assessment (INA) consultant engaged by the UNDP-GEF regional project towards the formulation of Lake Tanganyika integrated monitoring framework, participated and provided inputs in regional workshop on establishing a framework for the Lake Tanganyika regional integrated monitoring programme; and
- Liaised and provided general monitoring and evaluation oversight to the LTA Directorates and National Coordination Units as well as Project Management Units in the riparian countries and the regional Project Coordination Unit.

Challenges/Constraints in the First Quarter

- Lack of funds as the riparian countries had not submitted their Annual Contributions to the Authority and the African Development Bank (ADB) had also not replenished funds to the LTA.
- The delay in finalising negotiations and signing the LTA/FAO Agreement for the provision of technical assistance services for the Technical Assistance Support Project to the Lake Tanganyika Integrated Regional Development Programme, may have some effect on the implementation of PRODAP regional activities for some of the activities depend on the FAO Technical Assistant (TA) being in place in Bujumbura for implementation
- Lack of a Translator at the LTA Secretariat was also a constraint as documents could not be translated in time.

REGIONAL UNDP-GEF PROJECT ACTIVITIES

OUTCOME 1: Regional and national institutions established and implementing the SAP and provide the institutional support for the cooperative management of Lake Tanganyika

- **Completion of the project staff:** development and discussion of TORs for Translator and Communication and Environmental Outreach Officer.
- **Installation of PMU offices in riparian countries :** TORs to recruit National Project Manager (NPM) for the BDI-PMU developed & published and Review of Technical Proposal of the WWF (DRC-PMU)
- **Finalization of sub-contracting processes:** IUCN on Invasive Alien Species and ICRAF on Catchment management and Sediment control.

OUTCOME 1: Regional and national institutions established and implementing the SAP and provide the institutional support for the cooperative management of Lake Tanganyika

- **Organizing the SAP update:** Joint workplanning with LTA Directorate of Environment, Development of the annual strategy for SAP updating
- **Information dissemination :** Press (radio, television and newspapers) was invited to both workshop organized in quarter 1 of 2010; Contacts were taken with IW:LEARN to update the nascent LTA website

OUTCOME 2: The quality of the water of Lake Tanganyika is improved at identified pollution hotspots

- **Consultations with key partners: Ministry of Water, Environment, Land and Urban Planning (WELUP),** General Directorates of INECN and SETEMU
- **Project Document of the Burundi Component:** Updated by a duo of a National and an International Consultants
- **Recruitment process of the NPM for BDI-PMU:** Process conducted in consultation with above mentioned Key partners (See Outcome 1)
- **Validation workshop:** National expert & stakeholders workshop to validate updated document of the BDI-Component

OUTCOME 3: Demonstration sites around the lake show how sediment discharge can be reduced whilst providing significant livelihood benefits to local people

- **Catchment management and sediment control:** Approval of ICRAF proposal and furthering the contracting process (see outcome 1)
- **Catchment management and sediment control:** Review of technical proposal from WWF for the implementation of the DRC component,
- PMU location: UVIRA (Eastern DRC)

OUTCOME 4: Regional monitoring decision-making support system to foster the Lake's management established

- **Initiating the establishment of the Regional Integrated Environmental Monitoring Programme, RIEMP:**
 - Recruitment of an International Expert as consultant
 - Convening of a regional expert and stakeholder workshop
 - Agreement on relevant parameters to be monitored
 - Laying a foundation for the regional monitoring expert network

CHALLENGES

- Efficient collaboration with key partners (WELUP Ministry, INECN and SETEMU) to guarantee ownership of project activities
- Obligated long administrative process to get implementation partners subcontracted (ICRAF, IUCN & WWF)
- Eventual obstacles to the successful project implementation deriving from current election period in Burundi: from May to August 2010.

LESSONS

- Stakeholder involvement is overall relevant but special attention needs to be given to the political level
- Importance of advising our partners about the long UNOPS administrative procedures to subcontract third parties. This can take weeks up to months
- Need to closely monitor the security situation in Burundi during and after the election period.

BRIEF PROGRESS REPORT ON NATIONAL PROGRAMME AND PROJECT ACTIVITIES (1ST QUARTER OF 2010)

UNDP GEF LTIMP ZAMBIA

Output 5: Project efficiently and effectively managed, monitored and evaluated

- Management meetings held every Monday
- Project Manager attended the 1 District Development Coordinating Committee meeting in January 2010 in Mpulungu.

