

Midterm Review Report

UNDP-GEF Project: Sixth Operational Phase of the GEF Small Grants Programme in Kenya

GEF Project ID: 9241

UNDP Project ID: 5730

Country:	Kenya
Region:	Africa
Focal Area:	Multi-focal area (GEF-6): Biodiversity, Land Degradation, Climate Change
GEF Agency:	United Nations Development Programme (UNDP)
Executing Agency:	United Nations Office for Project Services (UNOPS)



Lake Nakuru, Great Rift Valley



Kaya women participating in cultural ceremony



Planting mangrove seedlings, Shimoni-Vanga seascape



Women's group with improved jikos (cookstoves)

Source of photographs: GEF-6 Brochure, SGP Kenya

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Opening Page

PROJECT DETAILS:

Project Name:	Sixth Operational Phase of the GEF Small Grants Programme in Kenya
Project ID:	UNDP PIMS ID: 5730 GEF Project ID: 9241
Country:	Kenya
Region:	Africa
Focal Area:	Multi-focal area (GEF-6): Biodiversity, Land Degradation, Climate Change
Focal Area Objectives:	BD-4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors; Program 9: Managing the Human-Biodiversity Interface; Outcome 9.1: Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management. CCM-1: Promote Innovation, Technology Transfer, and Supportive Policies and Strategies; Program 1: Promote the timely development, demonstration, and financing of low-carbon technologies and mitigation options; Outcome A: Accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration. LD-1: Agriculture and Rangeland Systems: Maintain or improve flow of agroecosystem services to sustain food production and livelihoods; Program 1: Agroecological intensification; Outcome 1.1: Improved agricultural, rangeland and pastoral management.
Funding Source:	GEF Trust Fund
Implementing Agency:	United Nations Development Programme
Implementation Modality:	Agency Implemented
Executing Agency:	UNOPS

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Cofinancing Total:	USD 5,660,000
GEF Agency Fees:	USD 338,356
Total Cost:	USD 9,312,968

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Preparation Grant Approved:	04 May 2016
Concept Approved:	31 May 2016
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MTR Consultant:	James Lenoci
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Executive Summary

The multifocal area project is being implemented under the GEF-6 replenishment cycle through an agency implementation modality, supported by the UNDP as the GEF implementation agency. Basic project information is summarized below in **Table 1**.

Table 1: Project information table

Project Title:	Sixth Operational Phase of the GEF Small Grants Programme in Kenya		
UNDP Project ID (PIMS #):	5730	PIF Approval Date:	31 May 2016
GEF Project ID (PMIS #):	9241	CEO Endorsement Date:	18 Jun 2017
Award ID:	99179	Project Document (ProDoc) Signature Date (date project began):	25 Sep 2017
Country(ies):	Kenya	Date project manager hired:	Continued from previous phase
Region:	Africa	Inception Workshop date:	14-15 Mar 2018
Focal Area:	Multifocal	Midterm Review date:	May-Jun 2020
GEF-6 Focal Area Strategic Objectives and Programs:	BD-4, Prog. 9 CCM-1, Prog. 1 LD-1, Prog. 1	Planned closing date:	25 Sep 2020
Trust Fund:	GEF TF	If revised, proposed closing date:	30 Aug 2021
Executing Agency:	United Nations Office for Project Services		
Other execution partners:	N/A		
Project Financing:	at CEO endorsement (USD)	at Midterm Review (USD)*	
[1] GEF financing (incl. PPG):	3,652,968	2,352,984	
[2] UNDP contribution:	500,000	200,580	
[3] Government:	0	0	
[4] Other partners:	5,160,000	2,745,932	
[5] Total cofinancing [2+3+4]:	5,660,000	2,946,512	
PROJECT TOTAL COSTS [1+5]:	9,312,968	5,299,496	
*Expenditures reported through 29 June 2020			

Project Description

The objective of the project is to enhance the socio-ecological resilience of three selected landscapes and seascapes through community-based initiatives. Building on prior experience and lessons from the implementation of the COMPACT and COMDEKS programs, the design of the sixth operational phase (OP6) of SGP aimed to create synergies between individual grants by adopting a landscape-seascape approach for enhanced overall program impact. The landscape approach includes promoting the establishment and effective operation of multi-stakeholder platforms at each landscape-seascape and encouraging local governments, civil society organizations and the private sector to partner with local communities for the implementation of participatory landscape-seascape strategies, plans and projects. The project strategy also envisaged fostering the establishment of partnerships between civil society organizations and the private sector for bringing renewable energy and energy efficient technologies to poor local communities in off-grid areas through proposals that demonstrate innovation, sustainability, and the potential for growth.

Three ecologically sensitive areas of global and national significance were selected for the implementation of OP6: the Kenya Lake System in the Great Rift Valley, the Sacred Mijikenda Kaya Forests - both protected under the World Heritage Convention - and the biodiversity-rich marine Shimoni-Vanga ecosystem of southern Kenya. These areas provide important ecosystem services to the country and are essential for the livelihoods of pastoralist, agricultural, and fisher communities, and they are facing different levels of biodiversity loss and land degradation, exacerbated by climate change.

The project obtained GEF CEO endorsement in May 2017 and Kenyan government approval on 25 September 2017, which is the official start date of the 3-year implementation timeframe. The project is being implemented by UNDP and

executed by the United Nations Office for Project Services (UNOPS) under an agency execution modality, utilizing the existing mechanism of the GEF Small Grants Programme, e.g., approval of project activities by the National Steering Committee (NSC) and results-based monitoring. The GEF project grant is USD 3,561,644 (excluding agency fee), with confirmed cofinancing at project entry of USD 5,660,000.

Purpose and Methodology

The objective of the MTR was to gain an independent analysis of the progress midway through the project. The MTR focused on identifying potential project design problems, assessing progress towards the achievement of the project objective, and identifying and documenting lessons learned about project design, implementation, and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the remaining term. Project performance was measured based on the indicators of the project results framework. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, as well as beneficiaries of project interventions, and review of available documents and findings of the stakeholder surveys.

Project Progress Summary

Project implementation was initiated with an inception workshop held in March 2018, about six months from the official start date of 25 September 2017. A summary of progress made through midterm is outlined below.

- A total of 68 grants having a cumulative value of USD 2,358,045 have been awarded through June 2020:

Landscape-seascape / focal area	No. of grants	Cumulative value of grants, USD*
Lake Bogoria landscape	25	739,328
Sacred Kaya Forests landscape	12	413,541
Shimoni-Vanga seascape	15	395,963
Climate change mitigation	12	467,713
Artisanal and small-scale gold mining	1	41,500
Strategic grants	3	300,000
Total:	68	2,358,045

*The USD figures reported here are from the grant proposals.

- An estimated 13,500 direct beneficiaries, of whom 8,300 are women, are envisaged to benefit from the interventions under implementation among the 65 small grants in the three target landscapes-seascape.
- Among the 65 small grants under OP6, eight (8) were awarded to women's groups.
- USD 1,749,299 in grants have been disbursed through 29 June 2020, representing 77% of the total GEF fund resources (USD 2,261,669) incurred by that date.
- An additional USD 777,880 of GEF resources are committed under the awarded grants as of 29 June 2020; the cumulative value of GEF resources allocated for grants as of 29 June 2020 is USD 2,527,179, which is close to the indicative amount of USD 2,537,600 outlined in the total budget in the project document.
- The grantees have pledged USD 2,214,895 in co-financing, nearly a ratio of 1:1 to the GEF resources allocated for grants. Cofinancing from the grantees is broken down by USD 721,076 in cash contributions and USD 1,493,819 of in-kind support.
- Total expenditures of the GEF resources through 29 June 2020 are USD 2,261,660, which is approximately 64% of the USD 3,561,544 grant.
- The cumulative value of co-financing materialized by midterm, including contributions by UNDP, WWF, and the grantees, is 2,946,512, which is 52% of the USD 5,660,000 pledged at project entry.

Most of the current National Steering Committee (NSC) members started their rotation in 2016 during the final year of the fifth operational phase. The NSC has convened six times during OP6 between March 2018 and December 2019. The NSC members have also carried out due diligence field missions to the target landscapes-seascape to meet with the multi-stakeholder platform members and to carry out more thorough vetting of the proposals submitted by local CBOs.

One of the first actions under OP6 was the recruitment of strategic partners in the three landscapes-seascape. Through strategic grants of USD 100,000 per agreement, the strategic partners started in July 2018, received induction training, and then proceeded with overseeing the baseline assessments of the landscapes-seascape and development of the landscape-seascape strategies.

As part of the 3rd call for proposals, two NGOs were awarded capacity development grants, one in the Sacred Kaya landscape and another in the Shimoni-Vanga seascape to help strengthen the capacities of the local CBOs, particularly the grantees of SGP grants.

Midterm Review Ratings

MTR ratings and a summary of achievements are presented below in **Table 2**.

Table 2: MTR ratings and achievement summary table

Measure	MTR Rating	Achievement Description
Project Strategy	Not Rated	<p>The project strategy adopts an integrated landscape-seascape approach, consistent with the principles promoted under the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) Programme. The project design also builds upon the experiences gained in Kenya during the implementation of the previous operational phases.</p> <p>The target landscapes-seascape were selected through participatory consultations, are consistent with national priorities and harbor globally significant biodiversity, e.g., key biodiversity areas (KBAs). The project results framework is extensive, with seven (7) outcomes and twenty-three (23) indicators, some having multiple end targets.</p> <p>The 3-year duration of the project was not sufficient to allow time for developing landscape-seascape strategies, facilitating genuine multi-stakeholder governance, and delivering results through community interventions in areas where the local CBOs had limited experience with SGP and in implementing projects in general.</p>
Progress towards Results	Objective Achievement: Satisfactory	<p><i>Project objective: Community-based initiatives enhance and maintain socio-ecological resilience in selected landscapes and seascapes in ecologically important and sensitive areas in Kenya</i></p> <p>There has been reasonably good progress towards achieving the project objective. Grants have been fully allocated under OP6, with 65 small grants and three (3) strategic grants awarded. Landscape-seascape strategies have been completed and the multi-stakeholder platforms established. The one-year, no cost time extension granted for the project (revised closure date of September 2021) will allow the project interventions to be completed, although there are significant risks associated with the COVID-19 pandemic. Resources are also allocated during the remaining implementation timeframe to build capacities of local CBOs and strengthen knowledge management.</p>
	Outcome 1.1: Satisfactory	<p><i>Outcome 1.1: Multi-stakeholder platforms established/ strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits</i></p> <p>Multi-stakeholder platforms have been established in each of the three target landscapes-seascape, with by civil society, local government, national government, and other key stakeholders. Importantly, senior level county officials are taking leading positions in the multi-stakeholder platforms, thus enhancing linkages with governmental programs and strengthening the durability of the platforms after GEF funding ceases. Based on the results of participatory baseline assessments, landscape-seascape strategies have been formulated for the target landscapes-seascape.</p>
	Outcome 1.2: Satisfactory	<p><i>Outcome 1.2: Ecosystem services and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes</i></p> <p>There is an impressive mix of projects focused on protecting and sustainably utilizing ecosystem services and biodiversity resources in the target landscapes-seascape. The effectiveness of the community-based management modalities in the target areas, including community conservancies, Beach Management Units (BMUs), and Kaya forest sites, are being improved. And the livelihoods of the beneficiaries and the landscapes-seascapes are being strengthened through application of sustainable and resilient practices.</p>
	Outcome 1.3: Satisfactory	<p><i>Outcome 1.3: The flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions</i></p> <p>There has been good progress towards achievement of this outcome. A significant number of approved projects are focused on sustainable and resilient food production, and the number of direct beneficiaries substantially exceed the end target.</p>
	Outcome 1.4: Satisfactory	<p><i>Outcome 1.4: Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets</i></p> <p>Eleven (11) of the awarded small grants are focused on income-generating interventions, and five (5) of these are with CBOs led by women. Partnerships with private sector enterprises have been established, including for supply of honey, chili, and prepaid water meters for solar pumps. There are also examples of innovation being implemented, including retrofitting of petrol transport vans with solar motors and phytoremediation for rehabilitation of contaminated mining sites. Limited progress has been made towards expanding access to microcredit/grant financing opportunities.</p>

Measure	MTR Rating	Achievement Description
	Outcome 1.5: Moderately satisfactory	<i><u>Outcome 1.5: Multi-stakeholder partnerships develop and implement initiatives for community integrated low-emission systems</u></i> There is a fairly good mix of renewable (RE) and energy efficient (EE) interventions among the 12 grants awarded under the CCM focal area, and 7 of the grants involve some level of partnership with private sector companies. Although partnerships with the private sector have not materialized as envisaged, the CCM interventions have facilitated the uptake of renewable energy and energy efficient technologies in a substantial number of households. Estimations of GHG emissions mitigated are inconsistent or unavailable, and there is limited disaggregation of data according to gender, urban-rural, and excluded groups.
	Outcome 2.1: Moderately satisfactory	<i><u>Outcome 2.1: Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training</u></i> Capacity building intrinsically included in the vast majority of the awarded small grants. Specific capacity development grants are being implemented in each of the target landscapes, and the strategic partners are providing mentoring and capacity building to local CBOs.
	Outcome 2.2: Moderately satisfactory	<i><u>Outcome 2.2: Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated, and made available to policy makers at county and national level</u></i> Small grants have been fully awarded under OP6, and some knowledge products, such as landscape-seascape fliers, posters, and brochure have been developed, but case studies and analyses on adaptive landscape-seascape management have not yet been formulated. During the third call for proposals, the project attempted to procure the support of a specialized knowledge management organization, but the procurement was unsuccessful. County and other governmental stakeholders have participated in multi-stakeholder governance platform meetings in each of the three landscapes-seascapes. More substantive knowledge management and stakeholder engagement are planned during the remaining implementation time period.
Project Implementation and Adaptive Management	Moderately Satisfactory	OP6 is the second operational phase that SGP in Kenya is operating under the Upgraded Country Programme. The National Steering Committee (NSC) is comprised of representatives from the civil society, government, private sector, academia, and UNDP. NSC meetings have been held reasonably frequently, the members have conscientiously reviewed proposals, and the committee has instituted procedures, such as due diligence field visits, to ensure the proposed interventions are properly vetted. The three strategic partners were recruited soon after the project implementation phase was initiated, to coordinate activities, to liaise with local government officials, and to mobilize and mentor local CBOs. The UNDP country office has been closely involved on the project, including representation on the NSC, providing administrative support and strategic guidance to the CPMU, and signing the grant agreements on behalf of UNOPS. The UNDP Global Coordinator for the SGP UCP has provided regular guidance and support to the CPMU, and shared information on best practices across the UCP and global SGP portfolio. Project execution services by UNOPS have been efficient, with timely disbursements to grantees and other project activities. There is room for improvement on some aspects of project implementation and adaptive management. Monitoring and evaluation of the work of the strategic partners has been limited, and monitoring and evaluation of social and environmental risks have been lacking. The duration of the small grant procurement process, from the issuance of calls for proposals to signature of grant agreements, has been somewhat prolonged, primarily at the proposal review phase. Pre-screening of the grant proposals by the technical advisory group has not worked out as envisaged; moreover, planning grants have not been utilized as a mechanism of building capacity among the local CBOs. The CPMU has been operating shorthanded from the start of implementation, with continued delays in recruiting the envisaged full-time three UNV positions (a full-time technical assistant was also described and budgeted in the project document). There are a number of impressive interventions being undertaken by the CBO grantees in the project landscapes-seascape; however, the knowledge generated has not been effectively captured and disseminated.
Sustainability	Overall: Moderately Likely	There are a number of factors that enhance the prospects that results achieved on the project will be sustained after GEF funding ceases. Considering the institutional framework and governance dimension of sustainability, the involvement of county and national governmental stakeholders in the multi-stakeholder governance platforms strengthen the likelihood that these structures will continue to operate. And there are opportunities in each of the three landscapes-seascape for

Measure	MTR Rating	Achievement Description
	Financial: Likely	mainstreaming priority actions from landscape-seascape strategies into local development plans. Partnerships also enhance sustainability. For instance, grantees in each of the project landscapes-seascapes are collaborating with enabling partners, such as national organizations, such as the Kenya Wildlife Service, National Museums of Kenya, as well as NGOs, universities, and private sector companies.
	Socioeconomic: Moderately likely	With respect to the <u>financial</u> dimension of sustainability, the majority of the awarded small grants include livelihood related activities, including capacity building, skills development, market linkages, etc. Experience gained through the SGP has also strengthened the capabilities of the community based organizations to develop proposals and raise funds. Importantly, the Lake Bogoria landscape and Shimoni-Vanga seascape are included among the proposed target landscapes in the seventh operational phase (OP7) of the SGP in Kenya that is currently under development; this enhances sustainability. Continued support by the government and donor community in the Sacred Kaya Forest is likely, as many of the Kaya forests are UNESCO World Heritage Sites and harbor globally significant biodiversity.
	Institutional framework and governance: Moderately likely	The landscape-seascape approach implemented under the project is predicated by strengthening socio-ecological resilience; this intrinsically enhances the <u>socio-economic</u> dimension of sustainability. Involving multiple stakeholders in the landscapes-seascape in identifying priority issues and developing strategies for addressing these increases the overall social capital of the local communities. Considering the <u>environmental dimension</u> of sustainability, a substantial number of approved projects involve activities that conserve biodiversity and protect and rehabilitate ecosystem services, e.g., improved pasture management, adopting sustainable agricultural practices, strengthening the governance of community conservancies and beach management units, rehabilitation of degraded land, rehabilitation of coral and sea grass ecosystems, etc.
	Environmental: Likely	There are factors and issues that diminish the overall likelihood that project results will be sustained. Building capacity of the local CBOs is an incremental and long-term process. Although the SGP will continue to focus on two of the three landscapes under OP7, capacity limitations remain one of the barriers towards achieving sustained socio-ecological resilience. The shortcomings with respect to communications and knowledge management are also hindrances to upscaling and replication. Anecdotal evidence indicates that there is limited awareness of SGP among certain groups of potentially enabling stakeholders, e.g., at the national level and private sector, and there is room for improvement in developing and disseminating knowledge products that provide clear guidance on lessons learned and best practices. There are also externalities that affect sustainability, e.g., there are risks that the gains achieved by the local communities in building socio-ecological resilience could be influenced by the unpredictable impacts of climate change. The current COVID-19 pandemic poses further uncertainty, for instance, a potential prolonged economic downturn and disruptions in supply chains might affect the viability of some of the project interventions.

Summary of Conclusions

Kenya was included in the Upgraded Country Programmes (UCP) during the fifth operational phase (OP5) and, thus, OP6 is the second, consecutive phase under the UCP. The planned three year duration of the project was made with the understanding that the project could relatively seamlessly transition from OP5 into OP6 and then lead into the next operational phase, OP7. Commencement of project implementation was delayed for about six months due to political unrest in the country at that time, but there was also an under-estimation of the time required to carry out the baseline assessments, develop the landscape-seascape strategies, facilitate the multi-stakeholder platforms, and build capacities of the local community based organizations (CBOs). Although some of the CBOs that have been awarded grants under OP6 have participated during earlier operational phases, many are new to the SGP.

The project is benefitting from an experienced Country Program Management Unit (CPMU), including the National Coordinator and the Program Assistant, and supported by the UNDP Global Coordinator for the SGP UCP and by UNOPS colleagues in New York. The full CPMU team in Kenya outlined in the project document has not been realized. For example, three support staff from the United Nations Volunteers (UNV) program were envisaged to work full-time on OP6, as well as a full-time technical assistant. There have been ongoing discussions and requests to recruit the UNV staff positions, but the recruitment has not yet happened. The heavy workload has reportedly hampered the recruitment of the UNVs, i.e., a lack of capacity and time. And the full-time technical assistant described in the project document has not been recruited. Consistent with SGP guidance and best practices in some other countries, a Technical Advisory Group, comprising of an assemblage of volunteer technical experts, was established to assist the NSC in pre-screening the proposals. According to feedback during MTR interviews, the TAG did not work out as envisaged and the group has been effectively disbanded.

The NSC has convened regular meetings and has been conscientious in reviewing and awarding grants. There have been discussions within the NSC of possible conflicts of interest regarding participation of WWF as a member of the NSC (representing WWF's regional office), as one of the strategic partners (representing WWF's national office), and as one of the cofinancing partners. The NSC has instituted measures to mitigate this concern, e.g., the WWF representative on the NSC did not take part in discussions regarding selection of the strategic partner. Moreover, rotation of the NSC members is scheduled during the second half of OP6.

The strategic partners have been important actors in the process of implementing the socio-ecological resilience approach in production landscapes-seascapes. The roles and responsibilities of the strategic partners are described in the terms of reference but the actual level of effort seems to have exceeded what the partners expected.

There were a few quality shortcomings in the proposals submitted by the local CBOs, partly due to the generally low level of experience among the CBOs in preparing proposals. In response to the low quality in the first call, the project has promoted the practice of allocating 1% of the value of the grant for compensating the person(s) who prepared the proposal. Planning grants have not been used and it seems that this modality has not typically been applied in Kenya during earlier operational phases as well. Planning grants allow CBOs the opportunity to gain the support of an experienced NGO or expert in planning a particular intervention and developing a proposal. The cost of the planning grant is not deducted from the proposed budget of the full grant and it is paid regardless of whether the proposal is accepted or not.

There has been substantive progress towards establishing the multi-stakeholder platforms in the three target landscapes-seascape, and involvement of county government officials enhances the likelihood that stakeholder engagement will continue after GEF funding ceases. Introducing and implementing community development projects using the landscape approach is an incremental process, which requires sustained participatory, multi-stakeholder engagement. The durability of the multi-stakeholder processes is further strengthened considering that the Great Rift Valley landscape and the Shimoni-Vanga seascape are included in the seventh operational phase (OP7) for the SGP in Kenya.

The multi-stakeholder platforms have helped increase awareness at the landscape-seascape level. Based on feedback from the MTR interviews and surveys, there are challenges in expanding awareness of the SGP at the national level. The project interventions under the SGP generate important and interesting knowledge, but there is room for improvement in terms of producing quality knowledge products and designing effective dissemination approaches, including reaching out to the private sector. There has been involvement of the private sector, but the strategic engagement with private companies under the CCM focal area has not materialized as envisaged. The project team is developing communications and knowledge management strategies, which should address some of these issues.

The 65 small grants awarded include a good mix of interventions across each of the three focal areas: biodiversity, land degradation, and climate change mitigation. One of the small grants has been awarded to an organization implementing best practice with respect to artisanal and small-scale mining (ASGM). This project is outside the target landscapes-seascape and not under the CCM focal area, but it is providing important information for the GEF-6 ASGM project in Kenya; a good example of SGP collaborating with other GEF-financed projects in the country.

The end target for the objective-level indicator on increased area with improved community management is overly ambitious in some cases, e.g., the Shimoni-Vanga seascape (lesson learned); however, there are also inconsistencies on how results under this indicator are being reported.

The greenhouse gas (GHG) mitigation results seem unlikely to reach the estimated end target for the renewable energy and energy efficiency interventions, although it would be advisable to go through the CCM portfolio of projects and consistency report the expected lifetime mitigation. If the GHG end target is not reached with the awarded renewable energy and energy efficiency (RE/EE) projects, this would not be an indication of poor performance. Firstly, socioeconomic conditions are changing, e.g., improved infrastructure and rural electrification, and the viable RE/EE projects are reflective of the current circumstances. Moreover, the project is not considering mitigation benefits generated through the projects implemented in the agriculture, forestry, and land use (AFOLU) sector, e.g., improved pasture management, enhanced forest management and avoided forest loss, enriched soil fertility, etc. Substantial mitigation benefits are being realized through these interventions.

There have been some inconsistencies with respect to the project monitoring and evaluation systems, including reporting on project results. Many of the project interventions have established rather complex indicator frameworks, requiring substantial data inputs and interpretation, and it is unclear if sufficient resources and capacities are in place to ensure results are sufficiently monitored and evaluated.

The small grant proposals include varying allocations of personnel related costs, e.g., project management, project coordination, monitoring & evaluation, etc. But there is some confusion regarding what is allowed to be included in the budget breakdown.

Overall, the project was able to make up some of the lost ground in the beginning of the implementation phase and fully award the envisaged volume of grants through three separate calls for proposals. The project has been granted a one-year, no cost extension, revising the closure date from September 2020 to September 2021. The extension was requested primarily because of the delay in starting up the implementation of the project and the short 3-year duration. The extensive socioeconomic disruptions due to the COVID-19 pandemic have significantly affected the circumstances on the project, as some of the community interventions are unable to proceed as planned. The viability of closure by September 2021 will need to be reevaluated in the coming months.

Recommendations

The MTR recommendations outlined below in **Table 3** have been formulated with the aim of improving project effectiveness and enhancing the likelihood that project results will be sustained after GEF funding ceases.

Table 3: Recommendations table

No.	Recommendation	Responsibility
Project implementation		
1.	Prepare an adaptive management plan in response to the current COVID-19 pandemic. An adaptive management plan should be prepared to describe mitigation measures and to identify potential unavoidable delays or changes to the scope of the project interventions.	CPMU, UNDP, NSC
2.	Update the terms of reference for the strategic partners to better define roles and responsibilities. Some examples of additional information to include in the terms of reference include: the envisaged frequency of the multi-stakeholder platform meetings; the approximate number of small grants over the course of the operational phase; the expected number of calls for proposals envisaged (based on previous SGP experience); the minimum number awareness raising events, communication materials, knowledge products, etc.	CPMU, NSC, UNDP
3.	Include the role of a project coordinator in the budget for each small grant in order to strengthen effectiveness and efficiency of the interventions. The small grant proposals include varying allocations of personnel related costs, e.g., project management, project coordination, monitoring & evaluation, etc. But there is some confusion regarding what is allowed to be included in the budget breakdown. It would be advisable to include the role of a project coordinator in each grant proposal at a specified allocation (e.g., 5-10%) and to specify the duties and responsibilities for this position, including but not limited to: coordination of project activities, preparation of project reports, focal point for communicating with the SGP country team, focal point for liaising with the multi-stakeholder governance platform, etc. This position should strictly be a member of the CBO and not an external person, to avoid reduced ownership and the possibility of the activity collapsing after GEF funding is exhausted.	CPMU, NSC, UNDP
Governance and management arrangements		
4.	Bolster the SGP country team. The terms of reference for the SGP country team described in the project document called for the following full-time positions: National Coordinator, Programme Associate, Technical Assistant, and three UN Volunteers. It would be advisable to take stock with only one year remaining (and with the seventh operational phase (OP7) under development), and update the terms of reference for the SGP country team. With respect to the envisaged position of Technical Assistant, refer to Recommendation No. 5 below. With respect to UN Volunteers, the envisaged arrangement outlined in the project design included having one volunteer stationed at each of the three landscapes-seascapes. It would be important to assess whether the UN Volunteers would be best posted at the landscapes-seascapes, keeping in mind the duties and responsibilities of the strategic partners, or rather focused on portfolio-wide issues, such as monitoring & evaluation, safeguards, communications, knowledge management, government liaison, etc.	UNDP, UNOPS, NSC, CPMU
5.	Reconcile the role of technical assistance on the project. Targeted technical assistance and advisory support should be considered, including, but not limited to matters associated with the climate change mitigation (CCM) focal area. CCM technical assistance could be delivered through a part-time consultancy arrangement, for example, sharing information on industry level best practice, identifying potential private sector partnerships, and establishing guidance for standardizing how results of CCM projects are reported. Part-time technical assistance support should also be considered at the landscape-seascape level, firstly to provide oversight and monitoring & evaluation of the performance of the strategic partners. Having part-time technical assistance support at the landscape-seascape level, with knowledge of local sociopolitical dynamics, would also contribute towards enhancing the durability of the landscape-seascape strategies and governance mechanisms. It is recommended that a short-term CCM consultancy be recruited to support the implementation, reporting, and private sector coordination.	NSC, UNDP, CPMU
Communications and knowledge management		
6.	Enhance knowledge management and communications to facilitate upscaling and expand awareness of SGP in Kenya. The country team is currently completing two strategy documents, one on communications and one on knowledge management. Regarding communications, it is important to describe the key messages that SGP would like to convey, what are the most effective methods for delivering these messages, who are the target stakeholders, and what metrics can be used to assess effectiveness. With respect to knowledge management,	CPMU, NSC, UNDP

No.	Recommendation	Responsibility
	it would be useful to describe the objectives of the knowledge management activities, including development of case studies. And it would be advisable to rethink the overall knowledge management approach. For instance, it might be more effective for the grantees to be responsible for collecting inputs (e.g., photographs, video clips, audio recordings, results of the interventions, etc.) for knowledge products and having a knowledge management expert organization develop the actual products – in coordination with the UCP Global Coordinator and the CPMT KM focal point. There are also opportunities to document/record traditional knowledge (e.g., the way in which wildlife is an integral part of livestock rearing of some pastoralists) with free, prior, and informed consent from local communities.	
Capacity development		
7.	Arrange cross-learning exchanges among the landscapes-seascapes, integrate capacity development needs and plans into the landscape-seascope strategies, and develop a programme-wide capacity development strategy for SGP in Kenya. It would be advisable to capitalize on the services of the two NGOs awarded capacity development grants as part of the 3 rd call for proposals, by organizing cross-learning exchanges across the landscapes-seascapes. And the capacity needs assessments and plans for delivering capacity building to the local CBOs should be integrated into the landscape-seascope strategies, rather than as stand-alone documents. The lessons learned and capacity development approaches at the landscape-seascope levels should be consolidated into a programme-wide capacity development strategy for the SGP in Kenya that would be regularly updated and made available to grantees, strategic partners, and NSC members.	CPMU, NSC, UNDP
8.	Incorporate the use of planning grants into the SGP capacity development strategy. Planning grants should be utilized as one of the mechanisms to deliver capacity building to project proponents, particularly those with limited experience in preparing grant proposals and delivering community development interventions. The NSC should table a discussion on defining the National Coordinator's tolerances with respect to approving planning grants, in some cases without a formal call for proposal and without NSC review, provided that costs are appropriately justified, decisions are documented, and the NSC is informed.	NSC, CPMU, UNDP
Monitoring & evaluation and social and environmental safeguards		
9.	Establish standard approaches for reporting on project indicators. Reporting is inconsistent among some of the indicators in the project results framework, e.g., Indicator A (increased area with improved community management) and Indicator D (metric tons of CO ₂ e avoided as a result of increased community adoption of energy efficient and renewable energy systems. The project should establish clear guidance for reporting against project indicators, e.g., greenhouse gas emissions avoided should be reported for the lifetime of the investment and agreed emission factors should be applied consistently. The CCM results should be disaggregated by gender, urban-rural area, and excluded groups. A consistent approach for reporting on progress towards achievement of results under Indicator A should also be developed, and the results should be reported separately according to the GEF-6 corporate results outlined in the CEO Endorsement Request. It is recommended that a short-term consultancy be recruited to strengthen M&E reporting.	CPMU, UNDP
10.	Strengthen capacity building and monitoring & evaluation associated with social and environmental safeguards, including those associated with indigenous peoples. The CPMU should instill a standard operating procedure for ensuring strategic partners and grantees are trained on UNDP social and environmental standards and for ensuring safeguards are put in place and participatory monitoring is implemented, including for activities involving with indigenous peoples. For example, in accordance with Standard 6 (Indigenous Peoples) of the UNDP Social and Environmental Standards, free, prior, and informed consent (FPIC) should be secured where rights, lands, resources, territories, traditional livelihoods may be affected.	CPMU, UNDP, NSC
11.	Complete the gender analysis and action plan for the project, and monitor and evaluate progress towards achievement of the gender mainstreaming objective. The draft gender action plan should be completed according to the SGP guidance note for OP7; a gender analysis should be made for each of the three landscapes-seascapes; the mandatory SGP indicators should be included in the gender action plan; the completed and ongoing projects should be evaluated for progress towards the indicators; the gender mainstreaming section of the grant proposals should be made more quantitative, e.g., including the mandatory SGP gender indicators at a minimum. And gender disaggregation should be reported across the project results framework.	CPMU, UNDP, NSC
Sustainability		
12.	Develop and implement a sustainability plan, including mainstreaming priority actions included in the landscape-seascope strategies and facilitating implementation of the seventh operational phase (OP7) of the SGP in Kenya. The sustainability plan should include updated landscape strategies, incorporating lessons learned from OP6, highlighting opportunities for upscaling successful interventions, identifying priority actions to mainstream into county development plans, and describing potential partnerships and funding sources.	CPMU, NSC, UNDP

Abbreviations and Acronyms

Exchange Rate, KES: USD:

At project start (25 September 2017):

102.100

At midterm review (29 June 2020):

105.516

BCCCA	Baringo County Community Conservancies Association
BD	Biodiversity (focal area)
BMU	Beach Management Unit
CBO	Community-based Organization
CCM	Climate Change Mitigation
CFA	Community Forestry Association
CMA	Community Managed Area (Fisheries Act)
CMPT	Central Program Management Team
CMPU	Country Program Management Unit
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
COMPACT	Community Management of Protected Areas Conservation project
CSO	Civil Society Organization
GEF	Global Environment Facility
GHG	Greenhouse Gases
GLECA	Greater Lake Elementaita Conservation Area
ha	Hectare
HDI	Human Development Index
ICCA	Indigenous Peoples and Community Conservation Area and Territory
JCMA	Joint Co-management Area
KBA	Key Biodiversity Area
KES	Kenyan shilling
KFS	Kenya Forest Service
KWCA	Kenya Wildlife Conservancies Association
KWS	Kenya Wildlife Service
LD	Land Degradation (focal area)
LMMA	Locally Marine Managed Area
M&E	Monitoring and Evaluation
MTR	Midterm Review
NGO	Non-governmental Organization
NMK	National Museums of Kenya
NSC	National Steering Committee
PIF	Project Identification Form
PIR	Project Implementation Review
PV	Photovoltaic
RLCA	Rift Lakes Conservancies Association
SDG	Sustainable Development Goal
SEPLS	Socio-ecological Production Landscapes and Seascapes
SESP	Social and Environmental Screening Procedure
SGP	Small Grants Programme
SLM	Sustainable Land Management
SMART	Specific, measurable, achievable, relevant and time-bound
tCO ₂ e	Tons of carbon dioxide equivalent
TE	Terminal Evaluation
UCP	Upgraded Country Programme
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
USD	United States Dollar
WHS	World Heritage Site
WRUA	Water Resources Users Association

1 Introduction

1.1 Purpose of the Review

The objective of the MTR was to gain an independent analysis of the progress mid-way through the project. The review focuses on project strategy, progress towards results, project implementation and adaptive management, and the likelihood that the envisaged global environmental benefits will be realized and whether the project results will be sustained after closure.

1.2 Scope and Methodology

The MTR was an evidence-based assessment, relying on feedback from individuals who have been involved in the design, implementation, and supervision of the project, and a review of available documents and findings made during field visits. The overall approach and methodology of the evaluation follows the guidelines outlined in the UNDP Guidance for Conducting midterm reviews of UNDP-supported, GEF-financed Projects¹.

The review was carried out over the period of May-July 2020, including preparatory activities, field mission, desk review and completion of the report. The timing of the MTR coincided with the COVID-19 pandemic. As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. International travel to Kenya and travel in the country was restricted during this timeframe and, therefore, it was not possible to arrange a field mission as part of the MTR.

The MTR methodology was adjusted according to the constraints on travel, considering the evaluation guidelines issued by the UNDP Independent Evaluation Office.²

As a data collection and analysis tool, an evaluation matrix (see **Annex 1**) was developed to guide the review process. Evidence gathered during the MTR was cross-checked between as many sources as practicable, to validate the findings. The desk review was a critical part of the review; the project team assisted in uploading project documentation onto a dedicated Google folder. The list of documents reviewed is included in **Annex 2**, and a compilation of details from the individual grants is presented in **Annex 3**. Stakeholder interviews were held virtually through Skype and Zoom calls; the list of people interviewed is presented in **Annex 4**.

An online questionnaire survey using Google Forms was designed and carried out to obtain feedback from OP6 grantees. A total of 26 responses were received and analyzed through the survey. The results of the survey are reported in **Annex 5** and interpreted throughout the main narrative sections of the MTR report.

The CPMU provided a self-assessment of progress towards results, using the project results framework template provided by the MTR Consultant in the MTR inception report. The project results framework was used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 6**).

Cofinancing details were provided by the CPMU are summarized in the cofinancing table compiled in **Annex 7**.

1.3 Structure of the Report

The MTR report was prepared in accordance with the outline specified in the UNDP-GEF MTR guideline. The report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following categories:

- Project Strategy
- Progress towards results
- Project implementation and adaptive management
- Sustainability

The report culminates with a summary of the conclusions reached and recommendations formulated to enhance implementation during the final period of the project implementation timeframe.

¹ Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.

² Data collection, remote interviews, and use of national consultants. Evaluations during COVID-19. Evaluation Guidelines, UNDP Independent Evaluation Office, June 2020.

1.4 Rating Scales

Consistent with the UNDP-GEF MTR guidelines, certain aspects of the project are rated, applying the rating scales outlined in **Annex 8**.

Progress towards results and project implementation and adaptive management are rated according to a 6-point scale, ranging from highly satisfactory to highly unsatisfactory. Sustainability is evaluated across four risk dimensions, including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical: i.e., the overall rating for sustainability cannot be higher than the lowest-rated dimension. Sustainability was rated according to a 4-point scale, including likely, moderately likely, moderately unlikely, and unlikely.

1.5 Ethics

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR Consultant has signed the Evaluation Consultant Code of Conduct Agreement form (**Annex 9**).

1.6 Audit Trail

To document an “audit trail” of the evaluation process, review comments to the draft report will be compiled along with responses from the MTR Consultant and documented in an annex separate from the main report. Relevant modifications to the report will be incorporated into the final version of the MTR report.

1.7 Limitations

The MTR was carried out according to the Terms of Reference (**Annex 10**) and UNDP guidelines for midterm reviews of GEF-financed projects. The methodology of the MTR was adjusted in response to the travel restrictions associated with the COVID-19 pandemic. As field visits were not possible, the findings of the review were based on desk review, virtual interviews, and online questionnaire surveys.

Considering that some of the grantees lack reliable access to the Internet, the Google Forms online questionnaire survey was created in a way that allowed the respondents to fill in on their mobile telephones.

The MTR Consultant requested photographs and videos from the grantees to supplement the information received through the interviews and questionnaire surveys.

There were no significant limitations associated with language. Project documentation is prepared in English, and there were some members of each of the grantee organizations that have good English language skill.

Overall, the MTR Consultant concludes that the information and feedback obtained sufficiently captured the progress made on the project, remaining barriers, and prospects for sustaining results after GEF funding ceases.

2 Project Description

2.1 Development Context

The Human Development Index (HDI) for Kenya for 2018 was 0.570, which puts the country in the medium human development category, positioning it at 147 out of 189 countries and territories assessed.³ Although progress has been made towards achievement of the Sustainable Development Goals⁴, poverty rates remain significant in the country. As reported in the 2019 Human Development Report and based on 2014 survey data, 38.7% of the population are multidimensionally poor while an additional 34.9% are classified as vulnerable to multidimensional poverty.⁵ The underlying causes of poverty in rural areas in Kenya include low investment and productivity in the agricultural sector and is impeded by land degradation and climate change. The coastal region is particularly underdeveloped in the county with over 62% of inhabitants living below the poverty line.⁶

³ Briefing note for countries on the 2019 Human Development Report: Kenya. UNDP

⁴ Kenya Voluntary National Report (VNR), 2017.

⁵ The Multidimensional Poverty Index identifies multiple overlapping deprivations suffered by individuals across three dimensions: health, education, and standard of living.

⁶ Information included in the UNDP Country Programme Document for Kenya (2018-2022).

The geographic target areas of the project cover three landscapes-seascape, which were selected based on their global environmental significance as well as their cultural and socio-economic relevance to the local communities who are their custodians and are dependent on them. The community level climate change mitigation strategy of the project that primarily involved energy efficiency and renewable energy interventions, was not restricted to a particular geographic area.

World Heritage Site of the Kenya Lake System in the Great Rift Valley. Surrounding these areas and in between the lakes are settlements and rural communities with many of the local people eking out a living from pastoralism, farming, charcoaling, and small-scale mining. As a result of a rapidly growing population, the lake system is under considerable pressure. Common threats include: siltation due to deforestation for timber, fuelwood and charcoal production, and soil erosion from inadequate farming practices; increased abstraction of water in the river catchments for irrigation and human and animal consumption; land degradation from overgrazing and unsustainable agricultural practices and systems; wildlife hunting and poaching; mismanaged tourism; and pollution coming from larger settlements such as Nakuru town and artisanal mining.

The MijiKenda Sacred Kaya Forests. The Kenya coastal region in which the kaya forests are located faces serious livelihood challenges. The majority of the people, over 70% in some areas, live below the poverty line on less than a dollar per day. Many rural households struggle to meet their basic needs, while the population continues to grow. This builds pressure to exploit local forest areas perceived as the only areas of ‘abundant’ and common natural resources. Often Kayas are the only common areas of land remaining in an environment where landlessness is rife, leading to encroachment on Kaya forestland for farming. Kaya forests are also the sole remaining areas with significant tree resources and villagers have no alternative materials for constructing their homes or for obtaining saw-timber. This is compounded by removal of biomass for energy. In a mineral rich region, the kayas are often located in areas where various types of minerals are being extracted such as sand and iron ore. There is constant threat of Kaya encroachment by artisanal mineral extraction.

Marine ecosystem of southern Kenya. The Kenya State of the Coast Report⁷ identified destructive fishing, overfishing, pollution, shoreline change and erosion, habitat alteration and destruction, invasive species, and climate change as major threats to marine ecosystems in Kenya. Major human activities contributing to these threats are fishing, farming, shipping, coastal mining (including salt mining), coastal developments and tourism. Fishers along the coast continue using destructive gear, mainly seine net and ring net (in shallow waters) resulting in degradation of benthic habitats such as corals and sea grasses. The artisanal fishing sector is estimated to employ over 10,000 fishers directly and indirectly may be providing a livelihood to another 60,000.⁸

Energy Efficiency and Renewable Energy. According to Kenya’s Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC) the Land Use, Land Use Change and Forestry (LULUCF) sectors contributed 20,000 Gg CO₂ equivalent of GHG emissions, which is approximately 38 percent of the total emissions, calculated at 54,955 Gg CO₂ equivalent.⁹ Biomass fuels are the most important source of primary energy in Kenya with fuelwood (firewood and charcoal) accounting for over 68% of total primary energy consumption. Studies on biomass energy point to a widening gap between supply and demand for fuelwood, and despite past efforts to promote substitutes, the number of people relying on fuel wood is not decreasing.¹⁰ Industries and institutions are the largest consumers of firewood while urban households are the main consumers of charcoal. Despite large government investments in grid infrastructure, electrification rates in rural areas of Kenya, particularly for households, remains quite low. A study conducted in 2013¹¹ found that although 90% of Kenya’s major public facilities (i.e., markets, secondary schools and health clinics) are now electrified, with a very large number of communities now “under grid”, this does not necessarily translate into rural home and business connection, which at the time and location of the study were 5% and 22% respectively. The most important reason is widespread poverty and a high price of connection to the grid (USD 412 at the time of the study). Additionally, there are still many “off-grid” communities in rural Kenya for which becoming “under grid” may take several years. The shortcomings described above are not only hampering local socio-

⁷ Government of Kenya, 2009

⁸ Ochiwo, 2004

⁹ National Environmental Management Authority – Kenya Second National Communication to the United Nations Framework Convention on Climate Change – 2015.

¹⁰ National Energy Policy, Ministry of Energy, 2013

¹¹ Kenneth Lee et al., 2015 Electrification for “under grid” households in rural Kenya.

economic development but contributing to GHG emissions given the alternatives, including diesel generators, kerosene lamps, dry-cell batteries, and candles. Furthermore, communities pay a very high price for this poor-quality energy.¹²

2.2 Problems the Project Sought to Address

As outlined in the project document, the problem to be addressed by the OP6 project is that global environmental degradation proceeds unimpeded in the three selected land-seascapes, due to the weaknesses in organizational capacities of communities and community organizations to collectively take action in building and maintaining the resilience of these socio-ecological landscapes. Current institutional support to counteract biodiversity loss, land degradation and carbon emissions is significantly weak, and where policies are appropriately targeted e.g. Community Managed Areas, financial support is unforthcoming and technical assistance is erratic and not holistically oriented (involving an integrated approach to social, economic, and ecological factors). While the legal framework prohibits overexploitation of natural resources such as forests, mangroves and fish populations, enforcement is scattered or non-existent. Agricultural extension in the Lakes System and in the sacred Kaya forest landscapes is aimed at individual farmers and bypasses the smallholder organizations and their abilities to provide peer support or pressure to maintain the integrity of these ecosystems and their biodiversity. As a result, progress in making the necessary changes to production practices is insufficiently strong to create a critical mass of adopters and thus benefit ecosystem processes and biodiversity at scale

The solution to the problem is for community organizations in the target land-seascapes to develop and implement adaptive land-seascape management strategies that enhance social, economic, and ecological resilience built upon and maintained through the production of global environmental and local sustainable development benefits. To pursue the achievement of outcomes of these adaptive land-seascape management strategies, community organizations would implement grant projects reviewed and approved by the SGP National Steering Committee, supported by multi-stakeholder platforms involving local government, the private sector, NGOs, academia and other partners, and evaluated periodically and systematically as part of the broader collective process of adjusting management strategies to new information, knowledge, capacities and conditions. In order to meet the energy service needs of these rural communities, in particular of the poorest, the project design called for encouraging private-CSO partnerships as the vehicle to expedite the adoption of renewable energy and energy efficient technologies and mitigate greenhouse gas emissions.

Barriers identified as hindering achievement of the long-term solution outlined above include the following:

- **Barrier 1:** Community organizations lack the means and/or knowledge to plan, manage and coordinate their rural production landscapes with a long-term vision for the conservation of biodiversity, improvement in connectivity and increase in the productivity of ecosystem goods and services
- **Barrier 2:** Community organizations have insufficient capacities to plan their initiatives, implement and evaluate them effectively, and systematically derive practical lessons from the experience and evaluate results, adjust practices and techniques to meet challenges and incorporate lessons learned
- **Barrier 3:** Community organizations do not coordinate with others for collective action in favor of landscape resilience outcomes and for strengthening local social capital
- **Barrier 4:** Community organizations and local NGOs lack the financial resources to motivate and innovate land and resource management practices, and sustain and scale up successful experiences

2.3 Project Description and Strategy

Project Strategy:

The objective of the UNDP-GEF project is to enhance and maintain socio-ecological resilience of selected landscapes and seascapes in ecologically important and sensitive areas in Kenya through community-based initiatives.

The project design was inspired by SGP-Kenya's previous experience with COMPACT and by the "Community Development and Knowledge Management for the Satoyama Initiative" (COMDEKS) programme, implemented by

¹² A World Bank study carried out in 1994, 'Solar energy answer to rural power in Africa' by Robert van der Plas, found that dry-cell batteries provided electricity for about \$3 to \$10 per kWh. A candle or a kerosene wick lamp does provide high-quality light, but households need, respectively, about 60 or 20 of them to obtain the same amount of light emitted by a single 60 W incandescent lamp or a single 12W compact fluorescent. As a result, people who use candles or kerosene typically limit themselves to using only enough light points to enable walking around the home.

twenty SGP Country Programs around the world. COMDEKS and COMPACT principles that were integrated into the project strategy for OP6 included the following:

- Community-based organizations are the driving force in rural development strategies and must take the lead in project planning, landscape governance, project execution, and monitoring.
- Participatory land/seascape governance represents an effective foundation for the organization of community-based, multi-stakeholder approaches to land and resource management.
- Integrated solutions are effectively addressed through action at the land/seascape level, as the scale is large enough to include various communities, processes and systems that underpin ecosystem services, rural economic production, and local cultures.
- Coordinated community projects in the landscape will generate ecological, economic, and social synergies that will produce greater and potentially longer-lasting global environmental benefits, as well as increased social capital and local sustainable development benefits. Multi-stakeholder platforms will also take experience, lessons learned, and best practices from prior initiatives and implement a number of potential scaling up efforts during this project's lifetime.

The project strategy for OP6 in Kenya was formulated across the following two components.

COMPONENT 1: Resilient rural land and seascapes for sustainable development and contribution to global environmental projection

Outcome 1.1: Multi-stakeholder platforms established/ strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits

Outcome 1.2: Ecosystem services and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes

Outcome 1.3: The flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions

Outcome 1.4: Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets

Outcome 1.5: Multi-stakeholder partnerships develop and implement initiatives for community integrated low-emission systems

COMPONENT 2: Capacity building and knowledge management

Outcome 2.1: Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training

Outcome 2.2: Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated, and made available to policy makers at county and national level

Target landscapes-seascape:

The three target landscapes-seascape are described below.

The WHS Lake System of the Great Rift Valley: The Lake Bogoria production landscape, in particular the middle and lower parts of the basin, are critical to the Greater Kudu dispersal corridor and to aquatic ecosystem species diversity. The project strategy aimed to support community-based organizations and networks that cover the entire Lake Bogoria Basin such as the Water Resources Users Association and even a larger area, such as the Baringo County Community Conservancies Association (BCCCA) and the Rift Lakes Conservancies Association (RLCA), given their critical role for replication, up scaling and sustainability. The project design also called for establishing the foundation for future work in the Lake Elementaita sanctuary production landscape by strengthening the association of conservancies in the area – the Greater Lake Elementaita Conservation Area, and ensuring that it will operate as a multi-stakeholder platform for this landscape. Working in Lake Nakuru's production landscape was uncertain given the nature of the threats and the political context (Nakuru town's influence, land conflicts in the Mau Forests that form the catchment area of the Lake, among others).

The Sacred Kaya Forests: As part of a long-term strategy for conserving all Kaya forests, the project was designed to support the production landscape comprised of the nine WHS Kayas and their individual 5 km² buffer zones. Expansion to other Kayas was indicated in the design as a possible option as opportunities emerge. The multi-stakeholder platform to be established and the support to an Elders Committee was envisaged to encompass all Kaya communities willing to

participate. It was also expected that the process to develop a Kaya participatory strategy and management plan will cover a large number of Kayas, beyond the nine selected for early interventions. It was noted in the project document that during the project preparation consultation process it was made explicit that previous development initiatives with Kaya communities had not been successful. The main reason seems to be the extreme poverty of local communities and the low levels of CBO capacities to plan and manage projects, including the management of funds. The project design specified that SGP and other partners such as WWF would dedicate resources and efforts to build the capacities of CBOs to ensure grants are used efficiently and effectively.

The Southern Marine Ecosystem of Kenya: The target seascape in the southern marine ecosystem is the Shimoni-Vanga fisheries co-management area. The management plan for the area was described in the project document as very advanced and key stakeholders were considered committed to its implementation as soon as approved. SGP had several years of experience working in the southern coast and built strong relationships with a number of CBOs beyond the Shimoni-Vanga area. Consequently, it was decided that SGP may consider and approve projects outside Shimoni-Vanga if these initiatives help pilot initiatives and demonstrate improved management of marine resources that could be replicated or up-scaled in the target seascape.

2.4 Implementation Arrangements

The project is being implemented under an agency implementation modality, with UNDP as the GEF implementing agency and UNOPS as the executing partner.

UNDP provides overall program oversight and takes responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP also provides high-level technical and managerial support through the Low Emissions Climate Resilient Development Strategies cluster and from the UNDP Global Coordinator for Upgrading Country Program, who is responsible for project oversight for all upgraded country program projects worldwide. SGP's Central Program Management Team (CPMT) monitors the project for compliance of upgraded country programs with the core policies and procedures of the SGP as a GEF Corporate Program

The UNDP Country Office is the business unit in UNDP for the SGP project and is responsible to ensure the project meets its objective and delivers on its targets. The Resident Representative signs the grant agreements with beneficiary organizations on behalf of UNOPS. The Country Office makes available its expertise in various environment and development fields, and also provides support at the local level such as infrastructure and financial management services, as required. UNDP is represented in the NSC, and actively participates in grant monitoring activities

UNOPS provides country program implementation services, is responsible for SGP's financial management and provides quarterly financial reports to UNDP

The National Steering Committee acts as the project steering committee, responsible for taking appropriate management decisions to ensure that the project is implemented in line with the GEF-SGP Operational Guidelines and the agreed project design and is consistent with national and state development policies and priorities.

The Country Program Management Unit (CPMU) is serving as the project management unit and is responsible for the day-to-day implementation of project activities and for the overall coordination of the project, including operational planning, supervision, administrative and financial management and the adaptive management of the project based on inputs from the project monitoring and evaluation plan and the annual Project Implementation Review (PIR). The CPMU is comprised of two full-time staff, including the National Coordinator and the Program Assistant.

2.5 Project Timing and Milestones

Project Milestones:

Received by GEF:	03 August 2015
Preparation Grant Approved (PIF approval date):	04 May 2016
Project Approved for Implementation:	18 June 2017
Start Date (project document signed by Government of Kenya):	25 September 2017
Project Inception Workshop:	14-15 March 2018
Midterm Review:	May-July 2020
Closing Date (Planned):	25 September 2020
Closing Date (Revised):	25 September 2021

The Project Identification Form (PIF) was approved on 03 August 2015 for incorporation into the GEF Council Work Programme for the GEF-6 replenishment cycle. Following the project preparation phase, the project obtained approval for implementation by the GEF CEO on 18 June 2017. The official start date of the project is 25 September 2017, when the Government of Kenya signed the project document. The inception workshop was held on 14-15 March 2018, roughly six months following the project start date. The delay in commencing project implementation was due to the political unrest in Kenya at that time that disrupted everyday life and restricted travel. The project was granted a one year, no-cost time extension in June 2020, revising the closing date from September 2020 to September 2021. The time extension was requested because of the delayed start, particularly considering the 3-year duration of the project. The COVID-19 pandemic has exacerbated the challenges associated with the project implementation timeframe. The third and final set of grants were awarded in June 2020 and are slated to be completed by the revised closing date of September 2021. With the restrictions imposed due to the COVID-19 crisis, there is concern on whether the planned activities will be able to be implemented without significant disruptions or pauses.

2.6 Main Stakeholders

The main stakeholders for the project and their indicative roles and responsibilities are outlined in the project document, as copied below in **Table 4**.

Table 4: Project stakeholders listed in the project document

Main stakeholders	Relevant roles
Communities and men and women within the communities	Communities own or manage the land in the target landscapes and use the natural resources in and around their lands. Their active participation in and ownership of the land/seascape planning process and the implementation of the management plan are indispensable
Community-based organizations, including: <ul style="list-style-type: none"> Community Forest Associations (CFAs) Community Wildlife Conservancies (CWCs) Water Resources Users Associations (WRUAs) Beach Management Units (BMUs) Kaya Committees of Elders Self-help groups 	<p>Organized community groups have been empowered by Kenyan policies and laws to be stewards of natural resources and ecosystems through participatory management. For example, while the Kenya Forest Service (KFS) retains ownership over the resource, <u>CFAs</u> can enter into management agreements with KFS and play a direct role in the management of the forest.</p> <p>Following the enactment of the Wildlife Act in 2013, wildlife conservation is now a recognized form of land use. A <u>conservancy</u> is land set aside by an individual landowner, corporate body, group of owners or a community for purposes of wildlife conservation.</p> <p>According to the Water Resources Management Rules of 2007 a <u>WRUA</u> is an association of water users, riparian landowners, or other stakeholders who have formally and voluntarily associated for the purposes of cooperatively sharing, managing, and conserving a common water resource. WRUAs develop sub-catchment management plans to, among other things, address the needs of users and resolve any conflicts between different uses and users, and development of user agreements.</p> <p><u>BMUs</u> are the backbone of fisheries co-management in Kenya. Key objectives of BMU establishment are to strengthen the management of fish-landing stations, fisheries resources, and the aquatic environment. Since the enactment of BMU regulations in 2007 some 73 BMUs have been formed along the Indian Ocean coast. These are under the Kenya Fisheries Service in the State Department of Fisheries and Blue Economy of the Ministry Agriculture, Livestock and Fisheries.</p> <p><u>Elders</u> have traditionally been the custodians of the sacred Kaya forests and will continue playing an important role in preserving the cultural values that have kept the Kaya forests standing. In some Kayas, there are Committees of Elders and according to the Kaya forest strategy there are some Elder Committees formed at the County level.</p> <p><u>Self-help groups</u> registered by the Ministry of Gender, Children and Social Development have been common vehicles for women's savings and credit in Kenya. Started by women to pull together resources for self-help, they are now also popular among the youth as a tool to gain access to government funding support and for investment.</p> <p>The above community-based organizations and others present in the geographic areas of SGP intervention will be invited to be part of land/seascape multi-stakeholder platforms and to submit project proposals for funding.</p>
National NGOs	These will be identified on a competitive basis through specific calls for proposals for projects that contribute to land/seascape planning, management, and monitoring. Select NGOs will also contribute their experience and expertise to

Main stakeholders	Relevant roles
	strengthening the institutional, financial, and marketing capacities of community-based organizations
Governments of Baringo, Kilifi and Kwale Counties	Devolution is enshrined in Chapter 11 of the Kenya Constitution of 2010. In 2013, a new national Senate representing the 47 counties was elected, and 47 new county governors and county assemblies were elected and began the work of setting up new institutions and implementing their devolved responsibilities. Functions and funds have been transferred to the new counties, and new county institutions are gradually taking shape. County Governments are, therefore, key stakeholders for the sustainable management of the land and the natural resources within their jurisdiction. County government representatives at the highest possible level will be central to all multi-stakeholder platforms. There are also expectations that priorities identified in the land/seascape strategies and management plans will be mainstreamed in the respective County Annual Development Plan, which is a precondition to include project funding in the County Budget Proposal to be considered by Parliament.
National Government Ministries and Departments, in particular: <ul style="list-style-type: none"> Ministry of Environment and Natural Resources National Environmental Management Authority (NEMA) Kenya Forest Service (KFS) Kenya Wildlife Service (KWS) State Department of Fisheries Ministry of Water Resources and Irrigation Water Resources Management Authority (WRMA) Ministry of Agriculture 	Communities and CBOs are key to achieving national environmental and natural resources policy objectives and, therefore, national government institutions will be invited to participate in the land/seascape multi-stakeholder platforms and to contribute to CBO initiatives supported by SGP as relevant to their mandates. SGP will ensure these institutions are informed of any policy-relevant findings and experiences resulting from the implementation of SGP grants and activities at the land/seascape level.
National Museums of Kenya (NMK)	NMK is a state corporation responsible for collecting, preserving, studying, and documenting Kenya's past and present cultural and natural heritage; therefore, they are responsible for UNESCO World Heritage Sites in the country. As such, NMK is a key stakeholder in the management of the Sacred Mijikenda Kaya forests along with KFS and the County Governments of Kilifi and Kwale. NMK will be invited to join the multi-stakeholder platform for the Kayas and contribute to and support CBO activities funded by SGP

3 Findings

3.1 Project Strategy

3.1.1 Project Design

The multifocal area project was approved under the GEF-6 replenishment cycle and aligned to the following biodiversity (BD), climate change mitigation (CCM) and land degradation (LD) focal area objectives and programs:

BD-4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors; **Program 9:** Managing the Human-Biodiversity Interface.

Outcome 9.1: Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management

CCM-1: Promote Innovation, Technology Transfer, and Supportive Policies and Strategies; **Program 1:** Promote the timely development, demonstration, and financing of low-carbon technologies and mitigation options.

Outcome A: Accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration

LD-1: Agricultural and Rangeland Systems: Maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods; **Program 1:** Agro-ecological intensification.