Output 2: Alternative income generating activities (IGAs) developed

- monitoring of loans given in 4th Quarter of 2009 in 7 sites where loans were given out
- 26,068 USD was disbursed as loans to 24 females and 55 males.
- The activities that communities are giving up are charcoal burning & shifting cultivation to engage in green manuring, bee-keeping and re-forestation

Output 3: Awareness of stakeholders on the importance of sustainable natural resource management raised

- 1 awareness meeting was held at 1 site

Output 4: Capacity of local governance structures for sustainable natural resource management

enhanced/advocacy for political support for natural resources management

- 1 leadership skills training for community leaders to help promote natural resources management campaigns.
- 1 advocacy campaign involving the Minister for Northern Province was undertaken for the political support for community based natural resource management on the project. The Project objectives were explained to the Minister and in turn the Minister made a strong appeal to the community to support the objectives of the project.

NCU Tanzania

- Finalized AWPB and procurement plans for ADB and NDF and the No Objection have been granted
- Finalized Bidding Document for equipment and vehicles
- Continued with sensitization of co-management of fisheries, 10 landing sites have been selected and creation of BMUs is under way
- Have selected six villages along the shores of the Lake and in the catchment areas (3000Ha) of for interventions in environmental protection
- Have finalized recruitment of support staff
- Have also completed Bill of Quantities for construction of national Kapili sub-office for NCU
- Attended national and regional meetings

NCU Zambia

- Finalized AWPB and procurement plans for ADB the No Objection have been granted
- Annual Report for 2009 developed and submitted to LAT and line Ministries
- Official Launch of the PRODAP Zambia
- Attended the National Steering Committee
- Started the preparation of the Baseline Survey and development of the tools for data collection
- Attended national and regional meetings

**MONITORING AND MANAGEMENT OF BIOLOGICAL INVASIONS IN LAKE TANGANYIKA****Project Document****UNDP/GEF Project on Partnership Interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika****Support for the Lake Tanganyika Regional Monitoring Programme****Background**

UNDP, the Global Environmental Facility (GEF), African Development Bank, and IUCN have been supporting the development of the Convention on the Sustainable Management of Lake Tanganyika and continued to do so since its inception in 2003. This Convention has a major objective of ensuring *“the protection and conservation of the biological diversity and the sustainable use of the natural resources of Lake Tanganyika and its Basin by the Contracting States (Burundi, DRC, Tanzania and Zambia) on the basis of integrated and co-operative management.”* This support is programmed to continue as the Lake Tanganyika Authority (LTA) establishes itself and begins to support the riparian states in implementing the Convention.

UNDP/GEF formulated a project on *“Partnership Interventions of the Strategic Action Programme for Lake Tanganyika”* (hereafter referred to as UNDP/GEF Project), which is currently being implemented. The Strategic Action Programme (SAP) was formulated by consensus between the Lake Tanganyika states and other stakeholders to carry out the recommendations of the Lake Tanganyika Transboundary Diagnostic Analysis, which addressed the issues affecting conservation of biodiversity and sustainable use of the natural resources within the lake and its catchment basin. One of the aims of the UNDP/GEF Project is the establishment of a regional monitoring system in order to contribute to long-term sustainable management of Lake Tanganyika.

Article 10 of the Lake Tanganyika Convention (on Conservation of Biological Diversity) requires the four riparian states to conserve rare, fragile and representative biodiversity and, as far as possible, to prevent or manage negative impacts from alien species (which may become invasive). As part of the fulfilment of obligations to this Article 10 of the Convention, UNDP/GEF has encouraged IUCN, through its Invasive Species Initiative and Global Coordinator of Invasive Species, to suggest mechanisms for monitoring and control of invasive species and to build capacity to recognize, prevent or manage biological invasions that exist or may become a threat to biodiversity in the Lake Tanganyika ecosystem. This will make a contribution to the overall biodiversity monitoring programme that is a recognised need for the conservation of species diversity and management of the natural resources in the lake basin. Hence the preparation of this sub-project proposal on monitoring and management of biological invasions within the UNDP/GEF Project on Partnership Interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika.