Outcome 1.1: Improved agricultural, rangeland and pastoral management

The project strategy was developed in accordance with the SGP global programming directions and experiences during earlier operational phases of GEF-SGP in Kenya, as well as the results in other countries involved in the Community

Development and Knowledge Management for the Satoyama Initiative (COMDEKS). The project design integrated the concepts and approaches demonstrated under the COMDEKS program, such as socio-ecological production landscapes and seascapes (SEPLS).

The three target landscapes-seascapes are located within or near key biodiversity areas (KBAs) (see **Table 5**), thus reinforcing the project's contributions towards protecting globally significant biodiversity.

Table 5: Key biodiversity areas (KBAs) among project landscapes-seascape

Site ID	KBA site name	Project Landscape	Area (ha)	Latitude	Longitude
6435	Lake Bogoria National Reserve	Lake Bogoria	15,000	0.25	36.12
22353	Kaya Chonyi	Sacred Kaya Forest	200	-3.78	39.68
23827	Kaya Mtswakara	Sacred Kaya Forest	120	-3.92	39.58
22380	Shimoni Forests	Shimoni-Vanga	1,400	-4.65	39.38

With respect to the indicative budget included in the Project Document, there are limited details included in the budget notes, making it difficult to ascertain how the budget was broken down.

The project theory of change presented in the project document is copied below in **Figure 1**.



Figure 1: Theory of change

3.1.2 Results Framework

As part of this midterm review, the project results framework for the project was assessed against “SMART” criteria, to evaluate whether the indicators and targets were sufficiently specific, measurable, achievable, relevant, and time-bound. With respect to the time-bound criterion, all targets are assumed compliant, as they are set as end-of-project performance metrics.

The project results framework is extensive, with seven (7) outcomes and twenty-three (23) indicators, some having multiple end targets.

Project Objective:

There are four indicators at the project objective level, as described below in **Table 6**.

Table 6: SMART analysis of project results framework (project objective)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Objective: Community-based initiatives enhance and maintain socio-ecological resilience in selected landscapes and seascapes in ecologically important and sensitive areas in Kenya							
A. Increased area with improved community management	0 hectares. Communities’ production practices in and around Lake Bogoria National Reserve are generally causing land degradation, decreased water quality and quantity, and biodiversity loss, as well as affecting carbon capture and storage, in spite of previous work by WWF to improve watershed governance with community participation in the area. However, communities are increasingly willing to address wildlife conservation if external support is made available to them. Kaya forest ecosystems are being degraded and community organization and traditional institutions are very weak. Ad hoc support provided by CSOs to communities has often been unsuccessful. Biodiversity loss and depletion of marine resources continue unabated, as available support to community-based organizations such as Beach Management Units is currently insufficient. However, awareness raising efforts and other initiatives in various parts of the coast have led to the establishment of Community Managed (marine) Areas (CMAs) and to the Joint Co-Management Area (JCMA) in the Shimoni-Vanga marine seascape.	A total of 156,000 hectares with improved management in the following landscapes/seascapes: <ul style="list-style-type: none">Rift Valley Lakes: 40,000 hectares of Lake Bogoria’s production landscape under improved community management.Kaya Forests: 30,000 hectares, including the protected forests and surrounding production landscape under improved community management involving nine Sacred Mijikenda Sacred Kaya coastal forests in Kilifi and Kwale Counties.Southern Kenya marine ecosystem: 86,000 hectares of seascape under improved community management in the Shimoni-Vanga Fishery Area of Kwale County	Q	Q	Q	Y	Y
B. Number of community groups practicing sustainable livelihood activities that meet national/international standards or in accordance with best practice	0 communities	At least 30 community groups in the target landscapes-seascape	Y	Y	Y	Y	Y
C. Number of jobs created through sustainable management of land and natural resources, environmentally friendly economic activities that add value to resource extraction, and provision of or access to renewable energy services, disaggregated by sex, and rural and urban locations	Baseline not available for project areas	At least 30 part or full-time jobs, of which a minimum of 30% are for women and 90% are in rural areas, created	Q	Y	Y	Q	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
D. Metric tons of CO ₂ e avoided as a result of increased community adoption of energy efficient and renewable energy systems	Baseline not available for project areas	81,682 metric tons of CO ₂ e avoided	Q	Q	Q	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant (yes); Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria (no)							

Objective Indicator A is a measure of the area under improved management, which reflects the GEF-6 corporate results Nos. 1 and 2. Based on the CEO Endorsement Request for the project, the 156,000 ha end target is broken down by 135,950 ha under GEF-6 corporate result No. 1 (Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society) and 20,050 ha under GEF-6 corporate result No. 2 (Sustainable land management in production systems (agriculture, rangelands, and forest landscapes). It is unclear how these figures were envisaged distributed among the three project landscapes-seascape. Moreover, the 156,000 ha end target is quite expansive and it would have been advisable to consider the experiences from previous operational phases as baseline conditions. Achievability is questionable, e.g., for the Shimoni-Vanga seascape. The local Beach Management Units (BMU) in that seascape cover the near-shore ecosystems; however, the 86,000 ha end target extends to off-shore areas, out to the Exclusive Economic Zone (EEZ). It would have also been important to clearly document how this target was envisaged to be achieved (lesson learned).

Objective Indicator B reflects the strong livelihoods dimension of SGP, and the end target of 30 community groups practicing sustainable livelihood initiatives is relevant and reasonable.

Objective Indicator C is the number of jobs created through sustainable management of natural resources, with an end target of 30 jobs, of whom 30% are women and 90% in rural areas. The term “jobs” can be misleading, e.g., part-time, or full-time, and more importantly, possibly jobs that are only created during the period of project implementation. For most people living in rural areas in developing countries, income is gained from a variety of sources and often varying significantly across seasons. And these people, e.g., farmers, are not in formal “job” positions. Creation of jobs does not seem to be an appropriate indicator for measuring sustainable livelihood benefits, which are not only reflected in terms of financial capital, but also can be measured in human capital (e.g., skills obtained through training), social capital (e.g., increased collaboration with stakeholders in the landscape), nature capital (e.g., increased soil fertility), etc. Describing and measuring the number of direct project beneficiaries might have been a more appropriate indicator (lesson learned).

Objective D is a measure of tons of CO₂ equivalent (tCO₂e) mitigated through increased adoption of community energy efficiency and renewable energy solutions. This indicator is consistent with GEF-6 corporate result No. 4 (Support to the transformational shifts towards a low-emission and resilient development path). There was no evidence available describing how the end target of 81,682 tCO₂e mitigated was estimated and broken down. Based on the entries in the GEF core indicator worksheet, the envisaged mitigation benefits were allocated for renewable energy and energy efficiency interventions, i.e., outside the agriculture, forestry, and land use (AFOLU) sector. The project strategy includes interventions in the AFOLU sector, such as improved pasture management practices, but these were primarily described under the biodiversity and land degradation focal areas and climate change mitigation benefits were not considered (lesson learned).

Component 1: Resilient rural land and seascapes for sustainable development and contribution to global environmental protection

There are five outcomes under Component 1. Outcome 1.1 is focused on establishing multi-stakeholder platforms and partnerships and developing inclusive landscape strategies, as outlined below in **Table 7**.

Table 7: SMART analysis of project results framework (Outcome 1.1)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.1: Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape-seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits							
1.1.1. Number of multi-stakeholder platforms operating effectively with strong CSO participation and inputs in target landscapes	A multi-stakeholder platform for Lake Elementaita (Greater Lake Elementaita Conservation Area –GLECA) in the Rift Valley has been formed and registered but is not operating effectively.	Four multi-stakeholder platforms operating effectively with strong CSO participation as follows:	Q	Y	Y	Y	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
	No multi-stakeholder platform with community participation exists for the Kaya forests Shimoni-Vanga Joint Co-management Area (JCMA) Committee, a multi-stakeholder platform formed for the preparation and implementation of the seascape's management plan. The JCMA plan is yet to obtain final endorsement.	<ul style="list-style-type: none"> One platform each for Lake Elementaita and Lake Bogoria in the Rift Valley A Kaya forest multi-stakeholder platform A seascape multi-stakeholder platform for the Shimoni-Vanga Area working effectively with strong community input 					
1.1.2. Number of participatory adaptive strategies and management plans developed	Strategic documents and management plans exist for all target landscapes/seascape, however, two require updating and all need further elaboration to incorporate CSO perspectives	An adaptive participatory strategy and plan with a socio-ecological baseline assessment and a typology of community interventions for each target landscape-seascape	Y	Y	Y	Q	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant (yes); Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria (no)							

Indicator 1.1.1 is a measure of the number of multi-stakeholder landscape-seascape governance platforms. It would have been helpful to be more specific on what is envisaged in these governance platforms, e.g., inclusion of local government officials, and define what the term “operating effectively” means, i.e., only through the lifespan of the project or intended to continue following project closure (lesson learned).

The end target for Indicator 1.1.2 calls for development of three landscape-seascape strategies; this seems more of an output level indicator and not a measure of achievement of Outcome 1.1. For example, this indicator could have been strengthened by aiming to mainstream priority actions into local government development plans..

Outcome 1.2 captures the biodiversity focal area aspect of the project, as measured by the four indicators described below in **Table 8**.

Table 8: SMART analysis of project results framework (Outcome 1.2)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.2: Ecosystem and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes							
1.2.1. Number of community conservancies established-strengthened in the Great Rift Valley Lakes Area	3 community conservancies registered in Lake Bogoria landscape but not aligned with the new Kenya Wildlife Act and the Community Land Act	3 community conservancies formalized, operational and with a respective management plan in Lake Bogoria: <ul style="list-style-type: none">Kiborgoch Community Wildlife and Wetland ConservancyIrong Community ConservancyChuine Community Conservancy	Q	Y	Y	Y	Y
1.2.2. Number of hectares under conservation agreements	0 hectares but communities have started the process of determining the area to be set aside for conservation within their communal lands	Conservancies in Lake Bogoria covering an area of at least 10,451 hectares and BMUs in Shimoni-Vanga managing 9,040 hectares as CMAs	Y	Y	Y	Y	Y
1.2.3. Number of conservancy associations strengthened	A Rift Lakes Conservancies Association (RLCA) involving several ranches and conservancies from the Rift Valley lakes was registered in 2014 but membership is largely comprised of private rather than community conservancies. A Baringo County Community Conservancies Association (BCCCA) is in the process of being formed	Two conservancy associations strengthened: <ul style="list-style-type: none">Rift Lakes Conservancies AssociationBaringo County Community Conservancies Association	Q	Y	Y	Y	Y
1.2.4. Number of community interventions that specifically improve biodiversity conservation in the target landscapes-seascape and that are consistent with their respective management plans (see	0 community interventions addressing biodiversity conservation in the target areas	At least 8 community initiatives each in Lake Bogoria and the Kaya landscapes conserve biodiversity in accordance with priorities identified in the respective landscape strategies and management plans	Y	Y	Q	Y	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.1). Examples are: maintaining habitat connectivity between areas critical for the dispersal of the Greater Kudu around Lake Bogoria; poaching control; conservation and restoration of native forests through natural regeneration and sustainable use of non-timber forest products (e.g., honey, fibers, essential oils); ecotourism as a source of revenue to sustain community conservancies; documentation of traditional knowledge of Kaya vegetation; management of fish spawning areas including mangrove and coral reef protection; control of illegal fishing gear and respect of no-take zones		At least 15 community initiatives conserve coastal and marine biodiversity in the southern seascape of Kenya, consistent with priorities identified in the Shimoni-Vanga Joint Co-Management Area Plan and other conservation priorities identified by Beach Management Units (BMUs) for their Community Managed Areas (CMAs)					

With respect to Indicator 1.2.1, it might have been advisable to use an established tool, such as the management effectiveness tracking tool (METT), for measuring how the community conservancies are strengthened over the course of the project (lesson learned). Similarly, the definition of “strengthened” under Indicator 1.2.3 is not described. Applying the METT would be feasible for the SGP, and participatory assessments could be facilitated through the multi-stakeholder governance platforms. Management effectiveness tools have been used for community conservancies in Kenya¹³. Incorporating the METT into a project results framework could be done at the outcome level, understanding that GEF Core Indicator 1 is not being considered under the SGP.

The Kaya Forest landscape is represented in one of the four indicators under this outcome.

It is clear that the projects in the Shimoni-Vanga landscape were expected to be primarily under the biodiversity focal area and, therefore, the end target (15) for the number of conservation projects for this seascape was considerably larger than the other two landscapes (8 projects each). Considering the capacity constraints of the CBOs in the Shimoni-Vanga seascape, targeting 15 projects might have been overly ambitious. Setting the end target as the number of interventions that specifically improve biodiversity conservation does not fully capture the envisaged outcome (lesson learned).

Outcome 1.3 reflects the land degradation focal area aspect of the project, measured across the four indicators outlined below in Table 9.

Table 9: SMART analysis of project results framework (Outcome 1.3)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.3: Flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions							
1.3.1. Number of farmers adopting agroecological principles and practices and number of hectares of farmland under agroecological production systems	Baseline is 0 for Lake Bogoria and Kaya forest landscapes	40 farmers (at least 30% women) practicing agroecological production in the Lake Bogoria and Kaya forest landscapes with at least 50 hectares of farmland under agroecological production (e.g., practices such as intercropping, crop rotation, agro-forestry, organic fertilisation, reduced tillage)	Q	Y	Y	Y	Y
1.3.2. Number of Lake Bogoria pastoral communities with improved grazing practices and number of hectares of land under improved, sustainable grazing	0 communities in the target production landscape	At least 4 community groups with improved grazing practices (e.g., holistic planned grazing) on at least 20,000 hectares	Q	Q	Q	Y	Y
1.3.3. Number of communities with diversified food production systems improving resilience to drought and other causes of crop failure: and	Baseline not available for project areas. Baseline to be determined for	At least 3 community groups have each (re) introduced 2 to 3 indigenous or new food crops to their production systems	Q	Y	Y	Y	Y

¹³ Campese, J. & Sulle, E. (2019). Management Effectiveness, Governance, and Social Assessments of Protected and Conserved Areas in Eastern and Southern Africa: A rapid inventory and analysis to support the BIOPAMA programme and partners. BIOPAMA, IUCN ESARO.

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
number of food crops and products introduced	individual community projects.						
1.3.4. Number of community interventions in the Lake Bogoria basin contributing to improved water quantity and quality, including to reduce silt run-off, as well as to allow infiltration into aquifers to help maintain wetland biodiversity	Baseline for project areas not available	At least 4 community groups implementing actions such as restoration of riverbank vegetation, relocation of cattle watering points, rainwater harvesting, reduced water abstraction for irrigation agriculture, as well as improved farming practices that reduce siltation	Q	Y	Y	Y	Y

The focus on adopting agroecological practices under Indicator 1.3.1 is described for the Lake Bogoria and Kaya forest landscapes. Agroecological practices are also relevant for marine and inland fisheries, as the definition of agroecology is commonly referred to as concepts and principles associated with the management of sustainable food systems; (lesson learned). The number of farmers (40) earmarked in the end target for this indicator seems rather modest, considering the predominant number of farmers in the project landscapes and experiences gained in earlier operational phases.

The end target for Indicator 1.3.2 of 20,000 ha of land under improved grazing seems quite expansive. It would have been useful to describe the experience under previous SGP operational phases as the baseline for this indicator.

With respect to Indicator 1.3.3, in fact for each of the four indicators under this outcome, there could have been a disaggregation by gender. Women play an important role in the management of agroecological systems, and participation of women in the decision-making process regarding selection of new crops in a particular farm or production system would substantively contribute towards women's empowerment.

Indicator 1.3.4 is specific to the Lake Bogoria landscape, with an aim of improving water resource management and protection of wetland biodiversity. It seems that similar objectives of improved water (and soil) conservation would be relevant in the Kaya forest landscape and Shimoni-Vanga seascape (e.g., regarding mangrove forests).

The focus of Outcome 1.4 is on fostering business skills, developing partnerships with private sector enterprises, and strengthening access to financing for activities that deliver economic co-benefits to local communities. The SMART analysis for the set of indicators established for this outcome is presented below in **Table 10**.

Table 10: SMART analysis of project results framework (Outcome 1.4)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.4: Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets							
1.4.1. Number of enterprises established/strengthened	Baseline for the project area not available but at least 1 beekeeping enterprise and a few eco-camps for tourism in the Lake Bogoria area	At least 4 enterprises established/strengthened of which 30% of female entrepreneurs	Q	Y	Y	Y	Y
1.4.2. Number of joint ventures with the private sector	0 joint ventures	At least 2 joint ventures formalized	Y	Y	Y	Y	Y
1.4.3. Number of new products developed	0 products	2 to 4 new products developed and in production	Q	Y	Y		
1.4.4. Number of grant/micro-lending schemes established with credit-lending facilities and banks in support of above enterprises and number of pilot revolving funds/other lending schemes supporting replication, upscaling and sustainability of community-based production activities	0 schemes	At least 2 such schemes established/accessed and lending to community eco-businesses					

With respect to Indicator 1.4.1, the term enterprises can be understood to refer to a business; it might have been more appropriate to refer to the number of CBOs engaged in livelihood activities. More importantly, the number of enterprises established or strengthened appears to be defined by the number of CBOs obtaining grants for livelihood related interventions. And the baseline could have been defined at project inception, when the landscape-seascape strategies were developed.

The term “joint venture” in Indicator 1.4.2 is generally used to define shared ownership between two or more businesses; “partnerships” would have probably been more appropriate (lesson learned).

The focus of Indicator 1.4.3 is on new products. Several of the CBOs in the target landscapes-seascape have existing products and services that are in the need of strengthening.

Among the four indicators only one has a gender dimension. Each of the indicators could in fact be disaggregated by gender, particularly Indicator 1.4.4, which is focused on access to grant/micro-lending.

Outcome 1.5 reflects CSO-private sector partnerships on promoting and implementing low GHG emission activities, as measured by the two indicators described below in **Table 11**.

Table 11: SMART analysis of project results framework (Outcome 1.5)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.5: Multi-stakeholder partnerships develop and implement initiatives for community low-emission systems							
1.5.1. Number of multi-stakeholder partnerships involving CSOs and the private sector promoting and facilitating the application of diverse RE and EE technologies that benefit households and institutions, including for commercial and production uses to ensure sustainability	No such partnership exists in the selected landscapes, however, both the private sector and CSOs have experience in developing and deploying a variety of RE & EE products in Kenya. This includes R&D, micro-finance including the use of mobile phone applications for micro lending, after sales maintenance, etc.	5 to 7 such partnerships established and functionally demonstrating how to deploy and scale-up RE and EE technologies	Y	Y	Y	Y	Y
1.5.2. Number of renewable energy and fuel efficient systems for domestic, production and institutional uses disaggregated by energy source and type of beneficiary (sex, rural/urban and excluded groups). The aggregated CO ₂ mitigation of such RE and EE systems should enable SGP to reach the CO ₂ e mitigation target for phase VI as per Objective Indicator D above	Baseline not available for project areas but estimated to be very low in all landscapes/seascapes	Target to be determined at grant approval stage for each RE/EE technology to be deployed with SGP support, commensurate with the overall phase VI CO ₂ e emission mitigation target	Q	Q	Q	Y	Y

Engagement of the private sector is a key aspect of the project strategy in regard to the CCM focal area, and Indicator 1.5.1 reflects the number of functioning partnerships between local CBOs and private companies on deploying and scaling up community level RE and EE solutions.

With respect to Indicator 1.5.2, the baseline and end target were envisaged to be determined at each stage of grant approval. It would have been advisable to provide clear guidance on how to consistently estimate GHG emissions mitigated over the lifetime of the investments and also how disaggregation of the benefits according to gender, urban-rural, and excluded groups.

Component 2: Capacity building and knowledge management

Component 2 captures the capacity building and knowledge management aspects of the project. There are two outcomes under Component 2; Outcome 2.1 is focuses on capacity building of community-based organizations, and Outcome 2.2 is on generation and dissemination of case studies and best practices.

The single indicator under Outcome 2.1 is a measure of the number of community organizations showing exemplary governance, with some examples listed in the description of the end target, e.g., registration, bylaws, inclusive democratic decisions, accountability, representation, equity, financial management, budget execution, administrative procedures. (see **Table 12**).

Table 12: SMART analysis of project results framework (Outcome 2.1)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 2.1: Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training							
2.1.1. Number of community institutions and community-based organizations such as the Kaya Council of Elders, the Lake Bogoria community conservancies and WRUAS, and the coast BMUs with improved governance and management.	Capacities of community institutions in the target landscapes are very weak	At least one community institution in each target landscape shows exemplary governance (e.g., registration, by-laws, inclusive democratic decisions, accountability.	Q	Q	Y	Q	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
with women's participation and capacity to influence the community and external partners		representation, equity, financial management, budget execution, administrative procedures)					

The indicator is certainly relevant, considering baseline scenario described in the project document regarding the generally low capacities of CBOs in the target landscapes-seascape. It would have been advisable to provide more specific information in the description of the end target, e.g., the process of registration of a CBO or institution of administrative procedures does not necessary mean that the organization has demonstrated exemplary governance. Women's participation is included in the phrasing of this indicator; however, the description of the end target is not disaggregated by gender. And it is questionable whether women's participation is an appropriate measure of progress towards gender equality and women's empowerment, which are the focus of the SGP gender mainstreaming strategy. Aiming for only one CBO in each target landscape-seascape seems a bit light, considering that there have been 25 small grants awarded in the Lake Bogoria landscape, 12 in the Sacred Kaya landscape, and 15 in the Shimoni-Vanga seascape.

Two indicators were established for assessing achievement of results under Outcome 2.2 (see **Table 13** below): Indicator 2.2.1 is a measure of the number of case studies and analyses of best practices for adaptive landscape-seascape resilience prepared, and Indicator 2.2.2 is a measure of the number of meetings with county and government institutions.

Table 13: SMART analysis of project results framework (Outcome 2.2)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 2.2: Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated, and made available to policy makers at county and national level							
2.2.1. Number of case studies and analysis of best practices for adaptive landscape/seascape resilience, systematized and shared at watershed, county, and/or national level	Concept of adaptive landscape/seascape resilience and management is new in all target areas. Currently there are no studies of participatory adaptive landscape management experiences in the region, however, WWF conducted an analysis of their experience in the Lake Bogoria Basin	Participatory case studies by SGP grantees reflecting on their project implementation experience One case study and publication directed at policy-makers and development partners produced and disseminated for each landscape summarizing knowledge gained from landscape planning and management	Y	Y	Y	Q	Y
2.2.2. Number of meetings with relevant County Governments and government institutions providing feedback on policy effectiveness and SGP experience	No such meetings have taken place with respect to the target landscapes/seascape except for marine ecosystems where SGP has partner with CSOs to analyze current policies with respect to CMAs	Meetings at least twice a year with all County Governments involved and at least once during the lifetime of the project with line ministries with participation of SGP NSC members	Y	Y	Y	Q	Y

With respect to Indicator 2.2.1, the indicator is more appropriate at the output level and does not necessarily provide an indication of achievement of Outcome 2.2. Rather than having an indicator focused on the number of case studies and analyses developed, it would have been more relevant to emphasize how the knowledge attained is mainstreamed at the landscape-seascape level (lesson learned). Moreover, knowledge generated through implementation of the climate change mitigation interventions is not reflected in this indicator.

Similarly, Indicator 2.2.2 is a measure of the number of meetings with governmental stakeholders. Whilst it is important to effectively engage government officials, the indicator might have been formulated to measure how the landscape-seascape strategies are recognized or integrated into local government development plans, or incorporated into management plans of nearby protected areas, etc. And there is no mention of engagement with governmental stakeholders regarding the climate change mitigation aspect of the project.

3.1.3 Gender Mainstreaming and Social Inclusion Analysis

The project document indicates a GEN-2 gender marker, which implies the project has gender equality as a significant objective. There is a separate section in the project document on "mainstreaming gender", including a brief gender analysis at a national level and a summary of the following measures the project would take to contribute towards empowering women and address social and economic inequality:

- Women's representation in decision making bodies.
- Mainstreaming gender needs, roles, perspectives, and benefits in the land/seascape adaptive strategy and management plan.

- c. Ensuring the NGOs providing coordination and support services for capacity development at each landscape-seascape are gender responsive.
- d. Ensuring the private sector partners engaged in SGP-supported activities understand and are committed to helping address gender inequalities and meet the needs of women.
- e. Taking affirmative action when calling for grant proposals.
- f. Implement capacity development activities specifically designed to meet women's needs and adapted to overcome women's time and participation constraints.
- g. Reflecting project experiences and results related to gender equality and women's empowerment in knowledge management activities and products.

The discussion on mainstreaming gender in the project document also indicates that the baseline assessments of the landscapes-seascape would form the basis for a more detailed gender action plan. The baseline assessments contain some general information on gender, but do not include a specific analysis of gender issues in the target landscapes-seascape. The landscape-seascape strategies include mention of giving priority to proposals that include issues associated with women empowerment, but there are no specific gender mainstreaming targets in the strategies. The CPMU has been working on a gender action plan; the draft presented below in **Table 14** was provided to the MTR Consultant for review.

Table 14: Gender action plan under development

Project-level activity or gender-related activity	Indicator	Target
Project Objective: To enhance the socio-ecological resilience of selected landscapes and seascapes through community-based initiatives.		
Component 1: Resilient rural landscapes for sustainable development and contribution to global environmental protection		
Gender related output: Gender considerations incorporated in project cycle		
Incorporate gender dimensions in reporting formats, attendance sheets, monitoring and evaluation templates	Number of improved formats	3
Outcome 1: – Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits		
Gender related output: Gender is adequately incorporated in the structures of the multi-stakeholder platforms		
Multi-stakeholder platforms established with TORs developed that include distinct roles for women in leadership and specific targets for membership	Number of multi-stakeholder platforms established with relevant TORs	3
Development of participatory Adaptive management strategies ensures participation of women.	Number of adaptive landscape and seascape strategies participatorily developed	3
Outcome 2: Community groups practice sustainable livelihood activities that promote biodiversity conservation and sustainable land management in specific landscapes and seascapes.		
Gender-related output: Promote the reduction in social and economic gaps for women through their participation and empowerment		
Women groups and women-led groups are awarded grants for project implementation.	Number of women groups and women-led groups that receive grants	At least 30% of all grants
Theme-specific trainings, learning tours, workshops, target at least 40% participation of women	Number of women attending Trainings, learning tours, workshops	at least 40% participation of women
Community—led bio-enterprises are established/strengthened, some of which are managed by women. The enterprises undergo training on incorporating gender dimensions.	Number of community-led bio-enterprises managed by women. Number of trainings that incorporate gender dimensions in community bio-enterprises.	At least 40% of the enterprises 2
Component 2: Capacity building and knowledge management		
Outcome 3: CSOs increase their organizational and financial capacities, and knowledge is enhanced and disseminated		
Gender related output: Strengthen incorporation of gender dimensions in capacity building and knowledge management		
CSOs in each of the 3 landscapes/seascapes undergo trainings on gender mainstreaming, and incorporate gender considerations in governance and management structures	Number of CSOs targeted for training	50
Case study on the role of women in biodiversity conservation and sustainable land management.	Number of case studies	1
Capture lessons learned and best practices in promoting gender considerations in community-driven projects.	Number of case studies	1

3.2 Progress towards Results

3.2.1 Progress towards Outcomes Analysis

Objective: To enhance and maintain socio-ecological resilience of selected landscapes and seascapes in ecologically important and sensitive areas in Kenya through community-based initiatives	
Progress towards achieving the project objective is rated as:	Moderately Satisfactory

There has been reasonably good progress towards achieving the project objective. Grants have been fully allocated under OP6, with 65 small grants and three (3) strategic grants awarded. At the time of the MTR in May-June 2020, none of the grants had been completed; there has been some delays associated with the COVID-19 pandemic. The project has been awarded a one-year, no cost extension until 30 August 2021, allowing time for completion of the full set of grants.

A rating of moderately satisfactory is applied for progress made towards achieving the project objective through midterm, as summarized below in **Table 15**.

Table 15: Progress towards results, project objective

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
A. Increased area with improved community management	0 hectares	56,420 ha, as broken down below	A total of 156,000 hectares with improved management in the following landscapes-seascapes:	Partially on target
	Communities' production practices in and around Lake Bogoria National Reserve are generally causing land degradation, decreased water quality and quantity, and biodiversity loss, as well as affecting carbon capture and storage, in spite of previous work by WWF to improve watershed governance with community participation in the area. However, communities are increasingly willing to address wildlife conservation if external support is made available to them.	35,883 ha	Rift Valley Lakes: 40,000 hectares of Lake Bogoria's production landscape under improved community management	
	Kaya forest ecosystems are being degraded and community organization and traditional institutions are very weak. Ad hoc support provided by CSOs to communities has often been unsuccessful.	6,585 ha	Kaya Forests: 30,000 hectares, including the protected forests and surrounding production landscape under improved community management involving nine Sacred MijiKenda Sacred Kaya coastal forests in Kilifi and Kwale Counties	
	Biodiversity loss and depletion of marine resources continue unabated, as available support to community-based organizations such as Beach Management Units is currently insufficient. However, awareness raising efforts and other initiatives in various parts of the coast have led to the establishment of Community Managed (marine) Areas (CMAs) and to the Joint Co-Management Area (JCMA) in the Shimoni-Vanga marine seascape.	13,932 ha	Southern Kenya marine ecosystem: 86,000 hectares of seascape under improved community management in the Shimoni-Vanga Fishery Area of Kwale County.	
B. Number of community groups practicing sustainable livelihood activities that meet national-international standards or in accordance with best practice	0 communities	41 of the 65 small grants awarded are focused on sustainable livelihood activities.	At least 30 community groups in the target landscapes-seascape	On target
C. Number of jobs created through sustainable management of land and natural resources, environmentally	Baseline not available for project areas	135 jobs reported, of which 34 are being done by women and 28 by youth. Most of the jobs are non-skilled and part-time and	At least 30 part or full-time jobs, of which a minimum of 30% are for women and 90%	On target

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
friendly economic activities that add value to resource extraction, and provision of or access to renewable energy services, disaggregated by sex, and rural and urban locations		more related to the project activities, e.g., clearing land for a hiking trail, fence building, etc., rather than long-term, secure positions.	are in rural areas, created	
D. Metric tons of CO ₂ e avoided as a result of increased community adoption of energy efficient and renewable energy systems	Baseline not available for project areas	Twelve (12) grants have been awarded under the climate change mitigation focal area, with a good mix of energy efficiency and renewable energy solutions. Greenhouse gas (GHG) emissions mitigated are inconsistently reported, and it was not possible to assess progress towards the end target.	81,682 metric tons of CO ₂ e avoided	Unable to assess

Component 1: Resilient rural landscapes for sustainable development and contribution to global environmental protection in: the WHS Lake System of the Great Rift Valley, the Sacred Kaya Forests, and the Southern marine ecosystem of Kenya

There are five outcomes under Component 1.