The IUCN Eastern and Southern Africa Regional Office (ESARO) contributed significantly in preparing the fundamentals for regional biodiversity monitoring in the framework of the UNDP/GEF Project, and was retained as a partner in the project for aspects relating to monitoring and management of biological invasions. The IUCN is the oldest and largest global environmental institution, and it has an extensive network that includes government and NGO member organizations, as well as scientists all over the world. The IUCN has many years of experience in biodiversity conservation and natural resource management in the region. In addition, it houses the world expert

on invasive species in Africa. As such, the IUCN is well positioned to play an important role in supporting the UNDP/GEF Project with activities that focus on the monitoring and management of biological invasions.

The sum of USD170,050.00 will be made available for the implementation of a sub-project over the next 29 months, ending in September 2012. The main taxa of organisms to be considered for monitoring and management actions are listed in Annex 2, but these may change as more information becomes available during the project as survey and monitoring activities begin.

The IUCN invasive species sub-project will be overseen by the PCU of the UNDP/GEF Project within the LTA Secretariat Headquarters Office in Bujumbura, and will be answerable to the Project Steering Committee.

Objectives

IUCN, through this sub-project, will be contributing to the overall Development Objective of the UNDP/GEF parent project which is *“To improve the living conditions of the riparian populations through implementation of the Strategic Action Programme, the Framework Fisheries Management Plan, and the Lake Tanganyika Convention, together with ongoing and future efforts of riparian countries so as to bring about integrated sustainable management and protection of the natural resources of Lake Tanganyika”*.

IUCN, through this sub-project, is also a component of a partnership within the Strategic Action Programme, which has the Immediate Objective *“To protect and conserve the biodiversity and the sustainable use of the natural resources of Lake Tanganyika”*.

The Overall Development Objective of the IUCN sub-project is *“To reduce the loss of biodiversity and ecosystem functions in the Lake Tanganyika basin – especially those threatened by biological invasions”*. The Main Objective of the sub-project is *“To contribute towards the establishment and implementation of a programme to assess and respond to existing and potential threats of invasive species in Lake Tanganyika and its catchment”*

IUCN will address the main objective through five key outputs over the project period which has been designated as 29 months starting from 1st April, 2010. The extent to which these results can be achieved is constrained by the budget available for this sub-contract, but the principles remain valid and the extent of their implementation could be expanded if more funding became available.

Result 1. Information available to the managers and people of the Lake Tanganyika ecosystem to address actual and potential invasive species

Information about species of animals and plants that are, or may be, invasive in the Lake Tanganyika ecosystem presently consists of scattered reports, personal observations and a technical report from IUCN (2007, updated in 2008), which refers only to portions of the ecosystem. There is need to gather reliable information, extend the survey of likely invasive species, search for more information and prepare a comprehensive technical working document which can be translated into the languages of the riparian states. This could then be used as technical background information for the proposed Invasive Species Monitoring Introduction Workshop in the 4th quarter of 2010 or early 2011. The preliminary document will subsequently be updated with information resulting from the workshop.

As mentioned above, current knowledge on invasive species in Lake Tanganyika is mainly derived from scattered technical reports from the past and brief surveys conducted by IUCN between 2007 and 2008 (Howard, 2008) in the extreme northern end of the lake and the Rusizi Delta area (Burundi and DRC), and Kigoma region (Tanzania). The need to also survey other parts of the lake remains. In addition, there is an urgent need to survey the many species of fish that have been introduced to the lake from other places over the last 60+ years. The aim is to produce technical information and awareness products that will inform relevant stakeholders about the process of invasion, the species concerned in the Lake Tanganyika ecosystem and means for prevention and control of invasions (in English and French). Additional relevant literature and information will be made available to the LTA

Secretariat to inform its decisions on sustainable management of Lake Tanganyika, and to further disseminate this information to other interested parties.

Result 2. A monitoring programme is put in place for the detection of existing and potential invasive species in the Lake Tanganyika ecosystem

A key part of the IUCN sub-project is the development of a workable monitoring programme for biological invaders. This will cover the open waters and littoral and sub-littoral areas of the lake, which harbour the highest levels of aquatic and semi-aquatic species diversity (including animals and plants). The monitoring will also include other parts of the catchment that are vulnerable to the development of biological invasions, such as beaches, shallow waters, wetlands, and small floodplains, as well as river mouths and deltas, which are favoured sites for aquatic and terrestrial species that can cause invasions. Bathybenthic species are beyond the scope of the monitoring at present unless they are sampled from fish catches from deepest waters.