Outcome 1.1: Multi-stakeholder platforms established/ strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits	
Progress towards achieving Outcome 1.1 is rated as:	Satisfactory

Progress towards achievement of Outcome 1.1 is rated as satisfactory, as outlined below in **Table 16**.

Table 16: Progress towards results, Outcome 1.1

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.1.1. Number of multistakeholder governance platforms/partnerships established and strengthened to support participatory landscape / planning and adaptive management in the three rural landscapes/	A multi-stakeholder platform for Lake Elementaita (Greater Lake Elementaita Conservation Area – GLECA) in the Rift Valley has been formed and registered but is not operating effectively. No multi-stakeholder platform with community participation exists for the Kaya forests Shimoni-Vanga Joint Co-management Area (JCMA) Committee, a multi-stakeholder platform formed for the preparation and implementation of the seascape's management plan. The JCMA plan is yet to obtain final endorsement.	Three multi-stakeholder platforms have been established, one in each of the target landscapes-seascape. For the Lake Bogoria landscape, one platform has been established rather than two envisaged in the project design.	Four multi-stakeholder platforms operating effectively with strong CSO participation as follows: <ul style="list-style-type: none"> One platform each for Lake Elementaita and Lake Bogoria in the Rift Valley A Kaya forest multi-stakeholder platform A seascape multi-stakeholder platform for the Shimoni-Vanga Area working effectively with strong community input 	On target
1.1.2. Number of participatory landscape strategies and management plans for the three targeted rural landscapes	Strategic documents and management plans exist for all target landscapes/seascape, however, two require updating and all need further elaboration to incorporate CSO perspectives	Landscape-seascape strategies have been formulated for each of the three target landscapes-seascape, based upon the results of the participatory baseline assessments.	An adaptive participatory strategy and plan with a socio-ecological baseline assessment and a typology of community interventions for each target landscape/seascape	Achieved

Output 1.1.1: Formal multi-stakeholder platforms established/strengthened on each land/seascape

Multi-stakeholder platforms have been established in each of the three target landscapes-seascape. A photograph taken during the inaugural meeting in January 2020 of the multi-stakeholder forum for the Shimoni-Vanga seascape is shown below in **Figure 2**.



Figure 2: Photo of the inaugural meeting of the Shimoni-Vanga seascape multi-stakeholder forum, Jan 2020¹⁴

From the final report of the inaugural meeting of the forum for the Shimoni-Vanga seascape:

“Purpose of the forum: The main goal of the forum is to develop a long-term working relationship amongst stakeholders in the Shimoni-Vanga Seascape in regard to coastal and marine natural resource use, management and development”

“Objectives of the forum: To facilitate effective and collective decision-making to strengthen conservation of natural resources”

The agreed membership of the Lake Bogoria Multi-stakeholder Forum is as follows:

- 20 Grantees
- Ministry Of Agriculture
- Kenya Forest Services
- Chief Warden – Lake Bogoria National Reserve
- Kenya Wildlife Services
- Reconcile NGO
- Ministries of Environment, Natural Resources and Tourism
- National Environment Management Authority
- Water Resources Management Authority
- Kenya Agriculture Research Livestock Organization
- 3 Ward Administration Officials
- 2 officers from the Member of Parliament
- 3 offices from the Members of County Assembly

And the chair of the Lake Bogoria forum is the County Government CEC Environment.

County officials are closely involved in each of the three landscapes-seascapes. This is an important achievement, particularly with respect to enhancing the durability of the multi-stakeholder platforms after GEF funding ceases.

Output 1.1.2: Adaptive landscape and seascape strategy and management plan developed by multi-stakeholder platforms and local and national CBOs

Landscape-seascape strategies have been developed for each of the three target landscapes-seascape, which were formulated based upon the results of the participatory baseline assessments. The baseline assessments were made

¹⁴ Source: Final report of inaugural meeting, Jan 2020, COMRED. Photo shows Deputy County Commissioner (DCC) Lunga (Mr. Joshat Biwott) giving an opening statement.

using the Satoyama Initiative resilience indicators in Socio-ecological Production Landscapes and Seascapes (SEPLS)¹⁵. A photograph taken during the baseline assessment for the Kaya Forest landscape, along with the SEPLS analysis summary are shown below in **Figure 3**.

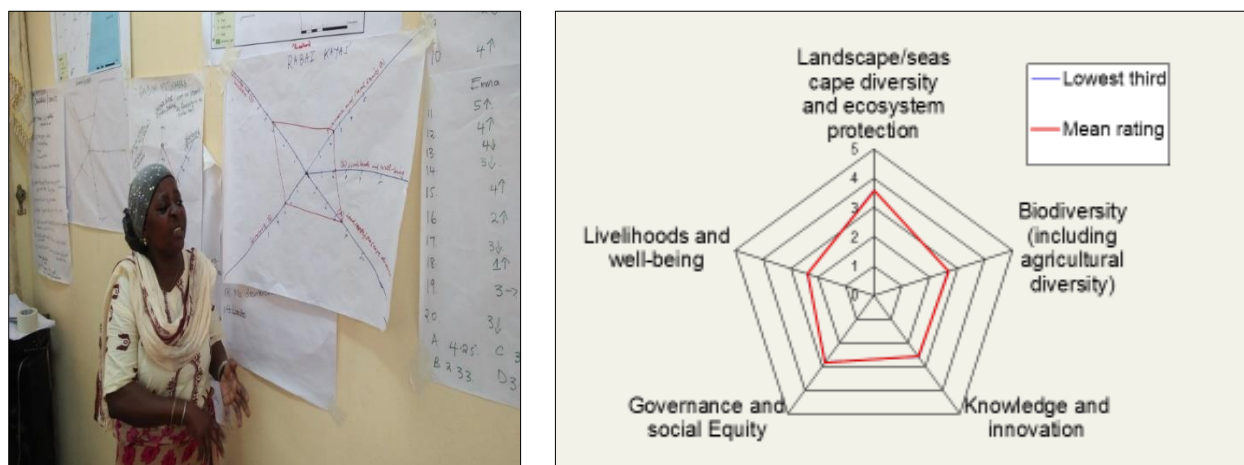


Figure 3: Baseline assessment using SEPLS indicators for the Mijikenda Kaya landscape¹⁶

The landscape-seascape strategies include sets of indicators for each landscape. Some of the indicators are similar or the same to the indicators in the project results framework, but there are no targets established, making it difficult to ascertain how the project envisages achieving the intended project outcomes.

The landscape strategies should be considered living documents, and updated regularly as more information is obtained and the project progresses towards achieving the envisaged results.

Outcome 1.2: Ecosystem services and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes	
Progress towards achieving Outcome 1.2 is rated as:	Satisfactory

Progress towards achievement of Outcome 1.2 is rated as satisfactory, as outlined below in **Table 17**.

Table 17: Progress towards results, Outcome 1.2

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.2.1. Number of community conservancies established/strengthened in the Great Rift Valley Lakes Area	3 community conservancies registered in Lake Bogoria landscape but not aligned with the new Kenya Wildlife Act and the Community Land Act	Grants have been awarded to these three conservancies, for capacity building, mapping and demarcation, rehabilitation of degraded lands and springs. There does not seem to be specific focus on development of management plans.	3 community conservancies formalized, operational and with a respective management plan in Lake Bogoria: <ul style="list-style-type: none"> Kiborgoch Community Wildlife and Wetland Conservancy Irong Community Conservancy Chuine Community Conservancy 	Generally on target
1.2.2. Number of hectares under conservation agreements	0 hectares but communities have started the process of determining the area to be set aside for conservation within their communal lands	Mapping of the three conservancies in the Lake Bogoria landscape sum up to 11,417 ha. Grants have been awarded to the 7 BMUs that cumulatively comprise 9,040 ha of community managed areas.	Conservancies in Lake Bogoria covering an area of at least 10,451 hectares and BMUs in Shimoni-Vanga managing 9,040 hectares as CMAs	On target

¹⁵ UNU-IAS, Bioversity International, IGES and UNDP. 2014. Toolkit for the Indicators of Resilience in Socio-ecological Production Landscapes and Seascapes (SEPLS).

¹⁶ Source: Landscape strategy for building social, economic, and ecological resilience, Mikenda Kaya Landscape of Kilifi County, Oct 2018.

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.2.3. Number of conservancy associations strengthened	A Rift Lakes Conservancies Association (RLCA) involving several ranches and conservancies from the Rift Valley lakes was registered in 2014 but membership is largely comprised of private rather than community conservancies. A Baringo County Community Conservancies Association (BCCCA) is in the process of being formed	A grant has been awarded to the Baringo County Conservancies Association (BCCCA). A decision was made during project implementation to focus on the Lake Bogoria landscape. The other rift valley lakes, including Lake Elementaita and Lake Nakuru are included in the target landscapes for the seventh operational phase (OP7) was under development at the time of the MTR for OP6..	Two conservancy associations strengthened: <ul style="list-style-type: none"> Rift Lakes Conservancies Association Baringo County Community Conservancies Association 	On target
1.2.4. Number of community interventions that specifically improve biodiversity conservation in the target landscapes-seascape and that are consistent with their respective management plans (see Outcome 1.1). Examples are: maintaining habitat connectivity between areas critical for the dispersal of the Greater Kudu around Lake Bogoria; poaching control; conservation and restoration of native forests through natural regeneration and sustainable use of non-timber forest products (e.g., honey, fibers, essential oils); ecotourism as a source of revenue to sustain community conservancies; documentation of traditional knowledge of Kaya vegetation; management of fish spawning areas including mangrove and coral reef protection; control of illegal fishing gear and respect of no-take zones.	0 community interventions addressing biodiversity conservation in the target areas	10 of the 25 grants awarded to CBOs in the Lake Bogoria landscape are under the biodiversity focal area; 11 of the 12 grants in the Kaya Forest landscape are focusing on biodiversity conservation; and each of the 15 grants in the Shimoni-Vanga seascape are being implemented under the biodiversity focal area.	At least 8 community initiatives each in Lake Bogoria and the Kaya landscapes conserve biodiversity in accordance with priorities identified in the respective landscape strategies and management plans At least 15 community initiatives conserve coastal and marine biodiversity in the southern seascape of Kenya, consistent with priorities identified in the Shimoni-Vanga Joint Co-Management Area Plan and other conservation priorities identified by Beach Management Units (BMUs) for their Community Managed Areas (CMAs)	On target

Output 1.2.1: Community wildlife conservancies in Lake Bogoria formalized, operational and with an agreed management plan

Three community conservancies in the Lake Bogoria landscape have been awarded grants: Chuine, Kiborgoch, and Irong. The project at the Chuine conservancy is focused on rehabilitating degraded vegetation and water springs, creating awareness and implementation of a sustainable grazing plan, and mapping and demarcating the boundaries of the land. The objectives of the project interventions for the Kiborgoch conservancy are similar, i.e., reaching agreement on the conservancy boundaries, demarcating the boundaries, developing a land use plan, protecting water springs, and increasing the vegetation cover. The project at the Irong conservancy aims to reduce human-wildlife conflicts, through delineating Greater Kudu corridors and niches, zoning the Kudu habitats, and training community members on wildlife protection. A photograph of the Irong landscape is shown below in **Figure 4**.



Figure 4: Landscape of Irong Conservancy¹⁷

The approved grant proposals do not seem to include development of a management plan, consistent with the envisaged end target for Indicator 1.2.1.

A separate grant was awarded to the Kenya Wildlife Conservancies Association (KWCA) build governance capacity for Baringo County Conservancies Association (BCCA) as a landscape conservancy coordinating body, strengthen governance and management structures of three conservancies and enhanced community ownership, enhance ecosystem management and benefits access through partnerships with Lake Bogoria National Reserve and adjacent three conservancies, and effectively govern 14,500 ha of wetland, riparian, and rangeland landscapes.

Output 1.2.2: Beach Management Units in Kwale County strengthened to facilitate the implementation of the management plans of marine Community Managed Areas, adhere to by-laws and monitor results of conservation efforts

Among the fifteen (15) grants awarded to community organizations in the Shimon-Vanga seascape, seven (7) are being implemented by the following beach management units (BMUs):

- Jimbo BMU
- Kibuyuni BMU
- Vanga Beach SHG BMU
- Wasini BMU
- Mkwirow BMU
- Majoreni BMU
- Shimoni BMU

The types of activities under the grants with these BMUs including strengthening conservation and protection of sensitive coastal and marine habitats, rehabilitating degraded coastal and marine ecosystems, building capacity for collaborative management, increasing compliance with community managed area bylaws, boundary demarcation, training on monitoring, compliance, and surveillance (MCS) skills, etc.

Apart from the grants to the BMUs, the Pwani Fish Marketing organization is implementing a project that involves training members of three BMUs on improved fish handling and processing.

Output 1.2.3: Capacities of ICCA associations, including the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association enhanced to engage with county governments, secure wildlife corridors, and protect lake, forests and marine habitats

¹⁷ Source: "Community Conservancies at the forefront to sustain the globally significant Lake Bogoria Landscape, Kenya", 2020 World Environment Day story, Kenya Wildlife Conservancies Association (KWCA).

Under this output, a grant was awarded to the Baringo County Conservancies Association (BCCCA), for strengthening the governance structures of the association, which is a landscape management organization of 15 community conservancies covering approximately 100,000 ha and supporting 7,500 households.

Capacity development has also been rendered in the other target areas. Nature Kenya, a long-established NGO in Kenya was awarded a capacity development grant to enhance the capacities of the local SGP grantees, improving community management of the nine Kaya forest sites and approximately 30,000 ha of buffer zones. And a capacity development grant was awarded to the Levite Foundation to enhance the effectiveness and efficiency in the management of the BMUs in the Shimoni-Vanga seascape.

Moreover, one of the primary functions of the multi-stakeholder platforms is to strengthen engagement of local civil society organizations with county governments and other enabling stakeholders.

Output 1.2.4: Sustainable livelihood interventions that address biodiversity conservation in the target lands/seascapes identified, approved by the National Steering Committee and implemented

Projects funded through the SGP have traditionally had a strong emphasis on sustainable livelihood interventions, and this trend has continued under OP6. There are livelihood interventions that address biodiversity conservation in each of the three target landscapes-seascape, as summarized below.

- Lake Bogoria landscape. Relevant projects include sustainable fuel wood exploitation through an agroforestry modality; strengthened honey production and processing capacities, transitioning from conventional cattle farming to milk-producing Saanen goats, ecotourism, conservation and sustainable use of agrobiodiversity resources, etc.
- Kaya Forest landscape. Relevant projects include butterfly farming, expansion of African bird eye chili production and processing, sustainable production and processing of forest herbs, baobab farming and processing, etc.
- Shimoni-Vanga seascape. Relevant projects include operation of a mangrove tree nursery, increased knowledge on sustainable octopus fishing and value addition, increased sale of sustainable marine artefacts, ecotourism, etc.

Outcome 1.3: The flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions	
Progress towards achieving Outcome 1.3 is rated as:	Satisfactory

Progress towards achievement of Outcome 1.3 is rated as satisfactory, as outlined below in **Table 18**.

Table 18: Progress towards results, Outcome 1.3

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.3.1. Number of farmers adopting agroecological principles and practices and number of hectares of farmland under agroecological production systems	Baseline is 0 for Lake Bogoria and Kaya forest landscapes	Implementation of agroecological practices is represented in each of the three landscapes-seascape, including the Shimoni-Vanga seascape. The number of farmers involved in these interventions far exceeds the end target of 40. And women participation exceeds the 30% target.	40 farmers (at least 30% women) practicing agroecological production in the Lake Bogoria and Kaya forest landscapes with at least 50 hectares of farmland under agroecological production (e.g., practices such as intercropping, crop rotation, agro-forestry, organic fertilisation, reduced tillage)	Achieved
1.3.2. Number of Lake Bogoria pastoral communities with improved grazing practices and number of hectares of land under improved, sustainable grazing	0 communities in the target production landscape	At least (6) community groups awarded projects focused on improved grazing practices. The cumulative land area among these groups is not approaching the 20,000 ha.	At least 4 community groups with improved grazing practices (e.g., holistic planned grazing) on at least 20,000 hectares	Partially on target
1.3.3. Number of communities with diversified food production systems improving resilience to	Baseline not available for project areas. Baseline to be determined for	At least five (5) projects are working on diversifying local food systems and increasing resilience to climate change;	At least 3 community groups have each (re) introduced 2 to 3 indigenous or new food	Achieved

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
drought and other causes of crop failure; and number of food crops and products introduced	individual community projects.	including Seed Savers Network in the Lake Bogoria landscape, and KCNRN, KCHYG, Mikahani Farmers, Kaya Mtswakara Self Help Group, and Wildliving Resources in the Kaya Forest landscape.	crops to their production systems	
1.3.4. Number of community interventions in the Lake Bogoria basin contributing to improved water quantity and quality, including to reduce silt run-off, as well as to allow infiltration into aquifers to help maintain wetland biodiversity	Baseline for project areas not available	Six (6) of the approved projects in the Lake Bogoria landscape are focused on water resource management.	At least 4 community groups implementing actions such as restoration of river bank vegetation, relocation of cattle watering points, rainwater harvesting, reduced water abstraction for irrigation agriculture, as well as improved farming practices that reduce siltation	On target

Output 1.3.1: Agroecological principles and practices applied in agricultural production in the middle and lower Lake Bogoria basin, and in the Kaya forests production landscape

The project has done a good job in promoting agroecological practices in the Lake Bogoria and Kaya forest landscapes. The self-assessment reported progress focuses on crop based agroecological interventions, such as Seed Savers Network Association, aiming to train 500 farmers in the Lake Bogoria landscape on growing drought resistant crops and diversifying the local food supply, and the Kwale County Natural Resources Network (KCNRN) working towards training 450 farmers on conservation agriculture and developing a 10-acre demonstration farm. The livestock related project interventions are also examples of agroecological practices; it is understood that the project is reporting these separately under Output 1.3.2. Although not targeted under this output, the interventions in the Shimoni-Vanga landscape that are working on improving fish habitat, such as the Mkwiwi Beach Management Unit that is restoring coral ecosystems, could also be considered as agroecological practices.

Output 1.3.2: Sustainable grazing practices in community pastoral lands

Improved pasture management, including sustainable grazing practices, is well represented among the projects under implementation in the Lake Bogoria area, where pastoralists are the traditional environmental stewards of this landscape. The Chuine Wildlife Conservancy is working on regenerating degraded vegetation, protecting water springs, and increasing awareness on sustainable grazing practices. There is active participation among women in the pasture management interventions, including the Lake Bogoria Sossiche Women's Group, the Maji Moto Women's Group, the Nasinya Women's Group, and the Sosion Women's Group. Moreover, youth groups are also involved, including the Nduata Ee Siligi Youth Group, which is promoting sustainable grazing as a means to rehabilitate 1,000 ha of community pastureland, and adding value through improved hay baling and storage.

Output 1.3.3: Food products introduced or reintroduced in community production systems reducing community vulnerability to climate change and improving resilience

The majority of the beneficiaries in the three landscapes-seascape are reliant upon the ecosystem goods and services for their livelihoods and food supply, and, understandably, a significant number of the approved projects are focused on strengthening sustainable and resilient food production. In the Lake Bogoria landscape there are projects on sustainable production of honey products, growing drought resistant crops, conserving agrobiodiversity, introduction of new crops, enhancing market linkages, adding value to production systems, improved pasture management, and increasing involvement of youth.

In the Kaya Forest landscape, relevant projects include implementation of conservation agriculture, promoting African bird eye chili (ABEC) (planning on reaching out to 500 farmers), production of drought resistant crops, increasing engagement in production of baobab products, and sustainable production and processing of forest herbs.

The Shimoni-Vanga seascape also includes projects on sustainable food production, including rehabilitation of coral and mangrove ecosystems, resulting in improved fish habitats.

At least four of the projects under implementation are aiming at achieving certification under Kenya Bureau of Standards (KEBS) requirements. There seems to be an opportunity to increase engagement with KEBS to enhance the sustainability of these interventions.

- Mikahani Farmers Association is striving to have at least 2 ABEC products KEBS certified
- Ufanisi Conservation Group is aiming to have 3 herbal products KEBS certified
- Wildliving Resources is planning on attaining KEBS certification for baobab products
- Pwani Fish Marketing is aiming to obtain KEBS certification for their processed fish products

Output 1.3.4: Actions to maintain water quantity and quality implemented in the Lake Bogoria basin

Among the 25 approved projects in the Lake Bogoria landscape, there are six (6) focused on maintaining water supply and quality in the basin. The Lake Bogoria Basin Water Resource Users Association (WRUA) is developing guidelines for riparian zone management and is producing plans and proposals for freshwater management. The project being implemented by the Lobo Koitegan WRUA includes updating the WRUA constitution. The Greater Lake Elmenteita Conservation Area (GLECA) is supporting the rehabilitation of riparian areas and hot springs. The Sosion Women's Group is supporting protection of springs and watersheds, thereby reducing land degradation, and maintaining soil fertility. The Chuine Wildlife Conservancy is working on the rehabilitation of degraded vegetation and water springs. And the organization NETBON is focused on improved resilience and conservation of the Majimoto River Catchment, through introducing agroforestry approaches for improved management of riparian areas and sustainable supply of fuel wood, thus providing alternative livelihoods to the local communities in the catchment.

Outcome 1.4: Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets	
Progress towards achieving Outcome 1.4 is rated as:	Satisfactory

Progress towards achievement of Outcome 1.4 is rated as moderately satisfactory, as outlined below in **Table 19** in the discussion of each performance metric for this outcome.

Table 19: Progress towards results, Outcome 1.4

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.4.1. Number of enterprises established/strengthened	Baseline for the project area not available but at least 1 beekeeping enterprise and a few eco-camps for tourism in the Lake Bogoria area	11 grants awarded to community organizations on income generating interventions.	At least 4 enterprises established/strengthened of which 30% of female entrepreneurs	Achieved
1.4.2. Number of joint ventures with the private sector	0 joint ventures	Partnerships established with private sector companies on supply of honey, chili, and prepaid water meters for solar pumps	At least 2 joint ventures formalized	Achieved
1.4.3. Number of new products developed	0 products	One grantee working on retrofitting petrol transport vans to electric motors; another grantee developing improved ecotourism facilities; and the organization MICA working on an innovative phytoremediation approach for rehabilitation of mining sites contaminated by heavy metals	2 to 4 new products developed and in production	On target
1.4.4. Number of grant/micro-lending schemes established with credit-lending facilities and banks in support of above enterprises and number of pilot revolving funds/other lending schemes supporting replication, upscaling and sustainability of community-based production activities	0 schemes	An assessment of financing opportunities and a feasibility study for establishing revolving funds have not been complete. The pay-as-you-go (PAYG) arrangements for the solar lanterns is an example of a microcredit scheme. The grantee Inades Foundation Kenya is supporting local farmers in gaining access to financial support.	At least 2 such schemes established/accessed and lending to community eco-businesses	Partially on target

Output 1.4.1: Community eco-enterprises of which at least two are in partnership with the private sector

Among the small grants under OP6, eleven (11) have been awarded to projects focused on strengthening livelihood generating interventions, including beekeeping, ecotourism, fish marketing, chili production, butterfly farming, production and sale of organic horticulture products, and sale of energy efficient stoves. Five (5) of the 11 grants were awarded to CBOs led by women.

Three organizations involved in production of honey in the Lake Bogoria landscape have formalized a partnership with the private sector honey processing company Imperial Masters. The CBOs gather and store honey in a bulk storage center and Imperial Masters collects and purchases it for processing at their central facility.

Two villages in the Lake Bogoria landscape have entered a partnership with a social enterprise that sells prepaid water meters on solar powered borehole pumps, which are linked to an online monitoring system for daily payments and water consumption.

A third partnership with the private sector has been established between the Mikahani Farmers Association in the Sacred Kaya Forest landscape with the company Komwwara, which processes the African bird eye chili into sauce and markets it. Mikahani is also working towards certifying their chilis under the Kenya Bureau of Standards.

It would be advisable to strengthen the landscape-seascape strategies with lessons learned and next steps regarding partnerships with the private sector, and identifying potential support from local government and other enabling stakeholders to upscale, enhance, and replicate these partnerships.

Output 1.4.2: Community businesses marketing 2-4 sustainably produced goods and services of which two are in partnership with the private sector

The Children & Youth Empowerment Center (CYEC) is working with enabling stakeholders in retrofitting petrol engines of public transport vans with electric motors. This is an innovative activity that has good potential for upscaling and replicating.

TransRift Trails has secured a small grant to rehabilitate 60 km of walking trails (see **Figure 5**) and strengthening other ecotourism facilities and services, including development of camping sites, creating a website, and producing guide books for tourists.

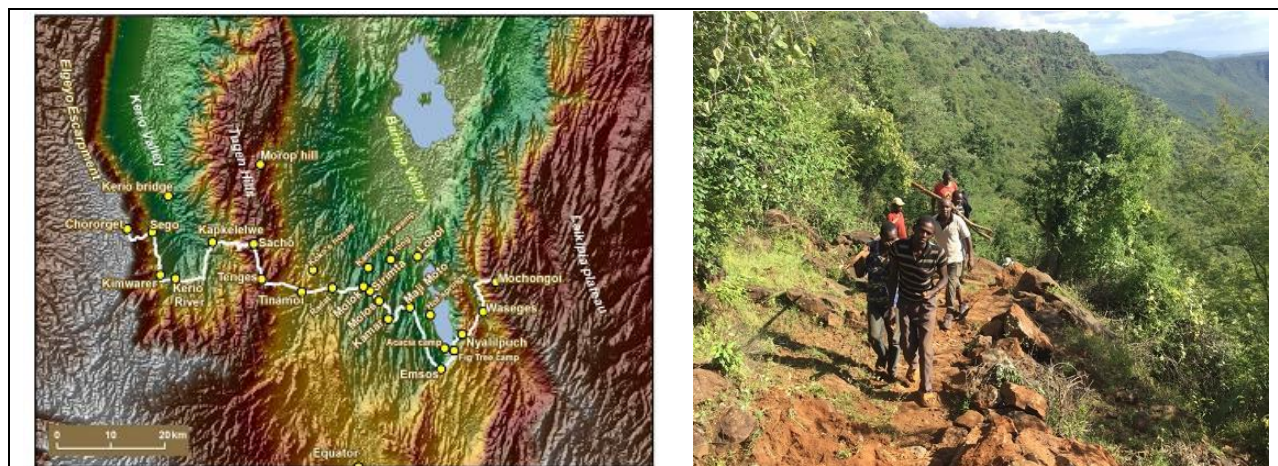


Figure 5: Trail map and photo of rehabilitation of Trans Rift Trail¹⁸

The Migori County Artisanal (MICA) Miners Cooperative Society Ltd. is implementing an innovative technique for rehabilitation a contaminated gold mining site. Through a process called phytoremediation, bamboo is being planted to uptake and accumulate heavy metals in the impacted soil, thus rendering the environmental conditions less toxic. It would be important to verify this intervention through a partnership with a specialized company or laboratory, as there would be a high degree of interest for applying similar approaches to other mining sites in the country. This project also provides important information for the GEF-6 project on artisanal and small-scale gold mining (ASGM) in Kenya; a good example of SGP collaborating with other GEF-financed projects in the country.

Output 1.4.3: Financial resources from banks and other financial service providers available to above enterprises to support replication, upscaling and sustainability

¹⁸ Photographs provided by Transrift Trail Guides Association.

There has been limited engagement with financial institutions. One of the grantees, Inades Foundation Kenya, is supporting farmers in Machakos and Makueni counties on improved land management practices and has linked the farmers to financing opportunities, including with Universal Traders Sacco which provides credit for agricultural inputs, Equity Bank which offers soft loans for horticultural farmers for purchase of solar pumps and inputs, and SunCulture which sells solar irrigation products. Also, the pay-as-you-go (PAYG) modality implemented in the distribution of solar lanterns is a type of micro-credit solution.

Certain indicative activities described for this output in the project document, including an assessment of existing financial services available to community organizations and businesses and a feasibility study on the viability of establishing revolving funds or other lending schemes, have not been completed to date. And there is limited mention in the landscape-seascape strategies on specific actions for expanding access to financing solutions. As part of a sustainability strategy, it would be advisable to assess financing opportunities in the three landscapes-seascapes and potential linkages with full-size GEF projects and other donor or governmental projects and programs.

Outcome 1.5: Multi-stakeholder partnerships develop and implement initiatives for community low-emission systems	
Progress towards achieving Outcome 1.5 is rated as:	Moderately satisfactory

The project has achieved to procure a relatively good mix of CCM projects and there has been partnerships with private sector enterprises, including the company distributing the pay-as-you-go solar lanterns. A rating of moderately satisfactory is applied, partly because of inconsistencies in reporting mitigation benefits. Technical assistance in the CCM focal area has not been procured as envisaged in the project strategy. And, the partnerships with the private sector have not been as strategic as planned.

Progress towards achievement of Outcome 1.5 is rated as **moderately satisfactory**, as outlined below in Table 17.

Table 20: Progress towards results, Outcome 1.5

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
1.5.1. Number of multi-stakeholder partnerships involving CSOs and the private sector promoting and facilitating the application of diverse RE and EE technologies that benefit households and institutions, including for commercial and production uses to ensure sustainability	No such partnership exists in the selected landscapes, however, both the private sector and CSOs have experience in developing and deploying a variety of RE & EE products in Kenya. This includes R&D, micro-finance including the use of mobile phone applications for micro lending, after sales maintenance, etc.	7 of the 12 CCM projects involve partnerships between CBOs and the private sector	5 to 7 such partnerships established and functionally demonstrating how to deploy and scale-up RE and EE technologies	On target
1.5.2. Number of renewable energy and fuel efficient systems for domestic, production and institutional uses disaggregated by energy source and type of beneficiary (sex, rural/urban and excluded groups). The aggregated CO ₂ mitigation of such RE and EE systems should enable SGP to reach the CO ₂ e mitigation target for phase VI as per Objective Indicator D above.	Baseline not available for project areas but estimated to be very low in all landscapes/seascapes	12 grants have been awarded under the CCM focal area. There is a fairly good mix of RE and EE interventions implemented; however, estimations on GHG emissions mitigated are inconsistent, and gender-rural/urban-excluded group disaggregation is largely unavailable.	Target to be determined at grant approval stage for each RE/EE technology to be deployed with SGP support, commensurate with the overall phase VI CO ₂ e emission mitigation target	Partially on target

Output 1.5.1: CSO-private sector partnerships promoting and implementing low GHG emissions activities

Three (3) CBOs (Grip Kenya, Ikisaya Solar Energy Group, and Sauti Moja Marsabit) have entered partnerships with the private sector enterprise Equatorial Sunpower Ltd., which offers Pay-as-you-go (PAYG) plans for solar lanterns. PAYG arrangements allow customers to buy the lantern for a small down-payment and pay it off in regular instalments. For the SGP grants, GEF resources were used to purchase a fixed number of solar lanterns, e.g., for schools, and then Equatorial Sunpower provided the upfront capital to provide an additional set of lanterns for the local communities through PAYG arrangements. An example of the type of solar lanterns deployed is shown below in **Figure 6**.



Figure 6: Sun King™ Pro 2000 solar lantern¹⁹

Farming Systems Kenya, another CBO grantee, is partnering with the company Maji Milele, which supplies water meters for enhanced accountability and transparency, on an intervention involving switching from diesel powered borehole pumps to solar units.

Millennium Community Development Initiatives (MCDI) Foundation is working with their private sector partner, Biogas International Limited, in installing flexi-biogas units, taking advantage of available slurry from a slaughterhouse and from market waste, to promote commercial organic farming near the village of Karinde.

The CBO Jitegemee children's program is working with their partner Livelyhoods on marketing clean energy products, including improved cookstoves and solar products, to local communities, enhancing the livelihoods of youth and women members.

Sustainable Energy Foundation Africa (SUSEFA) is partnering with two private companies (Sunpawa and Sunspot Energy) in increasing clean energy access to 170 households via solar home systems and solar lanterns and providing access to clean transportation to 500 households.

Output 1.5.2: GHG mitigation initiatives providing energy services to un-served communities

There are twelve (12) grants awarded under the CCM focal area, with a fairly good mix of interventions, including:

- Solar lanterns for households and schools
- Solar cooling for dairy products
- Replacement of diesel powered borehole pumps with solar ones
- Expanded access to sustainable transportation
- Upgrade of a PV power station, renovating solar street lighting
- Solar PV home installations

Estimations of greenhouse gas (GHG) emissions mitigated through these interventions have been inconsistent, and there is insufficient information to estimate baseline conditions and to assess progress towards achievement of Objective Indicator D. And there is limited information compiled on the disaggregation of results according to gender, rural-urban, and excluded groups.

Component 2: Capacity building and knowledge management

Outcome 2.1: Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training

Progress towards achieving Outcome 2.1 is rated as:

Moderately satisfactory

Capacity building is one of the comparative strengths of the SGP, with a programmatic focus to develop local community based organizations at the grassroots level. With 65 small grants awarded to CBOs under OP6 in Kenya, there has been substantial investment towards capacity development of CBOs in the target landscapes as well as the ones implementing climate change mitigation interventions.

¹⁹ Source: <https://www.greenlightplanet.com/solar-lights-shop/sun-king-pro-200/>

Progress towards achievement of Outcome 2.1 is rated as moderately satisfactory and the project is on target for attaining the performance target for this outcome, as outlined below in **Table 21**.

Table 21: Progress towards results, Outcome 2.1

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
2.1.1. Number of community institutions and community-based organizations such as the Kaya Council of Elders, the Lake Bogoria community conservancies and WRUAS, and the coast BMUs with improved governance and management, with women's participation and capacity to influence the community and external partners	Capacities of community institutions in the target landscapes are very weak	Capacity building integrated into most of the small grants awarded; the strategic partners are providing mentoring to the local CBOs; specific capacity development grants awarded. There is limited M&E on progress towards achievement of exemplary governance (end target).	At least one community institution in each target landscape shows exemplary governance (e.g., registration, by-laws, inclusive democratic decisions, accountability, representation, equity, financial management, budget execution, administrative procedures)	Partially on target

Output 2.1.1: Training and mentoring system in place for enhancing capacities of community based organizations in target land/seascapes

Capacity building is intrinsically included in the vast majority of the small grants awarded under OP6. The strategic partners in each of the target landscapes-seascapes are providing mentoring to the local CBOs, and a specific capacity development grant was awarded in 2020 to the NGO Nature Kenya to enhance the capacity of local institutions to effectively deliver the grants in the Mijikenda Kaya Forest landscapes in Kilifi and Kwale Counties. In the Lake Bogoria landscape, a grant was awarded to the Kenya Wildlife Conservancy Association (KWCA) to strengthen the community conservancies in that landscape. The association has also strengthened their institution, through finalizing a strategic plan and clarifying roles of the governance board. A capacity building grant was also awarded to the Levite Foundation to strengthen institutional capacities of local CBOs in the Shimon-Vanga seascape.

Project interventions in both the Lake Bogoria and Kaya Forest landscapes are involving and highlighting the role of community elders in sharing traditional knowledge and delivering mentoring capacity building to the local CBOs. The photograph below in **Figure 7** shows Kaya elders delivering guidance to Miyani primary children.



Figure 7: Photo of Miyani primary children attending sessions with kaya elders²⁰

Capacity development needs have not been systematically compiled and assessed, as described in the project document for this output. Two of the three landscape-seascape strategies (Kaya Forest and Shimoni-Vanga) include capacity building under the proposed outcomes, but the strategies are not supplemented with capacity needs assessments and there is limited discussion on how capacities will be developed. (lesson learned)

And there is no evidence of development of training packages for ensuring transparent, democratic, and accountable governance/management of the multi-stakeholder platforms and the community organizations linked to the project

²⁰ Source: "Tapping into school children's curiosity to promote conservation of sacred kaya forests." World Environment Day story, June 2020. Colobus Conservation.

interventions, such as Councils of Elders, BMUs, community conservancies, etc. The proposals of the NGOs awarded capacity development grants include development of training manuals and other materials. It would be advisable to integrate these training packages into the landscape-seascape strategies.

Outcome 2.2: Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated, and made available to policy makers at county and national level	
Progress towards achieving Outcome 2.2 is rated as:	Moderately satisfactory

Progress towards achievement of Outcome 2.2 is rated as moderately satisfactory, as outlined below in **Table 22** in the discussion of each performance metric for this outcome.

Table 22: Progress towards results, Outcome 2.2

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2016	June 2020	Sep 2021	
2.2.1. Number of case studies and analysis of best practices for adaptive landscape/seascape resilience, systematized and shared at watershed, county and/or national level	Concept of adaptive landscape-seascape resilience and management is new in all target areas. Currently there are no studies of participatory adaptive landscape management experiences in the region, however, WWF conducted an analysis of their experience in the Lake Bogoria Basin	Case studies and best practices have not yet been formulated. Small grants had been fully awarded at the time of the MTR in June 2020, and lessons learned through the integrated landscape-seascape approaches are expected to be distilled into case studies and disseminated among the wider stakeholder community.	Participatory case studies by SGP grantees reflecting on their project implementation experience One case study and publication directed at policy-makers and development partners produced and disseminated for each landscape summarizing knowledge gained from landscape planning and management	Not on target
2.2.2. Number of meetings with relevant County Governments and government institutions providing feedback on policy effectiveness and SGP experience	No such meetings have taken place with respect to the target landscapes-seascape except for marine ecosystems where SGP has partner with CSOs to analyze current policies with respect to CMAs	County government officials and other governmental stakeholders have been involved in the multi-stakeholder governance platforms in the three target landscapes-seascapes.	Meetings at least twice a year with all County Governments involved and at least once during the lifetime of the project with line ministries with participation of SGP NSC members	On target

Output 2.2.1: Case studies and analysis of best practices for adaptive landscape/seascape resilience

By the time of the MTR in June 2020, the small grants under OP6 have been fully awarded to the CBOs in the target landscapes-seascape through three calls for proposals. None of the community projects had been completed at the time of the MTR and case studies and analyses of best practices had not yet been formulated.

There have been several knowledge products produced, including fliers, brochures, stories for World Environment Day (WED) and World Oceans Day (WOD), as well as posters (e.g., see **Figure 8** below).

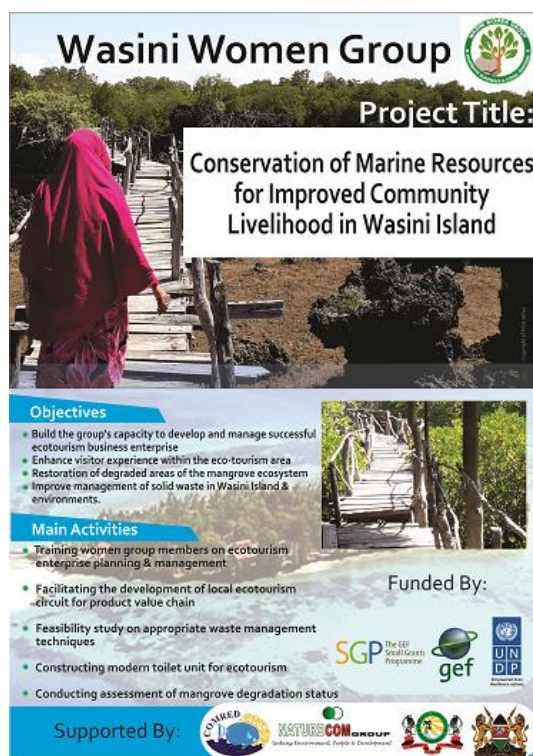


Figure 8: Wasini women's group poster

During the third call for proposals, the project attempted to procure the support of a specialized knowledge management organization, but the procurement was unsuccessful. The envisaged value of this grant was approximately USD 5,000, which might have been insufficient to attract interest among the NGO community.

Output 2.2.2: Feedback to county governments and line ministries about results, best practices, lessons, and challenges

County and other governmental stakeholders have participated in multi-stakeholder governance platform meetings in each of the three landscapes-seascapes. A photograph of the Lake Bogoria landscape grantees with a Baringo County government official is shown below in **Figure 9**.



Figure 9: Photograph of Lake Bogoria landscape grantees with Baringo County official²¹

²¹ Source: Lake Bogoria Landscape: Celebrating the 2020 World Environment Day. Photo shows the Lake Bogoria Landscape grantees with Dr. Maureen Chepchirchir (third right), County Executive, Environment and Resources, Tourism, and Wildlife Management, Baringo County.

Local government officials also participated in the development of the landscape-seascape strategies. Apart from participation by county government representatives, other governmental stakeholders have been involved in the project multi-stakeholder, integrated landscape approach. For instance, representatives of the Lake Bogoria National Reserve and the Kenya Wildlife Service have participated on the project, providing guidance to the community conservancies in this landscape. Many of the Kaya forest sites are UNESCO World Heritage Sites and, therefore, there is a high level of interest among national level stakeholders. Similarly, national level governmental stakeholders, e.g., the Kenya Fisheries Service and the Kenya Marine and Fisheries Research Institute are involved on the multi-stakeholder platform for the Shimoni-Vanga seascape.

3.2.2 Remaining Barriers to Achieving the Project Objective

The project has awarded the envisaged allocation in grants, including 65 small grants and 3 strategic grants. Some of the barriers that need to be overcome during the remaining implementation timeframe.

Sorting out how best to adapt to the current COVID-19 pandemic. There have been significant disruptions in all sectors during the COVID-19 pandemic and many of the project activities have needed to be paused and reevaluated according to the current constraints, including limitations on travel and gatherings of people.

Capacity constraints among some of the local CBOs: Some of the local CBOs lack the capacities for sustaining and upscaling the interventions implemented on the project. It is important that there is a focus on establishing enabling partnerships that will be sustained after project closure.

Monitoring protocols are lacking for tracking progress towards results: Some of the key performance indicators, including area under improved community management (Objective Indicator A) and GHG emission mitigated (Objective Indicator D) are inconsistently reported.

3.3 Project Implementation and Adaptive Management

Project Implementation and Adaptive Management is rated as: Moderately Satisfactory

3.3.1 Management Arrangements

The project is being implemented under an agency implementation modality. UNOPS provides country program implementation services, is responsible for SGP's financial management and provides quarterly financial reports to UNDP.

The National Steering Committee has convened six times from March 2018, coinciding with the timing of the project inception workshop, through December 2019:

1. 16 March 2018 (coinciding with the inception workshop)
2. 09 April 2018
3. 31 January 2019
4. 30 May 2019
5. 03 October 2019
6. 04-05 December 2019

Due diligence field missions were carried out by the NSC members during two of these meeting events, to engage with the landscape-seascape stakeholders and carry out a more thorough vetting of some of the project proposals.

The current NSC includes the nine members listed below in **Table 23**:

Table 23: NSC members

Name, affiliation	Thematic Areas
Institutional Members	
UNDP – Resident Representative, Represented by Team Leader, Environment and Resilient Unit, Evelyn Koech	Energy, linkage with UNDP
GEF OFP – PS, Min of Environment and Forestry, Represented by the Director, Programmes, Projects & Strategic Initiatives, Agnes Yobterik	Policy, linkage with OFP and Ministry
Kenya Forest Service – Director General, Represented by Charity Munyasya	Forests, linkage with KFS
Ministry of Agriculture, Esther Magambo, Senior Programme Manager (KCEP-CRAL) RTD	Sustainable Agriculture
Kenya Wildlife Service – Director General, Represented by Head of Resource Mobilization Edwin Wanyonyi and Ann Kahiha	Wildlife, rangelands and linkage with KWS

Private Members	
Margaret Njue (Chairperson), Health and Safety Manager, EABL Foundation	Linkage with Private sector
Judith Syombua, Department of Land Resource Management and Agriculture Technology, University of Nairobi	Land degradation, sustainable land management
Edward Kimakwa, Regional Fisheries Programme Manager, World Wide Fund for Nature (WWF)	Fisheries, Aquaculture, marine conservation
Prof. Nathan Gichuki, Senior Lecturer, School of Biological Sciences, University of Nairobi	Biodiversity

The project is benefitting from an experienced Country Program Management Unit (CPMU), including the National Coordinator and the Program Assistant, and supported by the UNDP Global Coordinator for the SGP UCP and by UNOPS colleagues in New York. The full CPMU team in Kenya outlined in the project document has not been realized. For example, three support staff from the United Nations Volunteers (UNV) program were envisaged to work full-time on OP6, as well as a full-time technical assistant. There have been ongoing discussions and requests to recruit the UNV staff positions, but the recruitment has not yet happened. Moreover, there have been a few months when the Program Assistant could not work, due to contractual constraints under an earlier individual contractor arrangement. During those times, the National Coordinator was the only full-time position under the CPMU.

The full-time technical assistant described in the project document has not been recruited. Consistent with SGP guidance and best practices in some other countries, a Technical Advisory Group, comprising of an assemblage of volunteer technical experts, was established to assist the NSC in pre-screening the proposals. According to feedback during MTR interviews, the TAG did not work out as envisaged and the group has been effectively disbanded.

The UNDP Country office in Nairobi has provided extensive support to the project, including on strategic guidance, administrative issues, and financial management. And the UNDP Country Office is actively participating in the NSC.

Technical and strategic advisory has been delivered by the Global Coordinator of the SGP Upgrading Country Programs based in New York. The Global Coordinator provides feedback to the project implementation review (PIR) reports and delivers support to the project team as needed, sharing lessons learned and experiences across the network of countries where the GEF-SGP is operating.

Three NGOs have been recruited under the SGP strategic grant modality to operate as strategic partners in the target landscapes-seascape. The roles of the strategic partners include facilitating the establishment of multi-stakeholder platforms, development of landscape-seascape strategies based upon the results of participatory baseline assessments, provision of capacity building to local CSOs on project development and proposal preparation, project management, organizational strengthening, and monitoring and evaluation, development a participatory community-based monitoring tool, engagement with SGP grantees, members of the multi-stakeholder platforms, and the CPMU, organization of PR events such as eco-fairs and exhibitions, and development of communication materials, such as brochures, newsletters, and short videos. The terms of reference for the strategic partners were for a period of 3 years, matching the envisaged implementation timeframe. The agreements signed in July 2018 were for two years, until June 2020. At the time of the MTR, one-year, no cost time extensions were being negotiated with the strategic partners, consistent with the extension for the project agreed by GEF Secretariat.

The terms of reference for the strategic partners outline the roles and responsibilities for these organizations. There seems to have been an understanding that there would be only one call for proposal (the project had three), and the level of effort needed to assist the local CBOs in proposal development and reporting has been higher than the expectations of some of the strategic partners.

An important point was raised during the MTR interviews regarding coordination of the individual grant projects. Personnel related costs are included in the grant proposals, but the SGP procedures for having a project officer or coordinator are unclear among the strategic partners and CBOs. It would be advisable if each of the small grants included budget provision for a project officer/coordinator from each of the CBOs.

The disruptions and constraints imposed as a result of the COVID-19 pandemic should be considered a critical risk to the successful implementation of the project.

3.3.2 Work Planning

The GEF approved the project for implementation on 18 June 2017, and the government of Kenya approved the project document on 25 September of that year – the official project start date. Project implementation was delayed approximately 6 months, with the inception workshop held in March 2018. The reason for the delay was due to the political unrest in the country at that time and restrictions and security concerns associated with travel at that time.

The three-year work plan included in the project document and was approved during the inception workshop, without changes. The annual work plan for the year 2018 was available for review. The plan was broken down by quarter and the indicative activities outlined in the project document. There were limited specifics regarding resource allocation described in the work plan.

The landscape-seascape strategies contribute to the activity level work planning. The indicator frameworks included in the strategies are partly comparable to the project results framework. It would be useful to align the landscape-seascape strategies with the project results framework.

3.3.3 Finance and Cofinance

Financial Expenditures:

According to the agreement between UNDP and UNOPS, UNOPS prepares cumulative financial reports on a quarterly basis, the reports are submitted to UNDP through the ATLAS project delivery report (PDR) system, the UNDP reconciles the expenditures into the ATLAS budget codes included in the indicative budget in the Project Document and UNDP then summarizes the information into financial expenditure reports referred to as combined delivery reports (CDRs).

Total expenditures reported by UNOPS through 29 June 2020 are USD 2,261,660, which is 64% of the USD 3,561,544 GEF project grant (see **Table 24**).

Table 24: Project expenditures and indicative budget breakdown

Description	ProDoc Budget	2018	2019	2020*	Grand Total
FSP OP6 - Kenya Outcome 1					
Personnel	376,600	102,588	86,315	29,754	218,657
International Consultants	53,400	4,717	10,443	1,891	17,052
Local Consultants	20,300	4,870	0	0	4,870
Travel	39,600	7,851	28,925	0	36,776
Grants to Institutions	1,912,000	290,176	829,935	425,392	1,545,503
Training Workshops & Conferences	72,500	49,839	22,428	7,198	79,465
Audio visual and Printing Production Costs	7,664	7,846	7,094	919	15,859
Exchange Rate Gain/Loss		-81	36	0	-45
Sub-total, Outcome 1	2,482,064	467,807	985,178	465,154	1,918,138
FSP OP6 - Kenya Outcome 2					
Personnel	142,500	2,033	14,868	8,058	24,959
International Consultants	16,000	0	0	0	0
Local Consultants	22,000	0	0	0	0
Travel	32,500	0	9,585	14,775	24,360
Grants to Institutions	625,600	0	0	203,796	203,796
Training Workshops & Conferences	39,000	4,622	17,019	1,463	23,105
Audio visual and Printing Production Costs	32,377	0	0	0	0
Exchange Rate Gain/Loss		0	0	0	0
Sub-total, Outcome 2	909,977	6,655	41,473	228,092	276,219
FSP OP6 - Kenya Project Management					
Personnel	72,900	341	3,679	2,026	6,047
International Consultants	1,500	0	0	0	0
Local Consultants	3,103	0	0	0	0
Equipment Operations & Maintenance	21,000	594	12,738	1,167	14,499
Rental and Maintenance Premises	71,000	13,230	17,682	15,844	46,756
Exchange Rate Gain/Loss		-3	3	0	0
Sub-total, Project Management	169,503	14,162	34,103	19,037	67,302
GRAND TOTAL	3,561,544	488,624	1,060,754	712,283	2,261,660

*Through 29 June for the year 2020; information provided by UNOPS.

The total value of expenditures incurred for grants is USD 1,749,299, with an additional USD 777,880 committed through grant agreements, bringing the total allocation for grants to USD 2,527,179.

The UNOPS expenditure report shows USD 67,302 in project management costs through 29 June 2020, which is considerably lower than 5% allocated in the indicative project budget. The project team should agree upon a procedure for allocating project management costs.

Currency Fluctuations and Inflation:

Some of the project costs are in Kenyan shilling (KES:USD) and, therefore, currency fluctuations and inflation are important factors.

KES:USD exchange rates have fluctuated over the past two years between approximately 101 and greater than 105 since February of 2020 (see **Figure 10**).



Figure 10: KES:USD exchange rate history, July 2018-July 2020

Inflation has generally fluctuated between 4% and 6% during the project implementation timeframe (see **Figure 11**).



Figure 11: Kenyan annual inflation history, 2014-2019

The grant agreements to local CBOs are made in USD, and payments are made in KES at the UN exchange rate at the time of payment, as outlined in the Section 4.2 under Article IV (Payments) of the grant agreements:

“All amounts in this Article IV are expressed in US dollars but shall be paid to the LOCAL CSO in local currency, calculated by reference to the UN rate of exchange as at the month and year of the payment.”

Asset Management:

The CPMU is maintaining an asset register for office furniture and IT equipment for the secretariat office. There is a motor vehicle (Toyota Landcruiser) included on the register, the vehicle was not purchased during this operational phase.

Equipment and other assets used for the project interventions are purchased through the individual grant agreements, and, therefore, the project is not maintaining a register for those assets. According to the standard grant agreements, the assets purchased by the grantees with funds supplied by UNOPS shall be the property of the grantees. It is unclear how ownership is transferred from the grantees to the beneficiaries. For example, if solar lanterns are purchased for schools, do the schools obtain ownership at the end of the grant term? In the opinion of the MTR Consultant, it would be advisable to include a condition in the grant agreements, indicating that the assets need to be transferred to the relevant beneficiary at the close of the project or the grant agreement.

Financial Audits:

There have not been any financial audits made yet of the project.

Cofinancing:

The cumulative total of cofinancing confirmed at CEO endorsement was USD 5,660,000, including USD 500,000 in-kind contributions from the UNDP, USD 1,440,000 from WWF (including USD 750,000 in grant contributions and USD 690,000 in-kind), and USD 3,720,000 from the grantee CSOs (including USD 520,000 in grant contributions and USD 3,200,000 in-kind).

As of 29 June 2020, materialized cofinancing totals USD 2,946,512 (see **Annex 7**).

USD 200,580 of in-kind contributions were reported from UNDP by midterm and the total expected by project closure is USD 410,000, which is about 18% short of the pledged USD 500,000 at project entry.

WWF has reported USD 79,470 of grant cofinancing by midterm (against a pledged amount of USD 750,000) and USD 451,566 of in-kind contributions (against a pledged amount of USD 690,000). A detailed breakdown was provided by WWF for these figures (see **Annex 7**); however, an estimate of expected by project closure was not delivered.

Cofinancing contributions from the grantee organizations are reported at USD 721,076 (grant) and USD 1,493,819 (in-kind), totaling USD 2,214,895, which is approximately 90% of the GEF resources allocated for grants. The cofinancing from grantees represents the complete set of 68 grants. The final amount of cofinancing should be tallied from the completed project reports submitted by the grantee organizations before project closure.

3.3.4 Project-level Monitoring and Evaluation Systems

The monitoring and evaluation (M&E) plan was prepared using the standard UNDP-GEF template. The estimated cost for implementation of the M&E plan, as recorded in the Project Document, is USD 177,500, which is approximately 5% of the GEF grant, and is broken down in two parts: USD 124,500 covers the standard and mandatory GEF M&E requirements and an additional USD 53,000 for M&E activities associated with implementation of the individual grants.

The M&E plan and requirements were presented at the project inception workshop. There were no changes to the M&E plan noted in the inception workshop report. The project results framework was also presented at the inception workshop; no changes were proposed.

The M&E demands on the project are high. Firstly, the project results framework contains seven (7) outcomes and twenty-three (23) indicators, some having multiple end targets. Apart from the quarterly and annual progress reports required by UNDP, the Ministry of Environment has required all donor projects to submit monthly monitoring reports. And the 65 small grants and the three landscape-seascape strategies contain separate indicator frameworks. Many of the small grant projects contain complex indicators that require substantial data collection and interpretation; a few examples are listed below in **Table 25**.

Table 25: Examples of M&E metrics among some of the small grant projects

Grantee	Project title	Partial list of indicators
Loboi Koitegan Water Resources Users Association	Conservation of River Loboi-Koitegan catchment for efficient use of water resources, Cohesion, and improved livelihoods of residents	30 members trained on management and leadership; 50% increase in participation (50% women); 50% livelihood status improved; 30% increase in income among the community
Endorois Women Group	Improved farming systems through introduction of resilient crops for heightened household production and environmental conservation	Increasing food production by 30%; establish 100 acres of Loboi improved farms for 20% diversified diets in new varieties; establish collection centers, resulting in 20% creation of employment and 30% increase in marketing value chain activities; 20% increase in environmental and social status
Maji Moto Women Group	Sustainable pasture production and management for improved livestock,	450 acres under sustainable grazing, resulting in 50% increase in pasture production, 30% improvement in

Grantee	Project title	Partial list of indicators
	drought tolerance and economic well-being of women in Maji Moto	household income; 50% increase in land under pasture management
Sosion Women Group	Revitalization of Indigenous Food Crops for Bogoria Communities for Increased Resilience and Improved Livelihoods through Climate Smart Agro-Ecology Production Systems	30% increase in production of indigenous food crops; 30% increase in health and increased household incomes; 40% increase in timely planting; 30% change in incomes from increased production at household level; 30% increase in sharing of information
Mikahani Farmers Association	Promoting African bird eye Chili (ABEC) enterprise to enhance conservation of kaya Ribe and community resilience	500 farmers adopt ABEC farming as a sustainable enterprise; 300 farmers adopt best soil and water conservation; 300 farmers adopt integrated pest management; 500 farmers linked to at least 3 ABEC markets; at least 2 ABEC products KEBS certified (Kenya Bureau of Standards)
Indian Ocean Water Body CBO	Empowering Women on Value Chain and Post-Harvest Trade of Coastal Women in Fisheries Entrepreneurship Development	80% improvement in hygiene
Mkwiro Beach Management Unit	Empowering Mkwiro BMU (Shimoni-Vanga seascape) to create resilient coral reefs through restoration, conservation, and education	5% increase in coral and 50% increase in fishing the community managed area (CMA); 97% compliance after 18 months
Environment Liaison Centre International (ELCI)	Promote adoption and scaling up of solar powered milk-cooling system for improved livelihoods of small-scale dairy farmers in Lake Bogoria area, Baringo County	At least 50% reduction in milk loss; at least 200 households have new access to clean energy for domestic application; CO2e avoided as a result of replacing kerosene
Sustainable Energy Foundation Africa, SUSEFA	Nyangweta Village Solar Energy Access and Sustainable Mobility Project	Clean energy access to 170 households via solar home systems and solar lanterns (70 x 100 Wp solar home systems, and 100 x 10 Wp solar lanterns); provide clean transportation to 500 households via Solar Energy Centre; train a pool of 3 youth, 4 men and 4 women to carry out O&M of the solar installations
Migori County Artisanal (MICA) Miners Cooperative Society Ltd.	Reducing pollution hazards for vulnerable mining populations and promoting sustainable land management practices in Migori, Kenya	50% reduction in mercury (Hg) use; mine rehabilitation plans endorsed by government authorities; seedling production and rehabilitation (phytoremediation)

There are inconsistencies in reporting on the indicators in the project results framework, as discussed in the Progress towards Outcomes Analysis in Section 3.2 of this MTR report. And the CPMU is short of staff for providing proactive M&E oversight of the strategic partners in the field.

There has been one PIR report prepared through midterm, covering the period of June 2018 through June 2019 (2019 PIR). The 2020 PIR was under preparation at the time of the MTR. The ratings applied in the 2019 PIR were “moderately satisfactory” for progress toward development objective (DO), and “moderately satisfactory” with respect to implementation progress (IP). The overall risk rating was “low”. These internal ratings seem realistic.