The draft monitoring programme plan will be prepared and then discussed during the Invasive Species Monitoring Introduction Workshop for feasibility and practicality as well as coverage of the lake and its catchment. Information added from the workshop and from other similar biodiversity monitoring programmes will be incorporated in a revised and updated product, which can then be tested (with available funding) across some parts of the ecosystem and in different situations. Lessons learnt from the testing will be incorporated in a final version of the monitoring programme before it is translated, published and distributed.

Result 3. Management of key existing biological invasions established in the lake Tanganyika ecosystem

There are at present several biological invasions in the lake ecosystem that need quick action to reduce their impact and lower their capacity to spread to new areas. This applies especially to water hyacinth (*Eichhornia crassipes*) and the red water fern (*Azolla* sp.). These invasive aliens are already established in some littoral areas of the lake. They are spreading as well as depositing seeds and spores in the lake edges for further germination and future dispersal. The water hyacinth and red water fern can be partially controlled, or at least reduced in impact by mechanical clearing and cautious aid of some herbicides. Such options will be discussed and debated and an investment made in the pilot management of a selected number¹⁴ of invasions. These pilot management activities will be conducted in an area where the action is able to demonstrate both concern and management to relevant stakeholders and will be overseen by local consultants as Pilot Site Coordinators.

If additional funding can be raised, these pilot management actions could be expanded into a larger programme, including multiple existing (and potential) invasions in a range of locations within the lake as well as its catchment basin. Management plans will be developed and discussed for each effort of management and local stakeholders consulted. Lessons learnt from these activities will be incorporated into reports, which can then lead to more general ideas for biological invasion management for the lake ecosystem. This will be subjected to a brief economic (costing) analysis. Such an analysis will enable comparisons of the costs of invasive species management with the costs of prevention or early eradication of introduced species judged to be capable of invasion. This will lead to the promotion of the preference to prevent rather than to manage. It will also lead to an analysis of the various means and stages of control for invasives in the lake. An eventual outcome of this process will be draft regulations for the prevention and management of biological invasions for the LTA and the riparian countries to consider. The invasive species monitoring will also be linked to the overall regional monitoring programme in Lake Tanganyika, which is intended to guide management needs and options.

Result 4. Capacity of the Lake Tanganyika Authority and riparian governments built and regulations drafted for the prevention and management of biological invasions in the Lake Tanganyika ecosystem

¹⁴ The actual species will depend upon the impact of the invasion to the lake ecosystem, as well as the availability of means to manage the invasion.

Recognizing potentially invasive species as well as established invasions and then knowing what to do requires capacity and experience among natural resource managers. It is the intention of the IUCN Invasive Species sub-project to develop training materials that can build capacity of relevant stakeholders¹⁵ through self-training. This will enable them to become familiar with the principles of invasion biology and the prevention and management of biological invasions. As much as possible, the training materials will use the context of the Lake Tanganyika ecosystem. They will be translated into the riparian languages and will be the subject of training events for available technical staff for capacity building together with sources of other relevant information on websites and in available publications. This training (capacity building) will enhance the process of regulation preparation as well as the effectiveness of the monitoring programme.

Result 5. Sub-Project managed and reporting as required

The project will be managed by IUCN from its office in Nairobi, Kenya, in close cooperation with the PCU of the UNDP/GEF Project at the LTA Secretariat in Bujumbura. Accounts of income and expenditure will be managed by IUCN and quarterly project reports prepared by IUCN for the PCU. An inception report will be prepared for the project start-up according to UNDP/GEF standards and following discussions between IUCN and the PCU.

A representative of the IUCN project team will attend the parent Project Steering Committee meetings when invited and report on progress and activities.

IUCN Invasive Species Sub-project Logical Framework is presented elsewhere.

Project Budget. Sub-project budget presented along standard budget lines with some notes on details in some cases (Annex 2).

Project Activity Timeframe. A summary table of the sub-project timeframe (in months and quarters of years) is presented in Annex 3 based on the activities described in the logframe. This is designed so that certain activities are completed in time for the expected sub-project workshop in the fourth quarter of 2010 or early 2011. The project is expected to be completed by the end of the third quarter of 2012.

¹⁵ This includes technical staff of local governmental and other relevant institutions, as well as members of the LTA.

ANNEX 1: Main taxa/types of organisms of actual and potential invasive species to be monitored in Lake Tanganyika and its catchment

Higher taxon or category	Taxa or life type	Examples encountered or reported	Notes
Lower plants	Algae and protophyta	Eutrophic algae causing “fish kills”	Not found during recent IUCN surveys but previously described in literature
Aquatic higher plants	Floating plants	<i>Eichhornia crassipes</i> <i>Pistia stratiotes</i> <i>Azolla</i> spp.	Prevalent in northern areas of the lake that have previously been surveyed for invasive species. Unconfirmed reports exist of <i>Pistia</i> in Zambian and Tanzanian waters.
	Emergent plants	<i>Typha domingensis</i> <i>Vossia cuspidata</i>	Widespread
	Submerged plants	<i>Ceratophyllum demersum</i> <i>Potamogeton</i> spp. <i>Hydrilla verticillata</i> <i>Najas</i> sp.	Difficult to detect, but known from sightings and records to be present in the lake
Higher plants associated with damp places, water courses, floodplains	Herbs	<i>Ludwigia</i> spp. <i>Polygonum</i> spp. Ferns	Obvious, and known from sightings to occur in the lake basin
	Shrubs	<i>Mimosa pigra</i> <i>Mimosa diplotricha</i>	Recorded and reported on
Invertebrates	Arthropods – Crustacea	<i>Procambarus clarkii</i> and/or other species of freshwater crayfish	Reported from areas in the vicinity of the Lake Tanganyika catchment. Likely to have significant detrimental impacts on local ecosystems if they enter the lake basin
	Molluscs	Gastropods, Bivalves	No records yet but likely serious if introductions occur
Vertebrates	Fish	Details to be researched	At least 100 spp. of fish exotic to the lake have been introduced over the last 70 years – their present status is not known in most cases

In addition, systems will be established to build upon the riparian countries’ biosecurity arrangements in the lake and catchment in order to ensure complicity with Article 10, paragraphs 1b, 1c and 2 of the Convention on Sustainable Management of Lake Tanganyika. This requires that no new species are intentionally or accidentally introduced to the lake or its basin unless with the knowledge and approval of all countries concerned. This would apply to species of animals and plants for: agriculture, aquaculture, forestry, fisheries, decorative plant trade, pet trade and even experimental animals – and that those exotic species that came unintentionally were eradicated or controlled for the same reasons, i.e. potential for biological invasion.

ANNEX 2: Lake Tanganyika Sub-project Budget

Budget line	Costs in USD	Notes
Stafftime	52,500	Based on \$700.00 per day for GWH and EAA together* = 75 days; 30 + 30 + 15 in 2.5 years)
Consultants technical	21,000	Act. 1,7. Awareness products, Act. 2,5. Testing the monitoring system, Act. 3,3. Implementing the pilot site management plan(s), Act. 3,5. Estimating the costs of management.
Consultants – translations	000.00 ¹⁶	English to French: IAS background doc. (Act. 1,3) management plans (Act. 3,2), IAS reference doc. (4,2)
Workshops – preparation and support	000.00 ¹⁷	Familiarisation workshop, and Training Workshops (with translation)
International travel + per diems + local travel in Lake Tanganyika basin	23,000	Return airfare NBO-BJB is around \$700, per diem at \$150 (average per person = 700 + 300 = \$1,000)
Partners travel + local costs in Lake Tanganyika basin	12,000	Includes hiring / using LTA vehicles
Local travel Nairobi	1,380	23 airport trips \$50 (both ways) + \$230 for visits to Kenyan institutions
Printing costs	15,500	1,4; 1,8; 2,1; 2,4; 2,6; 3,2; 4,2; 4,6
Office consumables	8,500	
Communications	10,000	Telephone, email, courier, preparation of printed docs (papers, flyers, brochures, workshop reports, etc.) and dissemination
Website costs	3,353	IUCN website management
Technical support documents	5,000	(to be purchased for technical partners and stakeholders)
Project financial audit	5,000	
Total	\$157,233	
3% contingency	4,717	
	\$161,950	
5% Overhead/Management Fee	8,100	
Total	\$170,050.00	

* The project has a relatively limited budget for one that lasts 2.5 years. Under these circumstances there is no possibility of hiring project staff to be devoted to the project full-time. Thus the “project staff” will be the IUCN staff of the Invasive Species Initiative based in Nairobi, Kenya (with the occasional short-term contractor). The staff consists of the IUCN Global Coordinator of the Invasive Species Initiative Dr Geoffrey Howard, and Junior Professional Officer Ms Esther Abonyo . The full total cost of these two staff together is USD700.00 per day; hence the stafftime calculation is based on 30 days per year for each of the first two years and 15 days for the last year – making 75 x \$700 = \$52,500. It is likely that more time will be spent on this project by these two staff, especially in Nairobi, but this will be IUCN’s contribution to the project.