The social and environmental screening procedure (SESP) has not been updated since the project preparation phase, although the monitoring plan calls for annual updates. With three strategic partners and 65 CBOs contributing towards project execution, it is important that all parties are aware of UNDP social and environmental standards and closely involved with risk management. The management of risks associated with indigenous peoples should be reviewed. A high number of the ongoing project interventions involve indigenous peoples as the direct beneficiaries, and decisions are being made regarding demarcating land, use of natural resources, recording traditional knowledge, etc. There is limited evidence among the available training records indicating that the strategic partners and grantee CBOs have been instructed on UNDP social and environmental risks.

Tracking tools and GEF core indicators:

The following GEF-6 tracking tools were filled in at the project baseline when the project document was submitted for approval.

- Biodiversity, Objective 4, Program 9
- Climate Change Mitigation
- Land Degradation Focal Area - Portfolio Monitoring and Tracking Tool (PMAT)

The baseline tracking tool assessments were completed in May 2017 and submitted as an annex to the project document. There is no indication in the inception report that the tracking tools were reviewed or validated at the inception workshop.

In line with the GEF-7 updated results architecture²², the UNDP SGP UCP Global Coordinator has instructed that the project does not need to make midterm and final assessments of the GEF-6 tracking tools, but rather needs to use the GEF-7 core indicator worksheet. The baseline and midterm assessment of the GEF-7 core indicators were prepared by the CPMU and made available to the MTR Consultant. A few observations from review of the core indicator worksheet:

- The breakdown of core indicator 4 (area of landscapes-seascapes under improved practices) should be updated to include the grants awarded under the 3rd call for proposals, and a detailed breakdown of the reported figures should be provided.
- The project should consider whether results according to core indicator 3 (area of land restored) should be reported, as there are interventions focused on rehabilitation of forest, grassland, agricultural land, and mangrove forests.
- Progress towards achievement of results under core indicator 6 (greenhouse gas emissions mitigated) should be updated with calculations made over the lifetime of the investments. The baseline figure should also be reassessed.
- A detailed breakdown of the direct beneficiaries reported for core indicator 11 should be provided.

3.3.5 Stakeholder Engagement and Partnerships

The GEF-SGP has operated in Kenya for more than 20 years and has built up a high level of recognition among governmental level stakeholders as well as across the civil society community. The project is benefiting from this comparative advantage.

With 68 grants awarded to local CBOs and NGOs under OP6, the SGP continues to expand its standing among the civil society in Kenya.

The project strategy is predicated on the landscape-seascape approach that entails establishing and facilitating multi-stakeholder engagement. There has been substantive progress with respect to establishment of multi-stakeholder platforms in the three landscapes-seascape. County government officials have taken a leading role in the functioning of these platforms. There has also been involvement by national governmental stakeholders on the platforms.

The NSC is an important stakeholder engagement body, with representation from the civil society, government, private sector, and academia.

Private sector companies are involved in several of the project interventions, e.g., pay-as-you-go (PAYG) arrangements in several communities for distributing solar lanterns to rural households and schools. Based on consultations during project preparation, there was an understanding that there would be more extensive partnerships between the private sector and the civil society, particularly regarding the climate change mitigation projects. This level of partnership has not yet been realized.

It would be advisable to evaluate the OP6 grant portfolio for opportunities to expand stakeholder involvement. For example, four (4) of the grants are striving to obtain certification by the Kenya Bureau of Standards (KEBS) for various agricultural and fishery products. Exploring available programmes associated with eco-certification could expand market access and help ensure results achieved on the project are sustained.

3.3.6 Reporting

There has been one project implementation review (PIR) report produced to date, for the period covering June 2018 through June 2019. The 2020 PIR was under preparation at the time of the MTR mission.

The 2019 PIR report includes information on the reasons for the approximate 6-month delay, citing political unrest in the country at that time and the associated security constraints for travel, restricting the opportunities to arrange inception meetings.

Adaptive management measures associated with the current COVID-19 pandemic will need to be developed, communicated with the project partners, and documented into the 2020 PIR.

Apart from the PIR reports, there are a number of reports generated on the project, including monthly M&E reports required by the Ministry of Environment, back-to-office reports prepared by the CPMU, monitoring reports, progress

²² <https://www.thegef.org/council-meeting-documents/updated-results-architecture-gef-7-0>

reports by the strategic partners and CBO grantees. There is a need to ensure consistency and timeliness of the various reports being produced; this is one of the envisaged roles of the three UNV positions that have yet to be recruited.

3.3.7 Communications and Knowledge Management

With respect to internal communication, the SGP in Kenya has developed effective procedures for interacting with the NSC members, UNDP, and UNOPS. The rapport between the project and the UNDP CO is open and constructive.

One of the adaptive management measures taken by the CPMU during the current COVID-19 pandemic has been to organize webinars with the strategic partners. These have provided good opportunities to share experiences across the landscapes-seascape; there was limited cross-exchange prior to the pandemic – lesson learned.

Communication at the landscape-seascape level has been facilitated through the participatory baseline assessments and the multi-stakeholder platforms. Posters and fliers were prepared for the World Environment Day and World Ocean's Day. Information on the SGP in Kenya is also uploaded to the country page on the SGP website; although, the information on the website is fairly dated, with stories from 2012 and gallery photos from 2014.

The knowledge management approach is generally centered on developing case studies, e.g., each individual grant is required to develop a case study. The small grant projects under OP6 were under implementation at the time of the MTR and case studies had not yet been developed.

As part of the 3rd call for proposal, the project attempted to procure a specialized NGO to support knowledge management on the project. According to MTR interview feedback, there was limited response to the procurement and the envisaged knowledge management grant was not realized. The project has a number of good stories to share, e.g., community conservation, women's empowerment, rehabilitation of degraded ecosystems, traditional knowledge, best practices in operating artisanal and small-scale mining, community level energy efficiency and renewable energy interventions, etc. The CPMU has been working on communications and knowledge management strategies; this is something that each of the Upgraded Country Programmes are required to do. The strategies were not ready to review by the time of the MTR.

3.4 Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria each sustainability dimension is critical, i.e., the overall ranking cannot be higher than the lowest one among the four assessed risk dimensions.

Overall:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

There are a number of factors that enhance the prospects that results achieved on the project will be sustained after GEF funding ceases; for example, developing capacities of local CBOs, gaining experience on implementing community development projects, multi-stakeholder governance platforms, inclusive stakeholder engagement, etc.

The shortcomings with respect to communications and knowledge management are also hindrances to upscaling and replication. Anecdotal evidence indicates that there is limited awareness of SGP among certain groups of potentially enabling stakeholders, e.g., at the national level and private sector, and there is room for improvement in developing and disseminating knowledge products that provide clear guidance on lessons learned and best practices.

There are also externalities that might affect sustainability, e.g., there are risks that the gains achieved by the local communities in building socio-ecological resilience could be influenced by the unpredictable impacts of climate change. The current COVID-19 pandemic poses further uncertainty, for instance, a prolonged economic downturn and disruptions in supply chains might affect the viability of some of the project interventions.

Overall, the likelihood that benefits will continue to be delivered after project closure is rated as **moderately likely**. The following sections include considerations across the four sustainability risk dimensions, including financial, institutional and governance, socioeconomic, and environmental.

3.4.1 Financial Risks to Sustainability

Financial Risks:

Likelihood that benefits will continue to be delivered after project closure: Likely

With respect to the financial dimension of sustainability, the majority of the awarded small grants include livelihood related activities, including capacity building, skills development, market linkages, etc. Experience gained through the

SGP has also strengthened the capabilities of the community based organizations to develop proposals and raise funds. Importantly, the Lake Bogoria landscape and Shimoni-Vanga seascape will continue to be included among the proposed target landscapes in the seventh operational phase (OP7) of the SGP in Kenya that is currently under development. Continued support by the government and donor community in the Sacred Kaya Forest is likely, as many of the Kaya forests are UNESCO World Heritage Sites and harbor globally significant biodiversity.

Moreover, based on minutes from the multi-stakeholder platform meetings, there was discussion on the county governments supporting the financing of these governance bodies. This further enhances project sustainability.

In summary, continued donor support and commitment of local governments have rendered prospect of sustaining project results likely, with respect to the financial dimension of sustainability..

3.4.2 Socioeconomic Risks to Sustainability

Socioeconomic Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

The landscape-seascape approach implemented under the project is predicated by strengthening socio-ecological resilience; this intrinsically enhances the socio-economic dimension of sustainability. Involving multiple stakeholders in the landscapes-seascape in identifying priority issues and developing strategies for addressing these increases the overall social capital of the local communities.

There are significant risks to sustainability associated with the current COVID-19 pandemic. In some cases, some of the project interventions, such as diversifying local food production, strengthens the resilience of the local communities. But restrictions on travel and a possible economic downturn could affect some of the income-generating activities of the community groups, such as ecotourism.

The strengthened capacities and resilience of the local CBOs enhance sustainability, but the uncertainties associated with the COVID-19 pandemic render the overall likelihood of sustaining project results as moderately likely, with respect to socioeconomic risks.

3.4.3 Institutional Framework and Governance Risks to Sustainability

Institutional Framework and Governance Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

Considering the institutional framework and governance dimension of sustainability, the involvement of county and national governmental stakeholders in the multi-stakeholder governance platforms strengthen the likelihood that these structures will continue to operate. And there are opportunities in each of the three landscapes-seascape for mainstreaming priority actions from landscape-seascape strategies into local development plans. Partnerships also enhance sustainability. For instance, grantees in each of the project landscapes-seascape are collaborating with enabling partners, such as national level nature reserves, Kenya Wildlife Service, marine protected area, as well as NGOs, universities, and private sector companies.

Each of the surveyed members of the multi-stakeholder platforms during the MTR indicated that they thought it would be a good idea to mainstream the priority actions of the landscape-seascape strategies into country government development plans. There are examples among some of the awarded projects, including the following information contained in the approved proposal by Wildliving Resources (WLR):

“The project will link with the Kilifi County Integrated Development Plan (CIDP) 2018 – 2022 especially on programs and projects that address; environmental degradation, unexploited economic opportunities in agriculture, increased production/productivity and value addition, food security, environmental management and protection and women and youth empowerment. For technical program/project support and other relevant linkages to the proposed project, WLR will partner with the following Kilifi County Government departments; 1.) Agriculture, Livestock and Fisheries, 2.) Gender, Culture, Social Services and Sports, 3.) Water, Environment and Natural resources.”

Institutional framework and governance risks remain relevant, but there are opportunities to enhance the prospects that results will be sustained, e.g., through linking up with county development planning processes. At midterm, a rating of moderately likely is applied for this sustainability dimension.

3.4.4 Environmental Risks to Sustainability

Risks:

Likelihood that benefits will continue to be delivered after project closure: Likely

Considering the environmental dimension of sustainability, a substantial number of approved projects involve activities that conserve biodiversity and protect and rehabilitate ecosystem services, e.g., improved pasture management, adopting sustainable agricultural practices, strengthening the governance of community conservancies and beach management units, rehabilitation of degraded land, rehabilitation of coral and sea grass ecosystems, etc.

Whilst implementing a landscape level approach is an effective strategy for achieving meaningful reductions in threats at scale, it is important that concerted efforts are made to sustain the project activities and promote upscaling and replication, facilitated by the multi-stakeholder governance platforms.

A likely rating has been applied for the environmental sustainability dimension at midterm.

4 Conclusions and Recommendations

4.1 Conclusions

Kenya was included in the Upgraded Country Programmes (UCP) during the fifth operational phase (OP5) and, thus, OP6 is the second, consecutive phase under the UCP. The planned three year duration of the project was made with the understanding that the project could relatively seamlessly transition from OP5 into OP6 and then lead into the next operational phase, OP7. Commencement of project implementation was delayed for about six months due to political unrest in the country at that time, but there was also an under-estimation of the time required to carry out the baseline assessments, develop the landscape-seascape strategies, facilitate the multi-stakeholder platforms, and build capacities of the local community based organizations (CBOs). Although some of the CBOs that have been awarded grants under OP6 have participated during earlier operational phases, many are new to the SGP.

The project is benefitting from an experienced Country Program Management Unit (CPMU), including the National Coordinator and the Program Assistant, and supported by the UNDP Global Coordinator for the SGP UCP and by UNOPS colleagues in New York. The full CPMU team in Kenya outlined in the project document has not been realized. For example, three support staff from the United Nations Volunteers (UNV) program were envisaged to work full-time on OP6, as well as a full-time technical assistant. There have been ongoing discussions and requests to recruit the UNV staff positions, but the recruitment has not yet happened. The heavy workload has reportedly hampered the recruitment of the UNVs, i.e., a lack of capacity and time. And the full-time technical assistant described in the project document has not been recruited. Consistent with SGP guidance and best practices in some other countries, a Technical Advisory Group, comprising of an assemblage of volunteer technical experts, was established to assist the NSC in pre-screening the proposals. According to feedback during MTR interviews, the TAG did not work out as envisaged and the group has been effectively disbanded.

The NSC has convened regular meetings and has been conscientious in reviewing and awarding grants. There have been discussions within the NSC of possible conflicts of interest regarding participation of WWF as a member of the NSC (representing WWF's regional office), as one of the strategic partners (representing WWF's national office), and as one of the cofinancing partners. The NSC has instituted measures to mitigate this concern, e.g., the WWF representative on the NSC did not take part in discussions regarding selection of the strategic partner. Moreover, rotation of the NSC members is scheduled during the second half of OP6.

The strategic partners have been important actors in the process of implementing the socio-ecological resilience approach in production landscapes-seascapes. The roles and responsibilities of the strategic partners are described in the terms of reference but the actual level of effort seems to have exceeded what the partners expected.

There were a few quality shortcomings in the proposals submitted by the local CBOs, partly due to the generally low level of experience among the CBOs in preparing proposals. In response to the low quality in the first call, the project has promoted the practice of allocating 1% of the value of the grant for compensating the person(s) who prepared the proposal. Planning grants have not been used and it seems that this modality has not typically been applied in Kenya during earlier operational phases as well. Planning grants allow CBOs the opportunity to gain the support of an experienced NGO or expert in planning a particular intervention and developing a proposal. The cost of the planning grant is not deducted from the proposed budget of the full grant and it is paid regardless of whether the proposal is accepted or not.

There has been substantive progress towards establishing the multi-stakeholder platforms in the three target landscapes-seascape, and involvement of county government officials enhances the likelihood that stakeholder engagement will continue after GEF funding ceases. Introducing and implementing community development projects using the landscape approach is an incremental process, which requires sustained participatory, multi-stakeholder engagement. The durability of the multi-stakeholder processes is further strengthened considering that the Great Rift Valley landscape and the Shimoni-Vanga seascape are included in the seventh operational phase (OP7) for the SGP in Kenya.

The multi-stakeholder platforms have helped increase awareness at the landscape-seascape level. Based on feedback from the MTR interviews and surveys, there are challenges in expanding awareness of the SGP at the national level. The project interventions under the SGP generate important and interesting knowledge, but there is room for improvement in terms of producing quality knowledge products and designing effective dissemination approaches, including reaching out to the private sector. There has been involvement of the private sector, but the strategic engagement with private companies under the CCM focal area has not materialized as envisaged. The project team is developing communications and knowledge management strategies, which should address some of these issues.

The 65 small grants awarded include a good mix of interventions across each of the three focal areas: biodiversity, land degradation, and climate change mitigation. One of the small grants has been awarded to an organization implementing best practice with respect to artisanal and small-scale mining (ASGM). This project is outside the target landscapes-seascape and not under the CCM focal area, but it is providing important information for the GEF-6 ASGM project in Kenya; a good example of SGP collaborating with other GEF-financed projects in the country.

The end target for the objective-level indicator on increased area with improved community management is overly ambitious in some cases, e.g., the Shimoni-Vanga seascape (lesson learned); however, there are also inconsistencies on how results under this indicator are being reported.

The greenhouse gas (GHG) mitigation results seem unlikely to reach the estimated end target for the renewable energy and energy efficiency interventions, although it would be advisable to go through the CCM portfolio of projects and consistency report the expected lifetime mitigation. If the GHG end target is not reached with the awarded renewable energy and energy efficiency (RE/EE) projects, this would not be an indication of poor performance. Firstly, socioeconomic conditions are changing, e.g., improved infrastructure and rural electrification, and the viable RE/EE projects are reflective of the current circumstances. Moreover, the project is not considering mitigation benefits generated through the projects implemented in the agriculture, forestry, and land use (AFOLU) sector, e.g., improved pasture management, enhanced forest management and avoided forest loss, enriched soil fertility, etc. Substantial mitigation benefits are being realized through these interventions.

There have been some inconsistencies with respect to the project monitoring and evaluation systems, including reporting on project results. Many of the project interventions have established rather complex indicator frameworks, requiring substantial data inputs and interpretation, and it is unclear if sufficient resources and capacities are in place to ensure results are sufficiently monitored and evaluated.

The small grant proposals include varying allocations of personnel related costs, e.g., project management, project coordination, monitoring & evaluation, etc. But there is some confusion regarding what is allowed to be included in the budget breakdown.

Overall, the project was able to make up some of the lost ground in the beginning of the implementation phase and fully award the envisaged volume of grants through three separate calls for proposals. The project has been granted a one-year, no cost extension, revising the closure date from September 2020 to September 2021. The extension was requested primarily because of the delay in starting up the implementation of the project and the short 3-year duration. The extensive socioeconomic disruptions due to the COVID-19 pandemic have significantly affected the circumstances on the project, as some of the community interventions are unable to proceed as planned. The viability of closure by September 2021 will need to be reevaluated in the coming months.

4.2 Recommendations

No.	Recommendation	Responsibility
Project implementation		
1.	Prepare an adaptive management plan in response to the current COVID-19 pandemic. An adaptive management plan should be prepared to describe mitigation measures and to identify potential unavoidable delays or changes to the scope of the project interventions.	CPMU, UNDP, NSC
2.	Update the terms of reference for the strategic partners to better define roles and responsibilities. Some examples of additional information to include in the terms of reference include: the envisaged frequency of the multi-stakeholder platform meetings; the approximate number of small grants over the course of the operational phase; the expected number of calls for proposals envisaged (based on previous SGP experience); the minimum number awareness raising events, communication materials, knowledge products, etc.	CPMU, NSC, UNDP
3.	Include the role of a project coordinator in the budget for each small grant in order to strengthen effectiveness and efficiency of the interventions. The small grant proposals include varying allocations of personnel related costs, e.g., project management, project coordination, monitoring & evaluation, etc. But there is some confusion regarding what is allowed to be included in the budget breakdown. It would be advisable to include the role of a project coordinator in each grant proposal at a specified allocation (e.g., 5-10%) and to specify the duties and responsibilities for this position, including but not limited to: coordination	CPMU, NSC, UNDP

No.	Recommendation	Responsibility
	of project activities, preparation of project reports, focal point for communicating with the SGP country team, focal point for liaising with the multi-stakeholder governance platform, etc. This position should strictly be a member of the CBO and not an external person, to avoid reduced ownership and the possibility of the activity collapsing after GEF funding is exhausted.	
Governance and management arrangements		
4.	Bolster the SGP country team. The terms of reference for the SGP country team described in the project document called for the following full-time positions: National Coordinator, Programme Associate, Technical Assistant, and three UN Volunteers. It would be advisable to take stock with only one year remaining (and with the seventh operational phase (OP7) under development), and update the terms of reference for the SGP country team. With respect to the envisaged position of Technical Assistant, refer to Recommendation No. 4 below. With respect to UN Volunteers, the envisaged arrangement outlined in the project design included having one volunteer stationed at each of the three landscapes-seascapes. It would be important to assess whether the UN Volunteers would be best posted at the landscapes-seascapes, keeping in mind the duties and responsibilities of the strategic partners, or rather focused on portfolio-wide issues, such as monitoring & evaluation, safeguards, communications, knowledge management, government liaison, etc.	UNDP, UNOPS, NSC, CPMU
5.	Reconcile the role of technical assistance support on the project. Targeted technical assistance and advisory support should be considered, including, but not limited to matters associated with the climate change mitigation (CCM) focal area. CCM technical assistance could be delivered through a part-time consultancy arrangement, for example, for sharing information on industry level best practice, identifying potential private sector partnerships, and establishing guidance for standardizing how results of CCM projects are reported. Part-time technical assistance support should also be considered at the landscape-seascape level, firstly to provide oversight and monitoring & evaluation of the performance of the strategic partners. Having part-time technical assistance support at the landscape-seascape level, with knowledge of local sociopolitical dynamics, would also contribute towards enhancing the durability of the landscape-seascape strategies and governance mechanisms. It is recommended that a short-term CCM consultancy be recruited to support the implementation, reporting, and private sector coordination.	NSC, UNDP, CPMU
Communications and knowledge management		
6.	Enhance knowledge management and communications to facilitate upscaling and expand awareness of SGP in Kenya. The country team is currently completing two strategy documents, one on communications and one on knowledge management. Regarding communications, it is important to describe the key messages that SGP would like to convey, what are the most effective methods for delivering these messages, who are the target stakeholders, and what metrics can be used to assess effectiveness. With respect to knowledge management, it would be useful to describe the objectives of the knowledge management activities, including development of case studies. And it would be advisable to rethink the overall knowledge management approach. For instance, it might be more effective for the grantees to be responsible for collecting inputs (e.g., photographs, video clips, audio recordings, results of the interventions, etc.) for knowledge products and having a knowledge management expert organization develop the actual products – in coordination with the UCP Global Coordinator and the CPMT KM focal point. There are also opportunities to document/record traditional knowledge (e.g., the way in which wildlife is an integral part of livestock rearing of some pastoralists) with free, prior, and informed consent from local communities.	CPMU, NSC, UNDP
Capacity development		
7.	Arrange cross-learning exchanges among the landscapes-seascapes, integrate capacity development needs and plans into the landscape-seascape strategies, and develop a programme-wide capacity development strategy for SGP in Kenya. It would be advisable to capitalize on the services of the two NGOs awarded capacity development grants as part of the 3 rd call for proposals, by organizing cross-learning exchanges across the landscapes-seascapes. And the capacity needs assessments and plans for delivering capacity building to the local CBOs should be integrated into the landscape-seascape strategies, rather than as stand-alone documents. The lessons learned and capacity development approaches at the landscape-seascape levels should be consolidated into a programme-wide capacity development strategy for the SGP in Kenya that would be regularly updated and made available to grantees, strategic partners, and NSC members.	CPMU, NSC, UNDP
8.	Incorporate the use of planning grants into the SGP capacity development strategy. Planning grants should be utilized as one of the mechanisms to deliver capacity building to project proponents, particularly those with limited experience in preparing grant proposals and delivering community development interventions. The NSC should table a discussion on defining the National Coordinator's tolerances with respect to approving planning grants, in some cases without a formal call for proposal and without NSC review, provided that costs are appropriately justified, decisions are documented, and the NSC is informed.	NSC, CPMU, UNDP
Monitoring & evaluation and social and environmental safeguards		
9.	Establish standard approaches for reporting on project indicators. Reporting is inconsistent among some of the indicators in the project results framework, e.g., Indicator A (increased area with improved community management) and Indicator D (metric tons of CO ₂ e avoided as a result of increased community adoption of	CPMU, UNDP

No.	Recommendation	Responsibility
	energy efficient and renewable energy systems. The project should establish clear guidance for reporting against project indicators, e.g., greenhouse gas emissions avoided should be reported for the lifetime of the investment and agreed emission factors should be applied consistently. The CCM results should be disaggregated by gender, urban-rural area, and excluded groups. A consistent approach for reporting on progress towards achievement of results under Indicator A should also be developed, and the results should be reported separately according to the GEF-6 corporate results outlined in the CEO Endorsement Request. It is recommended that a short-term consultancy be recruited to strengthen M&E reporting.	
10.	Strengthen capacity building and monitoring & evaluation associated with social and environmental safeguards, including those associated with indigenous peoples. The CPMU should instill a standard operating procedure for ensuring strategic partners and grantees are trained on UNDP social and environmental standards and for ensuring safeguards are put in place and participatory monitoring is implemented, including for activities involving with indigenous peoples. For example, in accordance with Standard 6 (Indigenous Peoples) of the UNDP Social and Environmental Standards, free, prior, and informed consent (FPIC) should be secured where rights, lands, resources, territories, traditional livelihoods may be affected.	CPMU, UNDP, NSC
11.	Complete the gender analysis and action plan for the project, and monitor and evaluate progress towards achievement of the gender mainstreaming objective. The draft gender action plan should be completed according to the SGP guidance note for OP7; a gender analysis should be made for each of the three landscapes-seascapes; the mandatory SGP indicators should be included in the gender action plan; the completed and ongoing projects should be evaluated for progress towards the indicators; the gender mainstreaming section of the grant proposals should be made more quantitative, e.g., including the mandatory SGP gender indicators at a minimum. And gender disaggregation should be reported across the project results framework.	CPMU, UNDP, NSC
Sustainability		
12.	Develop and implement a sustainability plan, including mainstreaming priority actions included in the landscape-seascape strategies and facilitating implementation of the seventh operational phase (OP7) of the SGP in Kenya. The sustainability plan should include updated landscape strategies, incorporating lessons learned from OP6, highlighting opportunities for upscaling successful interventions, identifying priority actions to mainstream into county development plans, and describing potential partnerships and funding sources.	CPMU, NSC, UNDP

Annex 1: Evaluation matrix

Evaluation theme	Questions	Sources	Methodology
Project Strategy			
Project Design:	To what extent is the project suited to local and national development priorities and policies?	National development strategies, sector plans, medium term development plan, project document	Desk review, interviews
Project Design:	To what extent is the project in line with GEF operational programs?	GEF focal area strategies, project design, PIR reports	Desk review, interviews
Project Design:	To what extent are the objectives and design of the project supporting environment and development priorities?	UNPDF, UNDP CPD, multilateral environmental agreements, etc.	Desk review, interviews
Project Design:	Does the project design remain relevant in generating global environmental benefits?	GEF strategies, national and subnational development plans, PIF, project document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Does the results framework fulfil SMART criteria and sufficiently captures the added value of the project?	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Results Frameworks:	What changes could be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	SMART analysis of results framework, current national and local development strategies	Desk review, interviews
Mainstreaming:	How are broader development objectives are represented in the project design?	Project document, social and environmental social screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards Results			
Progress towards Outcomes Analysis:	Has the project been effective in achieving the expected outcomes and objective?	PIRs, self-assessment reports by PMU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards results:	To what extent has the project increased institutional capacity to sustainably manage the national protected area system?	Progress reports, national and local development strategies, etc.	Desk review, interviews, field visits.
Progress towards results:	How has the project been able to influence monitoring and evaluation associated with landscape/seascape conservation and management?	Progress reports, national and local development strategies, budget allocations, increased level of awareness	Desk review, interviews, field visits
Risk management:	What were the risks involved and to what extent were they managed?	Project document, risk log, progress reports	Desk review, interviews, field visits
Lessons learned:	What lessons have been learned from the project regarding achievement of outcomes?	Progress reports, lessons learned reports, back-to-office reports	Desk review, interviews
Remaining Barriers to Achieving the Project Objective:	How are the project outputs addressing key barriers?	PIRs, annual reports, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Project Implementation & Adaptive Management			
Management Arrangements, GEF Partner Agency:	How were lessons learned on other projects incorporated into project implementation?	PIRs, project steering committee meeting minutes, audit reports, feedback obtained during MTR mission	Desk review, interviews
Management Arrangements, Executing Agency/Implementing Partner:	How effective has adaptive management been, e.g., in response to recommendations raised by project steering committee?	PIRs, project steering committee meetings, feedback obtained during MTR mission	Desk reviews, interviews
Work Planning:	Are milestones within annual work plans consistent with indicators in strategic results framework.	Project document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR mission	Desk review, interviews

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Evaluation theme	Questions	Sources	Methodology
Finance and Cofinance:	How efficient has financial delivery been?	Financial expenditure reports, combined delivery reports, audit reports, project steering committee meeting minutes, PIRs, midterm cofinancing report, feedback obtained during MTR mission	Desk review, interviews
Cost-effectiveness:	How cost-effective have the project interventions been?	Analysis of progress towards results, financial delivery	Desk review, interviews, field visits
Project-level Monitoring and Evaluation Systems:	How timely has implementation of adaptive management measures been?	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PMU, project steering committee meeting minutes, feedback obtained during MTR mission	Desk review, interviews, field visits
Stakeholder Engagement:	How inclusive and proactive has stakeholder involvement been?	Stakeholder involvement plan in the project document, meeting minutes, records of exchange visits, stakeholder feedback obtained during MTR mission	Desk review, interviews, field visits
Partnership Arrangements:	How effective have partnership arrangements been?	Partnership agreements, contracts, progress reports, cofinancing realized	Desk review, interviews, field visits
Local Capacity Utilized:	Has the project efficiently utilized local capacity in implementation?	Contracts, financial expenditure records, progress reports	Desk review, interviews, field visits
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR mission	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behavior, feedback obtained during MTR mission	Desk review, interviews, field visits
Sustainability			
Risk Management:	How timely has delivery of project outputs been?	Project document, risk logs, PIRs, project steering committee meeting minutes, feedback during MTR mission	Desk review, interviews
Lessons Learned:	What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Progress reports, monitoring and evaluation reports, feedback from stakeholders, current national and local development strategies, and sector plans	Desk review, interviews, field visits
Financial Risks to Sustainability:	How has the project addressed financial and economic sustainability? Are recurrent costs sustainable after project closure? What evidence is available that demonstrates budget allocations have been or will be made to sustain project results?	Budget allocations, progress reports, government publications	Desk review, interviews, field visits
Socioeconomic Risks to Sustainability:	What incentives are in place or under development to sustain socioeconomic benefits? What evidence is available that demonstrates capacities and resilience of local communities have been strengthened?	Project outputs realized, progress reports	Desk review, interviews, field visits
Institutional Framework and Governance Risks to Sustainability:	How have management plans and other approaches promoted by the project been integrated into institutional frameworks? What is the operating status of multi-stakeholder governance platforms? What is the level of ownership of approaches promoted by the project? What policies are in place that enhance the likelihood that project results will be sustained?	Tracking tool, training records, evidence of policy reform, governance platform records	Desk review, interviews, field visits
Environmental Risks to Sustainability:	What evidence is available that demonstrate reduction of key threats to biodiversity and ecosystems?	Tracking tool, budget allocations, training record, statistics on awareness campaigns	Desk review, interviews, field visits