¹⁶ The PCU in Bujumbura will recruit a translator, and has agreed to be responsible for translations of the IUCN invasive species sub-project from English to French or vice versa. As such, there are zero costs associated for translations by IUCN. As noted in footnote 4, the costs in the activity budget are for materials and oversight

¹⁷ The costs for these workshops are budgeted separately by the PCU. They will be organized in close collaboration between the IUCN team and the PCU.

ANNEX 3: Activity Timeframe

Activity Numbers, Results 1 to 5	Q 2 2010	Q 3 2010	Q 4 2010	Q 1 2011	Q 2 2011	Q 3 2011	Q 4 2011	Q 1 2012	Q 2 2012	Q 3 2012
1. Information docs										
1, 1 survey, literature		XXX	XXX							
1, 1a exotic fish	X	XXX	X							
1, 2 draft document		X	XXX							
1, 3 translate, website				XX						
1, 4 make copies				X						
1, 5 workshop discuss				XX						
1, 6 update, print				X	X					
1, 7 awareness docs				XXX						
1, 8 translate, print				X	X					
1, 9 distribute, test				XXX	XXX	XXX				
2. Monitoring plan										
2, 1 draft plan			XXX	XX						
2, 2 workshop discuss				XX						
2, 3 link to LTA					XXX	XXX				
2, 4 revise, submit						XXX				
2, 5 test the plan						X	XXX	XXX		
2,6 finish and publish								X	XXX	XX
3. Manage invasions										
3, 1 choose species		XXX	XX							
3, 2 prepare plans			XX							
3, 3 implement plans				XXX	XXX	XXX	XXX	XXX		
3, 4 results, lessons						X	X	X	XXX	
3, 5 costs of control								XXX	X	
3, 6 prefer prevention									XXX	XXX
3, 7 draft regulations					X	X	X	X	XX	XXX
4. Capacity building										
4, 1 prepare docs				XX	XX					
4, 2 translate, deliver		X	XXX		XX	XX				
4, 3 involve stakeholders					X	X	X	X	X	
4, 4 regulations and prepare strategy				X	XX	XXX	XXX	XX		
5. Project managed										
5, 1 inception report	XX									
5, 2 quarterly reports		X	X	X	X	X	X	X	X	X
5, 3 steering committee				X?				X?		X?
Activity Number	Q 1 2010	Q 2 2010	Q 3 2010	Q 4 2010	Q 1 2011	Q 2 2011	Q 3 2011	Q 4 2011	Q 1 2012	Q 2 2012

X = approximately one month

BRIEF INTRODUCTION TO ICRAF INTERVENTIONS FOR THE UNDP/GEF PROJECT

Agroforestry interventions to control sediment flow in Lake Tanganyika

Land cover change over the last quarter of a century in the Lake Tanganyika catchment and particularly reduction in tree cover has contributed to increasing sediment flow to the lake. At a range of scales from the lake basin to specific landscapes, hotspots of degradation likely to contribute a lot of sediment can be identified from satellite imagery showing areas where vegetation productivity is markedly lower than in surrounding areas and expected from rainfall and soils data. Comparing local perceptions of land cover change and local knowledge about the drivers of this change with analyses based on remote sensed images, places degradation within a local context.

Characterization of degradation hotspots is a first step in developing specifications for priority agroforestry interventions to reduce sediment flow by defining the ecological conditions within which trees will need to be established. While the ecological conditions in the hotspots set limits for which tree species and establishment techniques can be used – these need to be coupled with information on local livelihoods, governance, farming practices and markets to determine design principles for agroforestry practices that can be locally adopted to reduce sediment flow and enhance livelihoods. Different intervention options and their placement within the landscape can be discussed locally using spatially explicit negotiation tools that explore how different options impact of a range of ecosystem service indicators including farm productivity.

At this meeting we would like to discuss:

1. The feasibility of holding a regional lake basin workshop in Bujumbura at the end of June
2. Logistics for postgraduate student placements in Tanzania and Zambia from June through August to collect information on local knowledge and engage in participatory design of agroforestry interventions
3. The feasibility of holding national design workshops in Tanzania, Zambia and DRC from September to November.