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Evaluation theme	Questions	Sources	Methodology
	Have any new environmental threats emerged?		
Progress towards Impact			
Environmental stress reduction	What evidence is available that demonstrates progress towards environmental stress reduction?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Environmental status change	What evidence is available that demonstrates progress towards environmental status change?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Community well-being	What evidence is available that demonstrates progress towards improving community well-being?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Policies	What evidence is available that demonstrates progress towards changes in policies?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Governance mechanisms	What evidence is available that demonstrates progress towards changes in governance mechanisms?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Capacities	What evidence is available that demonstrates progress towards changes in capacities?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Unintended consequences	What unintended consequences have occurred?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits

Annex 2: List of documents reviewed

1. Project Identification Form (PIF)
2. Project Document
3. LPAC meeting minutes
4. GEF CEO Endorsement Request
5. UNDP Environmental and Social Screening results
6. Project inception report
7. Annual work plan
8. Annual financial project reports (project expenditure reports provided by UNDP and UNOPS)
9. Cofinancing reports
10. Project Implementation Review (PIR) report
11. Progress reports
12. Back-to-office reports (BTORs)
13. Monitoring reports
14. Finalized GEF focal area Tracking Tools at CEO endorsement (baseline), and GEF-7 core indicator worksheet (midterm report)
15. National Steering Committee meeting minutes
16. Baseline assessments of the three target landscapes-seascapes
17. Landscape-seascape strategies
18. Multi-stakeholder governance platform terms of reference and meeting minutes
19. Project proposals and memoranda of understanding (MOA) for all 68 of the approved grants
20. Draft gender action plan
21. Training reports
22. Asset register
23. Knowledge products completed to date
24. UNDP Country Programme Document (CPD) for Kenya 2018-2022
25. Kenya: Human Development Report 2019, Briefing Note
26. SGP Standard Operating Procedures (SOP) Manual
27. Key Biodiversity Area Database, the KBA Partnership (www.keybiodiversityareas.org)

Annex 3: Grants awarded in OP6

Organization	Project title	GEF grant, US\$	In-kind cofinan., US\$	Cash cofinan, US\$	Total cofinan, US\$	Total, US\$	Focal area	Increased area with improved community management, ha	Comments on envisaged results
Lake Bogoria									
NETBON	Improved resilience and increased livelihood for LBL Communities through Conservation of the Majimoto River Catchment.	29,654	30,900	500	31,400	61,054	LD	0	Increase access to fuel wood; HH incomes increased by 50%.
Twin Self-Help Group	Improved Beekeeping and Honey Production systems in Lake Bogoria Landscape for increased production, Environmental Conservation and social well-being.	29,293	29,585	1,000	30,585	59,878	BD	4	50% increase in number of individuals depending on honey production; 1 tree nursery; 10 acres set aside for honey production.
Sinyati Women's Group	Livelihood improvement and Biodiversity conservation through advancement of sustainable bee farming and establishment of an efficient honey processing unit.	27,111	31,500	5,000	36,500	63,611	BD	0	100 newly trained members; tree nursery; 1,000 seedlings planted; 2 beehives per member; honey processing plant.
Sustainable Future Investments Youth Group (SUFi)	Empowering communities in the Lake Bogoria Landscape to increase their resilience and improve their livelihoods through trade in bee products.	30,000	25,380	0	25,380	55,380	BD	0	10,000 tons of organic honey products sold by 2020; 1500 farmers join supply chain (40% men, 40% women, 20% youth)
Lake Bogoria Basin WRUA	Conservation of the river Waseges catchment for fresh water management, improved well-being and environmental conservation.	29,108	42,773	1,000	43,773	72,881	LD	0	8 committee members and 4 community members trained in water resource use, conflict resolution, etc. 30% to be women; one strategic and operational roadmap; guideline for riparian zones adopted; conservation-management-governance structure established; establish two indigenous nurseries; plans and proposals for freshwater management developed; at least one committee member involved in the Lake Bogoria National Reserve revenue and benefit sharing components.
Kenya Wildlife Conservancies Association (KWCA)	Securing biodiversity and community livelihoods through strengthening community conservancies adjacent lake Bogoria.	49,876	0	54,534	54,534	104,410	BD	0	Build governance capacity for BCCA as a landscape conservancy coordinating body; strengthen governance and management structures of 3 conservancies and enhanced community ownership; enhance ecosystem management and benefits access through partnerships with Lake Bogoria NR and adjacent 3 conservancies; effectively governed 14,500 ha of wetland, riparian and rangeland landscapes.

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Friends of Nature Bogoria	Community Livelihood Improvement through the Conservation of Greater Kudu around Lake Bogoria.	19,375	3,690	1,000	4,690	24,065	BD	8,094	15 kudu transects and nature trails mapped, 15 monitors trained, outreach equipment and materials, increased knowledge and awareness among the public and school community, increased capacities among water bird count volunteers.
Baringo County Conservancies Association (BCCCA)	Strengthening the governance structures & enhancing advocacy roles of BCCA & member conservancies within Baringo county	22,500	7,923	0	7,923	30,423	BD	0	Strengthen governance structures of the BCCA. The BCCA is a landscape membership organization of 15 CC's, covering approx. 100,000 ha, supporting 7,500 HH's.
Endorois Welfare Council (EWC)	Conservation of Emsos River Water Catchment Area	50,000	18,720	31,280	50,000	100,000	LD	20	Planting lucerne on 50 acres of arable lands as a forage base; transition from conventional cattle farming to milk-producing Saanen breed of goats; construct goat breeding mini-farms for demonstration; develop a new strategy of pastoral management.
Transrift Trail Guides Association	Promoting Sustainable Trails to Enhance Community Livelihood Sustainability	27,165	0	650	650	27,815	BD	0	Engage/train KECOBAT and GreatRiftalley aspiring geopark; rehabilitation of 60 km of track and camps; trail maps; trail guidebooks; website development
Greater Lake Elmenteita Conservation Area (GLECA)	Strengthening community participation in the conservation of Lake Elmenteita World Heritage Site.	29,999	14,857	0	14,857	44,856	BD, LD	6,115	Strengthened capacity of GLECA; raise awareness and stakeholder action; support restoration of degraded riparian areas and hot springs; promote uptake of eco-enterprises for livelihood improvement for small-scale farmers and pastoralists
Lokasacha	Scaling up new drought-proof livelihood options for Kenya's arid lands – commercializing value-added products from invasive Prosopis trees, fodder banks and Aloes	30,000	9,000	0	9,000	39,000	LD	500	Land preparation and developing pastures at HH levels; make complete/balanced meal and increase incomes from sale of feed, milk and healthy animals.
Nooseiya Self Help Group	Enhancement of livelihood through pasture production and environment conservation	29,355	20,320	5,000	25,320	54,675	BD, LD	20	Designate 50 acres of community land and establish a pasture for commercialization;
Seed Savers Network Association	Conserving Lake Bogoria Ecosystem Using Climate Resilient Plant Species	29,071	28,766	0	28,766	57,837	BD, LD	0	500 farmers trained in growing drought resistant crops; diversified food supply for 2500 members of HH's thereby reducing food insecurity; crops and agrobiodiversity conserved through two community seed banks

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Loboi Koitegan Water Resources Users Association	Conservation of River Loboi-Koitegan catchment for efficient use of water resources, Cohesion and improved livelihoods of residents.	29,918	22,240	5,000	27,240	57,158	BD	4,047	30 members trained on management and leadership; 50% increase in participation (50% women); 15,000 ha of ICCA and 10,000 ha of PA conserved; nature policy influence at local level; 50 members trained on good agricultural practices; updating the WRUA constitution; 50% livelihood status improved; 30% increase in income among the community
Kiborgoch Community Wildlife and Wetland Conservancy	Conservation of wetland and afforestation for environmental sustainability and improved community livelihoods in Kiborgoch Conservancy, Lake Bogoria Landscape	29,629	30,112	0	30,112	59,741	BD	6,647	240 beacons erected around 3,500 ha; land use plan printed; spring protection; 7,000 trees and 50 kg seeds planted.
Irong Community Conservancy	To enhance wild animals' corridors and niches to minimize human wildlife conflict within Irong community conservancy.	25,100	4,950	0	4,950	30,050	BD	324	Delineate Greater kudu corridor and niches within the Irong CC; mapping of Greater kudu routes and breeding sites; training of community members; reduce human-wildlife conflicts
Chuine Wildlife Conservancy	Restoration of Sandai grass and acacia species	30,000	1,800	28,200	30,000	60,000	LD	4,446	Regeneration of destroyed and degraded vegetation and water springs; increase awareness on grazing plan and implementation; demarcate and peg the entire 10,000-ha CC
Elites Youth Group	Youth Empowerment for Biodiversity Conservation and Enhancement of Livelihoods Through Sustainable Pasture Production in the Lake Bogoria Landscape, Baringo County, Kenya	29,916	30,000	0	30,000	59,916	BD, LD	20.2	Establish 50 acres of land for pasture production; more than 50 members trained on pasture production and management; land clearing, fencing, ploughing, seeding, harvesting; procure baling machine; monitoring and evaluation; market linkages.
Endorois Women Group	Improved farming systems through introduction of resilient crops for heightened household production and environmental conservation	29,987	16,000	1,000	17,000	46,987	BD, LD	4,047	Sprinkler irrigation established from nearby springs on 25 acres of farmland, increasing food production by 30%; establish 100 acres of Loboi improved farms for 20% diversified diets in new varieties; establish collection centers, resulting in 20% creation of employment and 30% increase in marketing value chain activities; 20% increase in environmental and social status.

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Lake Bogoria Sossiche Women Group	Enhancement of livelihood through pasture production and environment conservation	29,992	14,300	27,870	42,170	72,162	BD, LD	809	Improved community management of 2,000 acres; 25 members trained on pasture management; land clearing, fending, ploughing, seeding, harvesting; establish 50 acres of land for pasture production; reduce human-wildlife conflict; increase awareness on sustainable livelihoods through pasture production.
Maji Moto Women Group	Sustainable pasture production and management for improved livestock, drought tolerance and economic well-being of women in Maji Moto	30,000	60,300	0	60,300	90,300	LD, CCM	182	Improved community management of 450 acres; 25 members gain knowledge on improved pasture production; 450 acres under sustainable grazing, resulting in 50% increase in pasture production, 30% improvement in HH income; 50% increase in land under pasture management; 50 acres land ploughed, 25% increase in land on pasture production; machine acquired for baling, 5% increase in number of people with access to baling machines
Nasinya Women Group	Pastures for Sustainable Grazing and Improved Livestock Production in the Lake Bogoria Basin	24,394	9,563	0	9,563	33,957	BD, LD		Plan and implement improved pasture production and livestock rearing; establish a 2-acre demonstration plot; 50 acres of land planted with selected grass species.
Nduata Ee Siligi Youth Group	Pasture establishment and management for reduced land degradation, sustainable grazing and improved livestock production in the Lower Bogoria Basin, Baringo County	24,975	10,055	0	10,055	35,030	BD, LD		At least 1,000 ha of community land rehabilitated through pasture establishment and sustainable grazing; 50% of residents adopt sustainable grazing systems; 80% of pasture has added value through baling and packaging by youth group; 2-acre demonstration plot for sustainable grazing systems; 50% increase in the number of pastoralists depending on pasture production and sustainable grazing systems; at least one hay storage and office constructed by youth group.

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Sosion Women Group	Revitalization of Indigenous Food Crops for Bogoria Communities for Increased Resilience and Improved Livelihoods through Climate Smart Agro-Ecology Production Systems	22,910	9,100	1,000	10,100	33,010	LD, CCM	607	Area of improved community management: 1,500 acres; protect soil, springs, and watersheds; arrest degradation and maintain soil fertility; supports other ecosystem services such as pollination and carbon sequestration; 30% increase in production of indigenous food crops; 30% increase in health and increased HH incomes; 40% increase in timely planting; 30% change incomes from increased production at HH level; 30% increase in sharing of information
Total, Lake Bogoria landscape:		739,328	471,834	163,034	634,868	1,374,196		35,883	
Sacred Kaya landscape:									
Arabuko Sokoke Forest Adjacent Dwellers Association (ASFADA)	Butterfly Farming in Kaya Kauma and Chonyi forests for improved livelihoods and forest conservation	48,140	48,143	0	48,143	96,283	BD		Transfer technology and skills to 200 community members (livelihood benefits for butterfly farmers); 5 demonstration sites set up with own nursery for food plants.
Colobus Conservation	Conservation of Kaya Mtswakara and Gandini through Knowledge Transfer and Conservation Education Awareness	41,567	27,634	3,219	30,853	72,420	BD	440	Create comic strips; case study on traditional kaya management system; Increased awareness, focusing on youth; upscale CC education centers; set up tree nursery; train women and youth; conduct primate census and document.
Institute for Culture and Ecology (ICE)	Harnessing indigenous knowledge for rehabilitation and protection of community forests and sacred natural sites in Kilifi county, Kenya	50,000	4,616	45,386	50,002	100,002	BD		Introduce eco-cultural mapping and calendars among Kaya forest communities; increase involvement of women and youth in culture and BD initiatives; three eco-cultural maps developed with community actions plans on rehabilitation of Kaya forests; capacity of 28 custodians of Kaya sites.
Kwale County Natural Resources Network (KCNRN)	Promoting Biodiversity Conservation and build the capacities of forest adjacent communities to access sustainable Agricultural practices to reduce pressure on forest resources within Kaya Mtswakara and Gandini, Kwale County, Kenya	28,350	28,350	0	28,350	56,700	BD		Adopt agro-ecological practices for diversified food production in 10 acres of demonstration farms; training of 400 local farmers; market linkages; promote conservation agriculture.

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KICORNET	Sustainable biocultural diversity utilization and management of the Mijikenda sacred kaya forests of coastal Kenya.	24,130	5,620	2,000	7,620	31,750	BD		Strengthen capacity of kaya institutions and traditional heritage for effective biocultural diversity management; enhance physical protection of kaya forests by planting trees along boundaries in at least 3 sites; strengthen capacities of youth and women, reducing dependence on forest resources (farm forestry, beekeeping).
Kilio Cha Haki Youth Group (KCHYG)	World Heritage in Young School Children's Hands	29,674	6,085	1,763	7,848	37,522	BD	549	Enhance awareness; procure 10,000 seedlings of indigenous trees and plant in schools and homes of students; monitor trees.
Mikahani Farmers Association	Promoting African bird eye Chili (ABEC) enterprise to enhance conservation of kaya Ribe and community resilience	25,165	12,390	4,000	16,390	41,555	LD		500 farmers adopt ABEC farming as a sustainable enterprise; 10,000 seedlings of fruit and shade trees planted in farmers by 500 farmers; 300 farmers adopt best soil and water conservation; 300 farmers adopt integrated pest management; at least 3 value added products; 500 farmers linked to at least 3 ABEC markets; at least 2 ABEC products KEBS certified (Kenya Bureau of Standards).
Kaya Mtswakara Self Help Group	Biodiversity Conservation of Kaya Mtswakara and Kaya Gandini through sustainable land use practice and pressure reduction to forest resources	20,000	20,000	0	20,000	40,000	BD		200 farmers in 2 kaya sites trained on intensive production and drought resistant crops; provide inputs and extension services to 200 farmers; field experience by 50 representatives on pulses and sorghum enhancement; 20 local youth trained; boundaries of 2 kayas clearly marked and signed; traditional bylaws and cultural calendars of 2 kayas identified and documented.
Rabai cultural Village	Promoting ecotourism and agrobiodiversity conservation for livelihood improvement and enhanced food and nutrition security in Kaya Mudzi Muvya in Kilifi County	26,741	7,428	19,313	26,741	53,481	BD	171	Increased awareness among 1,500 people; 50 group members trained on business development; website and marketing for ecotourism; 100 group members earning at least 1 USD per day from ecotourism; 20 jobs created; 5 ha of degraded sites rehabilitated; 1,000 members of local community sensitized on traditional food crops; 10 field extension officers, 50 farmers, and 10 kaya elders trained; at least 500 HHs cultivating high value traditional crops.

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Ufanisi Conservation group	Transforming traditional medicinal practice for biodiversity conservation, knowledge transfer and livelihood improvement.	25,750	16,143	9,607	25,750	51,500	BD	425	55 ha of kaya forests conserved through reduced exploitation of herbal plants; 2 herbal gardens established; 50 people trained; 1 herbal fair held; 50 people trained in value additional; 1 herbal processing unit renovated; 3 group's products certified by KEBS; contracts signed with at least 2 distributors; 50 members of the group earn at last 3 USD per day from herbal enterprise.
Wildliving Resources	Promotion of baobab enterprise for the conservation of kaya forest landscapes in kaya Kauma and kaya Ribe	49,024	18,669	15,302	33,970	82,995	BD	5,000	840 farmers trained on baobab products; 40 farmers engaged in baobab as a business; attainment of KEBS certified baobab products; Wild Living Resources will set up one primary processing unit and collection center; formation of an umbrella group known as Baobab Farmers Common Interest Group
Nature Kenya	Enhancing Capacity of Local Institutions to Effectively Deliver GEF Small Grants Programme projects towards Conservation of Mijikenda Kaya Forests Landscapes in Kilifi and Kwale Counties	45,000	28,220	0	28,220	73,220	BD	?	31,508 ha of Kaya forest landscape improved through community management. Nine (9) Kaya forests are 1,508 ha and the buffer zone is 30,000 ha. Enhance capacities of 10 local CBOs (SGP grantees).
Total, Sacred Kaya landscape:		413,541	223,298	100,589	323,887	737,428		6,585	
Shimoni Vanga seascape:									
Centre For Environment Justice and Development CEJAD	Integrating value chain approach to sound management of solid waste in Shimoni and Wasini Island, Kwale County, Kenya	49,923	50,775	0	50,775	100,698	BD, CCM	150	Planning and advocacy for sustainable solid waste management; 3 community clean-ups in each of the sites; waste collection bins and separation infrastructure labelled and installed; information materials; 10 people trained on products from recycled and reused waste; linkages to markets and networks for products. GHG emission reductions due to reduced burning of solid wastes.
Indian Ocean Water Body CBO	Empowering Women on Value Chain and Post-Harvest Trade of Coastal Women in Fisheries Entrepreneurship Development	22,320	19,620	2,000	21,620	43,940	BD		80% improvement in hygiene; 30 women trained in four BMU's on value addition; purchasing fish handling equipment; develop user manuals.
Jimbo Beach Management unit	Strengthening Jimbo BMU capacity for management of marine resources and alternative income sources	19,223	16,797	0	16,797	36,020	BD, CCM		30,000 mangrove seedlings planted in 3 ha; alternative income generation through mangrove tree nursery; reduced number of illegal fishing incidences; training on MCS skills;

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Organization	Project title	GEF grant, US\$	In-kind cofinan., US\$	Cash cofinan, US\$	Total cofinan, US\$	Total, US\$	Focal area	Increased area with improved community management, ha	Comments on envisaged results
Kibuyuni Beach management Unit	Enhancing Community Resource Management in Kibuyuni BMU Co-management Area	19,780	19,435	0	19,435	39,216	BD, CCM	1,810	Establishment and operationalization of LMMA; trainings on reducing incidences of illegal fishing; 1,810 ha of co-management area under effective management
Vanga Beach SHG BMU	Enhancing integrated management of the fragmented habitats of octopus and fish for sustainable livelihood opportunities	24,027	25,594	0	25,594	49,621	BD	2,170	Increased octopus catches; improved data collection; 180 joint surveillance trips; 1,500 Vanga community members aware of BMU bylaws; 15 BMU members trained on MCS; 5 data collectors trained; 18 octopus fishers trained on quality assurance; 8 fishers equipped with cool boxes (pilot)
Wasini BMU	Promoting the Conservation and Rehabilitation of Critical Habitats of the Wasini Co-Management Area	21,026	14,628	0	14,628	35,654	BD	400	Coral reef areas restored/rehabilitated; increase awareness to reduce pressure and resource user conflicts; increased compliance with BMU bylaws
Mkwiro Beach Management Unit	Empowering Mkwiro BMU (Shimoni-Vanga seascape) to create resilient coral reefs through restoration, conservation and education	30,610	3,371	31,261	34,632	65,242	BD	47	5% increase in coral and 50% increase in fishing the community managed area (CMA); 97% compliance after 18 months, raise community perception; upscaling coral nursery; build and deploy artificial reefs, finalize management plan for CMA.
Wasini Women's Group	Conservation of marine resources for improved community livelihood in Wasini island	30,000	19,048	10,952	30,000	60,000	BD, LD		Enhance organizational and financial management capacity of the Wasini WG; enhance visitor experience within the mangrove and coral ecotourism area; restoration of degraded areas of the mangrove ecosystem; improve solid waste management within the Wasini Island environment.
Levite Foundation	Strengthening institutional capacity for effective management and enhanced sustainability of GEF/SGP funded BMUs/CBOs along the Shimoni –Vanga Seascape	43,390	5,560	34,950	40,510	83,900	BD		Enhance effectiveness and efficiency in the management of the BMU/CBOs in Shimoni-Vanga seascape;
Majoreni BMU	Fostering community-led fisheries sustainability assessment and resource management in a climate refugia center	20,000	2,832	1,416	4,248	24,248	BD	1,355	Increased capacity to monitor fish landed; reduced number of illegal fishing incidents; boundary demarcation of intervention areas; rehabilitation of degraded mangrove forests
Mchongo self- help group	Incorporating creative arts as a way of promoting ecosystem conservation in Shimoni-Vanga Seascape	17,109	6,227	0	6,227	23,336	BD		Increased awareness among youth and community on environmental conservation; improved hygiene and sanitation through beach clean-ups and awareness-raising

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Mkwiro Eco-Friendly Conservation Group	Supporting Community livelihoods and enhancement for sustainable use of marine resources in Mkwiro Village	24,648	29,500	0	29,500	54,148	BD		Strengthen capacity of the conservation group, e.g., financial accountability, increased income from sale of group artifacts; livelihoods of communities strengthened and diversified, through completion of the eco-friendly center
Pwani Fish Marketing	Improving Fish Handling and Value Addition at Shimoni, Mkwiro and Kibuyuni	20,000	4,189	0	4,189	24,189	BD	8,000	25 BMU members from 3 BMU's trained on fish handling, quality, processing, value addition, marketing, and entrepreneurship; fish quality and processing sub-committees formed in 3 BMU's; fishing processing facility upgraded; products have KEBS standardization mark;
Shimoni Beach Management Unit	Strengthening biodiversity conservation, fisheries management and reef rehabilitation in Shimoni marine areas	23,907	15,058	0	15,058	38,965	BD, LD		Support conservation and protection of sensitive habitats, recovery of fish populations and rehabilitation of degraded habitats; 0.5 ha of degraded areas restored with corals and seagrass; build capacity of the BMU to sustainably manage the Shimoni co-management area.
Shimoni Slave Caves	Conservation of Coastal and Marine Resources for Sustainable Environment and Community Livelihood Options	30,000	19,048	10,952	30,000	60,000	BD		Skills for ecotourism improved; 500 m of former cave connection tunnels from forest opened up; community livelihood options provided.
Total, Shimoni Vanga seascape:		395,963	251,683	91,531	343,214	739,177		13,932	
Climate Change Mitigation									
Grip Kenya	Provision of quality solar lighting to day schools in tana river to replace use of kerosene	30,000	27,310	40,735	68,045	98,045	CCM		Equatorial Sunpower Ltd. will order the solar lanterns from Greenlight Planet Limited in Nairobi. Order 250 lanterns (50 per school x 5) plus 1,000 lanterns.
Environment Liaison Centre International (ELCI)	Promote adoption and scaling up of solar powered milk-cooling system for improved livelihoods of small-scale dairy farmers in Lake Bogoria area, Baringo County	41,807	400	30,000	30,400	72,207	CCM		System includes 600 W solar panel, solar powered DC freezer, insulated milk cans (mezzi-can); 1,200 livelihoods impacted directly or indirectly; 2 satellite milk collection centers established; at least 50% reduction in milk loss; at least 200 HHs have new access to clean energy for domestic application; at least 6 technicians and 10 entrepreneurs trained; CO2e avoided as a result of replacing kerosene (total CO2e emissions avoided is 460 tons for 18 months.

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Farming Systems Kenya	Improved Livelihoods of 200 Households in Kaplelwo Community, Baringo County through adoption of Solar Energy & Sustainable Agricultural Practices	42,952	14,987	0	14,987	57,939	CCM		3.4 tons CO2e avoided per year; improved access to water for 200 HHs through switching from diesel to solar energy borehole pumps;
Jitegemee children's program	A Machakos clean energy revolution, powered by parents, youth and talented changemakers	47,687	42,153	0	42,153	89,840	CCM		Increased access to clean energy products (1,000 products sold); reducing deforestation and save 50% customers on fuel expenses; increased job opportunities (60 parents and graduates)
Children of God Relief Inst.-Nyumbani	To provide quality comprehensive care and support to HIV infected & affected children, their families and communities in a sustainable manner.	45,847	45,847	0	45,847	91,694	CCM		Upgrade the 44,280-kW PV power station; construction of a water pond and installation of solar pump; construction of 4 greenhouses; purchase 4 x 10,000-litre water tanks, renovate solar street lighting system; direct beneficiaries include 1,000 orphans and 100 elderly grandparents; current use of petrol and diesel accounts for 19,737.6 ?? of CO2e per year - the project would result in avoidance of these emissions.
Inades - Formation Kenya	Accelerating uptake of renewable energy among the target community for climate change mitigation	35,521	14,209	21,313	35,521	71,042	CCM		200 farmers acquire solar water pumps; increased yield and income; replication of off-grid solutions in other areas
Ikisaya Solar Energy Group	Provision of quality solar Lighting to day schools in Kitui County to replace use of kerosene	30,000	37,110	56,224	93,334	123,334	CCM		Order 250 lanterns (50 per school x 5) plus 1,000 lanterns delivered to Kitui for distribution to day schools; 5,000 solar lanterns sold to parents. CO2e = 281.25 tons (15.625*18) per year ??
Sauti Moja Marsabit	Provision of quality Solar Lighting to day schools in Marsbit County to replace use of kerosene and dry cell batteries	30,000	0	56,224	56,224	86,224	CCM		Order 250 lanterns (50 per school x 5) plus 1,000 lanterns delivered to Kitui for distribution to day schools; 5,000 solar lanterns sold to parents. CO2e = 281.25 tons (15.625*18) per year ??
Children& Youth Empowerment Center	Retrofitting Matatus For Cleaner Public Transportation in Kenya	35,159	19,808	16,341	36,149	71,308	CCM		Approx. 2.5 tons CO2e per day (?); each retrofitted matatu expected to achieve 25 kg of CO23 per day avoided; 100 matatus retrofitted

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Millennium Community Development Initiatives (MCDI) Foundation	Promote the use of biogas for commercial agriculture and ecotourism	45,000	5,000	50,000	55,000	100,000	CCM		150 tons CO2e per year (biogas latrines and flexi biogas); Biogas International Limited (BIL) produces flexi-biogas units can be used for diverse commercial purposes; enhance access to appropriate technologies; educate farmers on good agricultural practices and organic farming; support packaging and marketing of organic produce; provide learning opportunities for communities to learn about commercial application of RE (biogas and solar).
Humanitarian International Voluntary Association, HIVA	Improving the livelihoods of Libehiya Ward through use of renewable energy for enhanced water availability	39,239	10,291	0	10,291	49,530	CCM		38 solar panel systems to power water supply borehole pumps; 100 stakeholders benefitting, 6 direct beneficiaries on use and maintenance
Sustainable Energy Foundation Africa, SUSEFA	Nyangweta Village Solar Energy Access and Sustainable Mobility Project	44,500	44,500	0	44,500	89,000	CCM		Clean energy access to 170 HHs via solar home systems and solar lanterns (70 x 100 Wp solar home systems, and 100 x 10 Wp solar lanterns); provide clean transportation to 500 HHs via Solar Energy Centre; train a pool of 3 youth, 4 men and 4 women to carry out O&M of the solar installations.
Total, CCM:		467,713	261,614	270,837	532,451	1,000,164		0	
Other:									
Migori County Artisanal (MICA) Miners Cooperative Society Ltd.	Reducing pollution hazards for vulnerable mining populations and promoting sustainable land management practices in Migori, Kenya	41,500	47,600	1,000	48,600	90,100	LD, CCM	20	MICA was the first mining cooperative to be licensed by the Ministry of Petroleum and Mining in accordance with the requirements under the Mining Act 2016. Project objectives include improve access to knowledge on efficient gold mining technologies and attainment of skills training to reduce mercury use and increase profits; improve capacity for SLM through forest-smart mine rehabilitation; strengthen institutional capacity of MICA and MOKA as a women's self-help group. Targets include: 40-50% of trainees women; 50% reduction in Hg use; mine rehabilitation plans endorsed by government authorities; best practice guidelines disseminated; seedling production and rehabilitation; 20 ha of community land under improved management; MICA and MOKA members trained.

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Total, Other:		41,500	47,600	1,000	48,600	90,100		20	
Strategic grants:									
COMRED	Provision of strategic support to GEF SGP for the Shimoni-Vanga seascape community projects	100,000	129,133	0	129,133	229,133	CD		
WWF Kenya	Capacity Strengthening of Coastal Communities and Institutions for effective Management of ecological sensitive Mijikenda Kaya Sacred Forests	100,000	38,657	64,086	102,743	202,743	CD		
Kenya Organic Agriculture Network	Empowering Communities in Lake Bogoria Production Landscape to enhance the overall effectiveness in the management and conservation of the Lake Bogoria National Reserve, through inclusiveness and consensus building.	100,000	70,000	30,000	100,000	200,000	CD		
Total, Strategic grants:		300,000	237,790	94,086	331,876	631,876			
Grand Total		2,358,045	1,493,819	721,076	2,214,895	4,572,940		56,420	

Number of women's groups: 8

Annex 4: List of persons interviewed

Name	Position	Organization
Agnes Yobterik	NSC Member,	Ministry of Environment and Forestry, Director, Programmes, Projects & Strategic Initiatives
Margaret Njue	NSC Member, Chair	Health and Safety Manager, EABL Foundation
Evelyn Koech	NSC Member	UNDP Kenya, Team Leader of Environment and Resilience Unit
Esther Magambo	NSC Member	Ministry of Agriculture, Senior Programme Manager (KCEP-CRAL) RTD
Ann Kahihia	NSC Member	Kenya Wildlife Service
Edward Kimakwa	NSC Member	WWF, Regional Fisheries Programme Manager
Eustace Kiarri	Strategic Partner representative, Lake Bogoria landscape	Kenya Organic Agriculture Network
Neema Suya	Strategic Partner representative, Kaya Forest landscape	WWF Kenya
Patrick Kimani	Strategic Partner representative, Shimoni-Vanga seascape	COMRED
Martin Kiogora (questionnaire survey)	Multi-stakeholder platform, Shimoni-Vanga seascape	Kenya Fisheries, Director of Fisheries, Kwale County
Agatha Ogada (questionnaire survey)	Multi-stakeholder platform, Shimoni-Vanga seascape	Blue Venture
James Kimaru (questionnaire survey)	Multi-stakeholder platform, Lake Bogoria landscape	Lake Bogoria National Reserve
Francis Kagema (questionnaire survey)	Multi-stakeholder platform, Kaya Forest landscape	Nature Kenya, Conservation program coordinator
Nancy Chege	National Coordinator	SGP OP6, Kenya
Salome Nyakundi	Programme Assistant	SGP OP6, Kenya
Diana Salvemini	UNDP Global Coordinator for the SGP Upgraded Country Programme	UNDP
Rosanna De Luca	Associate Portfolio Manager, Grants Management Services	UNOPS

CBOs responding to survey questionnaire:

- Kilio Cha Haki Youth Group
- Kenya Wildlife Conservancies Association
- Centre for Environment Justice and Development (CEJAD)
- Sustainable Future Investment (SUFi)
- Institute for Culture and Ecology(ICE)
- Trans Rift Trails Network
- Rabai cultural village
- Seed Savers Network
- LAKE BOGORIA WATER RESOURCES' ASSOCIATION (Ibbwrua)
- Kilifi Natural Resources Network (KICORNET)
- KWALE COUNTY NATURAL RESOURCES NETWORK(KCNRN)
- Colobus Conservation
- MKWIRO BEACH MANAGEMENT UNIT
- Twin Self Help Group
- Irong community Conservancy
- LOKASACHA/ LOSA
- Children of God Relief Institute (COGRI)
- Indian ocean waterbody community based organization
- Mikahani Farmers Association
- Jitegemee Children Program
- Lobo Koitegan Water Resources Users Association
- Chuine Wildlife Conservancy
- Migori County Artisanal (MICA) Miners Co-op Soc. Ltd
- NOOSEIYA SELF HELP GROUP
- Inades Formation Kenya
- Vanga Beach Management unit

Annex 5: Results of online questionnaire survey to OP6 grantees

The questionnaire comprising of 15 questions was sent out to a sample of 57 grantees, out of which 26 responded. The 26 respondent grantees of the survey vary in size and maturity. 61.5% of responding organisations were founded before 2012, the oldest founded in 1992, the most recent being 2014 (only one respondent out of the 21). 13 out of 26 grantees (50%) indicated that their organization has under 100 members, the organization with the lowest number surveyed was 10 members (Centre for Environment Justice and Development - CEJAD). Only 4 grantees indicated that the number of their members surpasses one thousand, the highest being 57,908 (Seed Savers Network).

The following project landscapes/seascapes were surveyed among the grantees:

- Shimoni Vanga Seascape
- Lake Bogoria Landscape
- Sacred Kaya Landscape
- Other

Out of the 26 respondents 38.5% (10 respondents) indicated that their project was implemented in the 'Lake Bogoria Landscape'. 26.9% of respondents (7 out of 26) selected 'Sacred Kaya Landscape', 5 respondents (19.2%) selected 'Shimoni Vanga Seascape' and four of the respondents selected 'Other'. Two organizations indicated 'Climate Change' as their response, and Migori County Artisanal (MICA) Miners Co-op Soc. Ltd specified 'Artisanal and Small Scale Mining' as their project landscape. Lastly, the Children of God Relief Institute (COGRI) indicated their landscape to be: Nyumbani Village Program – Kitui.

The NGOs were also surveyed on their projects' focal area(s), they were given a choice of the following areas:

- Biodiversity
- Land Degradation
- Climate Change
- Multi-focal

Majority of respondents (19 out of 26) selected 'Biodiversity', 8 selected 'Land Degradation', 5 selected 'Climate Change' and only 1 respondent (Institute for Culture and Ecology(ICE)) chose the 'Multi-focal' option. 5 grantees of the total 26 respondents selected more than one option that applies to their area of focus, all 5 of which selected Biodiversity, 4 out of 5 selected both Biodiversity and Land Degradation. The Institute for Culture and Ecology (ICE) selected 3 of the 4 options: Biodiversity, Land Degradation and Multi-focal. Sustainable Future Investment (SUFi) also selected 3 areas: Biodiversity, Land Degradation and Climate Change; and Seed Savers Network selected Biodiversity and Land Degradation. Lake Bogoria Water Resources' Association (Ibbwrua) selected Biodiversity and Climate Change; and selected Biodiversity and Land Degradation.

When asked how the organizations had learned about the SGP, 69.2% of respondents selected 'Strategic partner informed us'. The other two choices given were 'Through previous experience with SGP' (selected by 4 respondents) and 'Internet advert' (3 respondents). Only one respondent chose the option 'Other' and indicated they had learned through call for proposal and print media (Trans Rift Trails Network).

The surveyed grantees were asked to rate the procurement process either 'Very efficient, easy to understand', 'Satisfactory', or 'Difficult, a challenge to fulfill the requirements'. 15 of the 26 (57.7%) respondents indicated their procurement process was 'Very efficient', 9 said it was 'Satisfactory'. The two respondents indicating that the process was 'Difficult and challenging' were *IMikahani Farmers Association* and *Migori County Artisanal (MICA) Miners Co-op Soc. Ltd.*

The grantees were also asked to indicate the types of co-financing leveraged for their projects; they were able to choose from the following:

- In-kind (selected by 100% of respondents)
- Cash, own organization (selected by 8 of the 26 respondents)
- Cash, private sector (selected by 3 out of the 26 respondents)
- Cash, other (selected by 2 out of the 26 respondents)

All respondents selected 'In-kind' as a type of co-financing, 9 grantees selected one or more of the above choices.

When asked whether the projects were implemented in partnership with an ongoing programme, initiative or other project, we received the following answers:

- Local government programme (8 out of 26 respondents)
- National government programme (5 out of 26 respondents)

- NGO project/initiative (7 out of 26 respondents)
- Other GEF project (9 out of 26 respondents)
- Other donor project (3 out of 26 respondents)
- No partnership with other programme (7 out of 26 respondents)

7 out of the 26 respondents selected more than one option from the list above, 3 of the respondents selected up to 4 out of the possible 6 answers.

The organizations were then asked about government involvement, to which 19 out of 26 respondents indicated that they had a 'Close Partnership' and 7 of them indicated that the government was 'Aware of the project, but not closely involved'. None of the respondents indicated that the government was 'Unaware of the project'.

When asked how gender mainstreaming aspects are integrated into the project, the following options were given:

- Primary focus of the project (15 respondents)
- Women are involved, but not the main focus (10 respondents)
- There is limited involvement of women (1 respondent- *Indian ocean waterbody community base organization*)

Following that, they were asked how indigenous peoples are involved in the projects:

- Indigenous peoples are main beneficiaries of the project (92.3% or 26 respondents)
- Indigenous peoples included on the project, but not the main focus (1 out of 26)
- Limited or no involvement of indigenous peoples (1 out of 22- *Centre for Environment Justice and Development (CEJAD)*)

Finally, NGOs were asked about prospects for scaling up the project:

- Negotiating with partners for scaling up (12 out of 26 respondents)
- Have a plan for scaling up, but lack funding/partnership (9 out of 26 respondents)
- Arrangements are in place for scaling up (5 of the respondents)
- No plans or funding for scaling up (not selected by any of the 26 respondents)

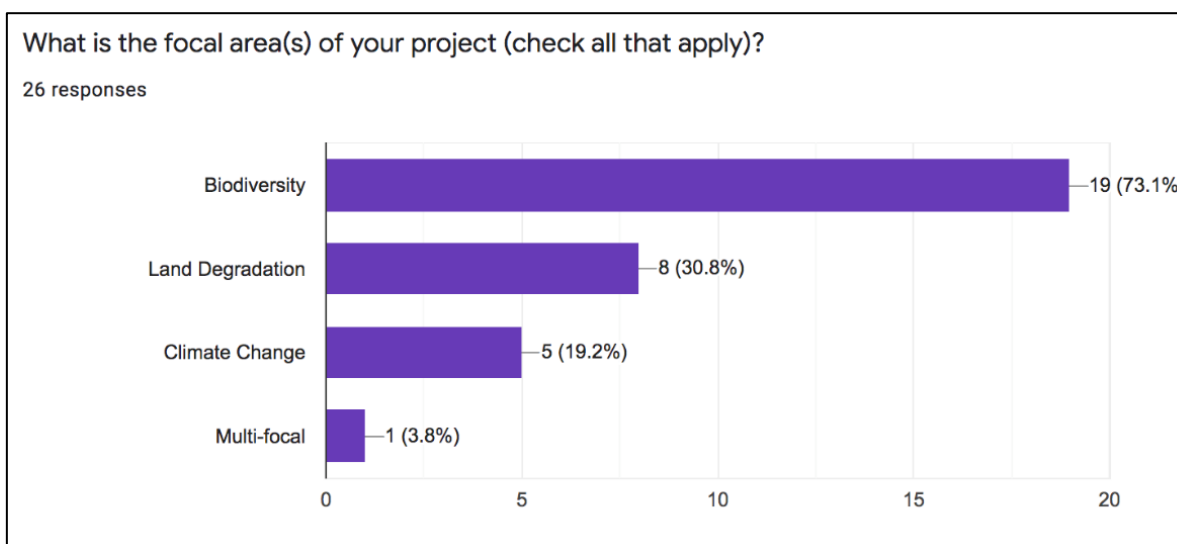
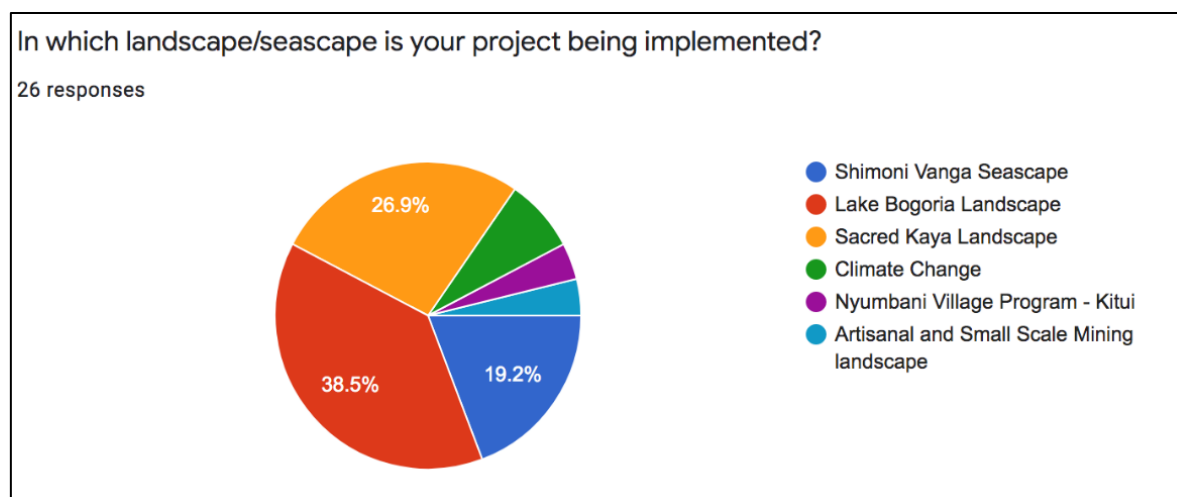
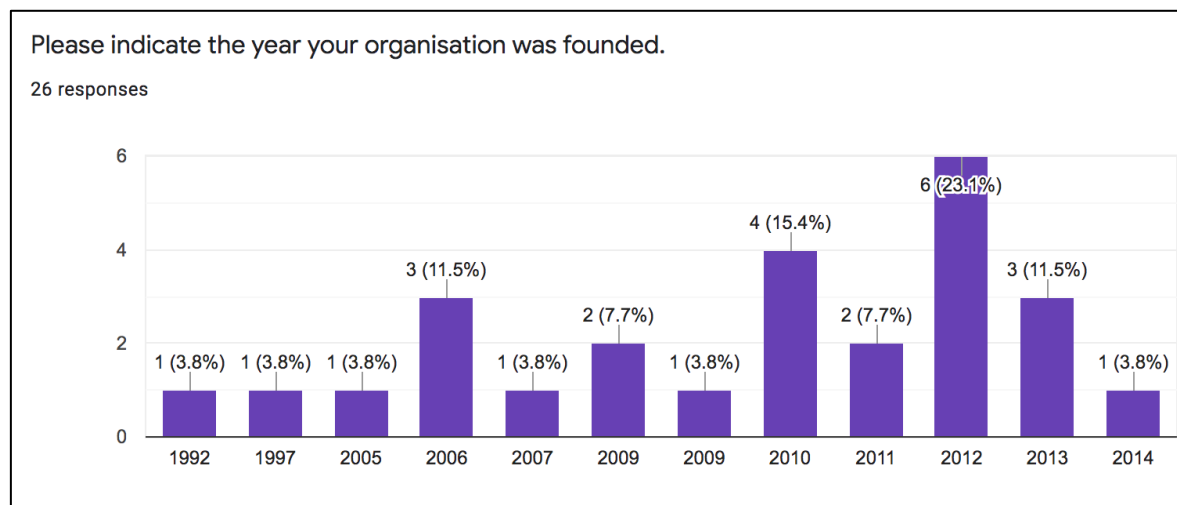
At the end of the questionnaire the NGOs were given the opportunity to indicate any other information or recommendations for the midterm review. 18 of the 26 respondents replied.

List of respondent organizations:

- Kilio Cha Haki Youth Group
- Kenya Wildlife Conservancies Association
- Centre for Environment Justice and Development (CEJAD)
- Sustainable Future Investment (SUFi)
- Institute for Culture and Ecology (ICE)
- Trans Rift Trails Network
- Rabai cultural village
- Seed Savers Network
- LAKE BOGORIA WATER RESOURCES' ASSOCIATION (lbbwrua)
- Kilifi Natural Resources Network (KICORNET)
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- Mikahani Farmers Association
- Jitegemee Children Program
- Lobo Koitegan Water Resources Users Association
- Chuine Wildlife Conservancy
- Migori County Artisanal (MICA) Miners Co-op Soc. Ltd
- NOOSEIYA SELF HELP GROUP
- Inades Formation Kenya

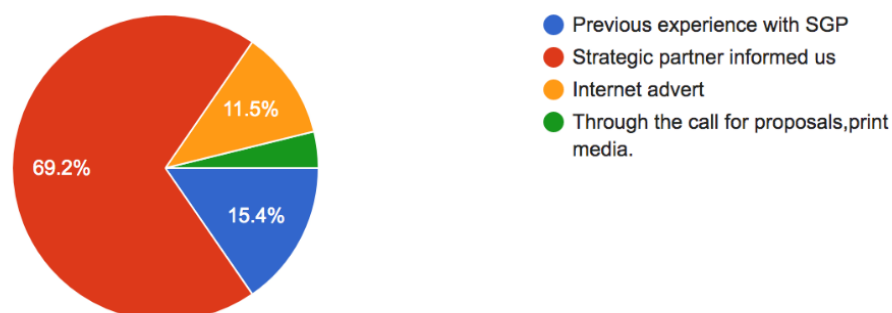
- Vanga Beach Management unit

Charts:



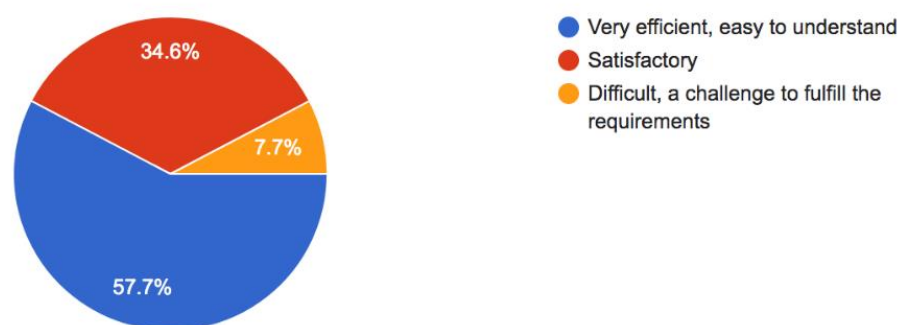
How did you learn of the SGP?

26 responses



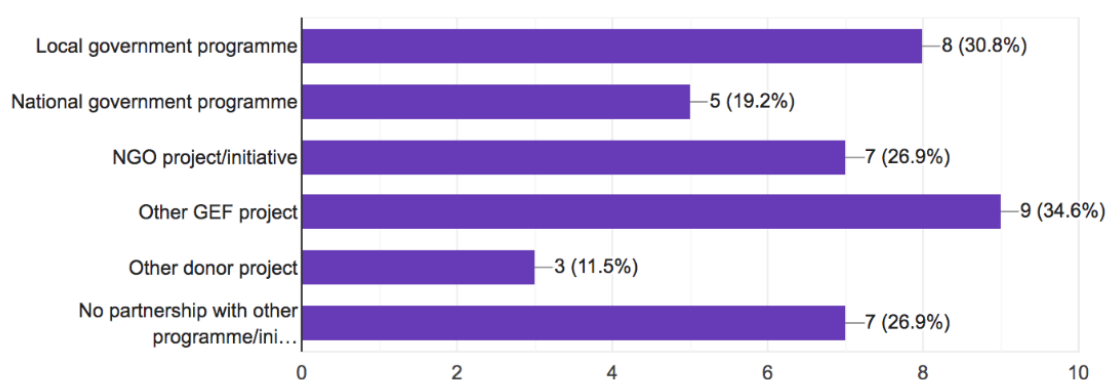
How would you rate the procurement process?

26 responses



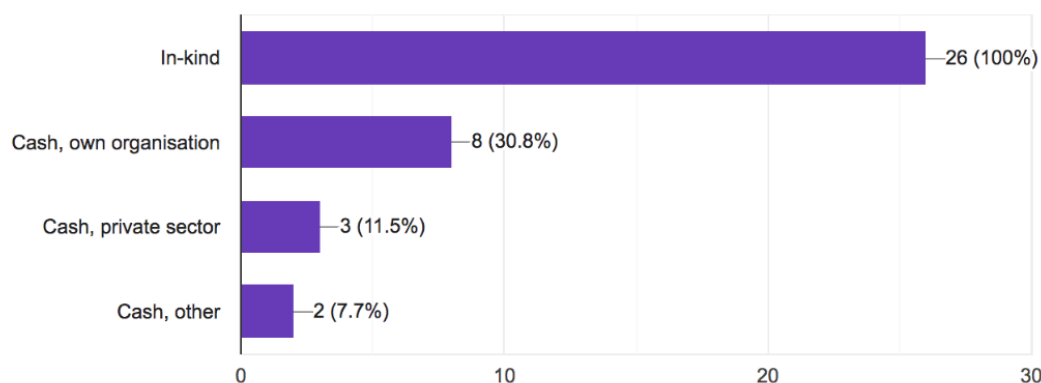
Is your project being implemented in partnership with an ongoing programme, initiative, or other project?

26 responses



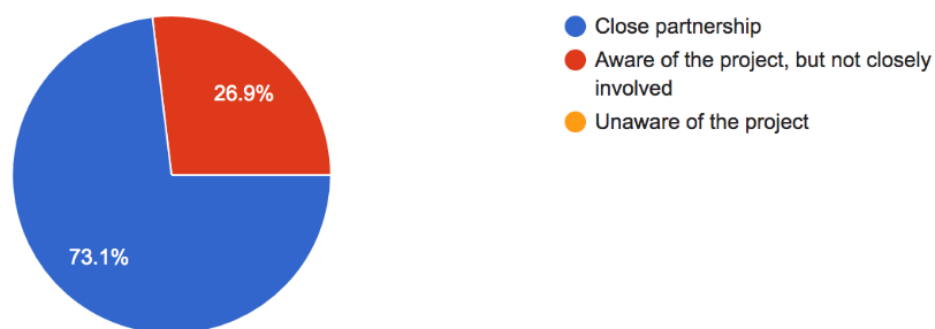
What types of co-financing have you leveraged for the project (check all that apply)?

26 responses



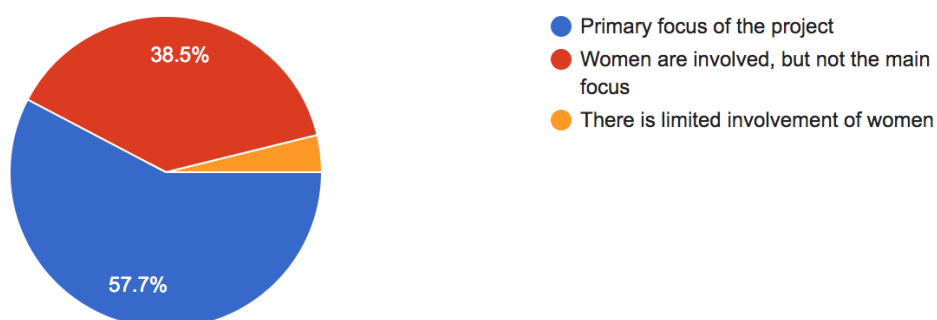
How has the local government been involved?

26 responses



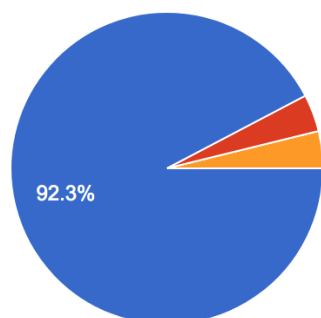
How are gender mainstreaming aspects integrated into your project?

26 responses



How are indigenous peoples involved on the project?

26 responses



- Indigenous peoples are main beneficiaries of the project
- Indigenous peoples included on the project, but not the main focus
- Limited or no involvement of indigenous peoples

Annex 6: Progress towards results

Assessment Key:	Achievement Rating Scale:
Achieved	Ratings assigned using the following 6-point scale: highly satisfactory, satisfactory, moderately satisfactory, unsatisfactory, highly unsatisfactory
On target to be achieved	
Not on target to be achieved	
Unable to assess	

Indicator	Baseline	End of Project target	Self-assessment by CPMU, May 2020	MTR Assessment	MTR Assessment Justification
Objective: Community-based initiatives enhance and maintain socio-ecological resilience in selected landscapes and seascapes in ecologically important and sensitive areas in Kenya					
A. Increased area with improved community management	<p>0 hectares.</p> <p>Communities' production practices in and around Lake Bogoria National Reserve are generally causing land degradation, decreased water quality and quantity, and biodiversity loss, as well as affecting carbon capture and storage, in spite of previous work by WWF to improve watershed governance with community participation in the area. However, communities are increasingly willing to address wildlife conservation if external support is made available to them. Kaya forest ecosystems are being degraded and community organization and traditional institutions are very weak. Ad hoc support provided by CSOs to communities has often been unsuccessful. Biodiversity loss and depletion of marine resources continue unabated, as available support to community-based organizations such as Beach Management Units is currently insufficient. However, awareness raising efforts and other initiatives in various parts of the coast have led to the establishment of Community Managed (marine) Areas (CMAs) and to the Joint Co-Management Area (JCMA) in the Shimoni-Vanga marine seascape.</p>	<p>A total of 156,000 hectares with improved management in the following landscapes/seascapes:</p> <ul style="list-style-type: none"> Rift Valley Lakes: 40,000 hectares of Lake Bogoria's production landscape under improved community management. Kaya Forests: 30,000 hectares, including the protected forests and surrounding production landscape under improved community management involving nine Sacred MijiKenda Sacred Kaya coastal forests in Kilifi and Kwale Counties. Southern Kenya marine ecosystem: 86,000 hectares of seascape under improved community management in the Shimoni-Vanga Fishery Area of Kwale County 	<p>A total of 68 community-driven projects have been approved for funding, of which 3 were approved in 2018 as strategic partners, 47 were approved in 2019 and the remaining 18 were approved in 2020. Of the 68, all but 10 (CCM projects) are implemented in the 3 land/seascapes of Lk. Bogoria, Kaya forests and Shimoni-Vanga. The projects are contributing towards improved management of the land/seascapes and have so far had a positive impact on approximately 38,540ha. This figure is rather low compared to the target of 156,000 ha, but is expected to increase significantly once all the project activities are implemented. The figure is broken down as follows:</p> <p>Lk. Bogoria (approx. 23,540ha) 28 projects have been approved for funding under the Lk. Bogoria landscape, of which 21 were approved last year and the remaining 7 in 2020. Some of the projects are implemented jointly, i.e. they address a common theme, and in some cases share roles and responsibilities. Examples include the community wildlife conservancies; honey value chain; agro-ecological farming; pasture production value chain and riverine demarcation and restoration.</p> <p>Kaya forests (approx. 8,000 ha) 13 projects have been approved for funding, of which 11 were operational in 2019 and 2 approved in 2020. Most of the projects in this landscape promote a variety of farming practices for improved livelihoods. The projects include butterfly farming, chili farming, traditional medicine, high value food crops, and honey production. In addition, the indigenous knowledge of the kaya elders and the bio-cultural value of the</p>	Partially on target	<p>56,420 ha, as broken down below.</p> <p>Lake Bogoria: 35,883 ha Kaya Forest: 6,585 ha Shimoni-Vanga: 13,932 ha</p>

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Indicator	Baseline	End of Project target	Self-assessment by CPMU, May 2020	MTR Assessment	MTR Assessment Justification
			<p>forests is harnessed and passed on to hundreds of school children.</p> <p>Shimoni-Vanga (approx. 7,000 ha)</p> <p>A total of 16 community-driven projects have been approved, of which 9 were operational in 2019 and 7 approved in 2020. There are 7 BMUs within the seascape all of which have received grants to strengthen their institutional frameworks as well as to collaboratively engage in monitoring, control, and surveillance (MCS) of the Co-management areas (CMAs) for the protection of their fisheries. Other marine and coastal conservation activities include coral and mangrove rehabilitation, recycling of plastic waste to reduce marine pollution, eco-tourism, and improved post-harvest fish handling processes. The area of the CMAs is about 10,000 ha and the rest of the seascape extends 12 nautical miles into the deep sea. It is assumed that once the communities improve management of their CMAs, the effect will be felt in the rest of the 76,000 ha of seascape.</p>		
B. Number of community groups practicing sustainable livelihood activities that meet national/international standards or in accordance with best practice	0 communities	At least 30 community groups in the target landscapes/seascape	<p>There are 25 on-going community-driven initiatives of which 6 are in the kaya forest landscape, 9 in the Lk. Bogoria landscape; 8 in the Shimoni-Vanga seascape and 2 under the climate change category. Of the 23 projects, 7 are led by women. An additional 16 projects that were recently approved for funding will also support communities to practice sustainable livelihood activities.</p> <p>In the kaya forest landscape, 5 of the projects address various aspects of farming and the 6th promotes eco-cultural tourism. The initiatives are diverse: in 5 villages around Kaya Kauma, the farmers (with training from ASFADA) have established 5 butterfly rearing cages and planted suitable tree seedlings to attract butterflies; Mikahani chili farmers have expanded area under chili cultivation and the eco-tourism facility at Kaya Mudzi Muvya has been improved with renovations and additional artefacts. Agro-ecological farming near kayas Ganidini and Mtswakara has taken off, albeit slowly due to unforeseen challenges. An additional project on the sustainable harvesting, processing, packaging, and marketing of baobab was recently awarded a grant.</p> <p>In the Lk. Bogoria landscape, there are 9 on-going sustainable livelihoods. 2 of them, which promote</p>	On target	41 of the 65 small grants awarded are focused on sustainable livelihood activities.

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			eco-tourism, have upgraded, and renovated their facilities. A honey-value chain, which engages 3 organizations and private sector has taken root. 2 community groups are promoting pasture production, while another community has adopted a milk cooling system to reduce milk wastage from spoilage. An additional 7 projects have been awarded grants and will come on board soon; 2 will promote eco-farming while 5 will work together to develop a pasture value chain. In Shimoni-Vanga, 6 communities are practicing sustainable livelihood activities that include the following: eco-tourism, post-harvest trade in fish; and marketing of plastic recycled products. An additional 6 projects that were recently awarded grants will build capacity of communities to improve their livelihoods. The projects will address issues such as fisheries management and reduction of plastic waste pollution.		
C. Number of jobs created through sustainable management of land and natural resources, environmentally friendly economic activities that add value to resource extraction, and provision of or access to renewable energy services, disaggregated by sex, and rural and urban locations	Baseline not available for project areas	At least 30 part or full-time jobs, of which a minimum of 30% are for women and 90% are in rural areas, created.	Approximately 135 jobs have been created most of which are non-skilled, part time jobs, and about 20% were taken up by women. The jobs were for the following tasks: fencing Sinyati's plot and NETBON's ecotourism facility; for renovation of cottages and construction of new ones at NETBON; for clearing a 60km walking trail championed by Transrift trails; clearing land to plant tree seedlings or grass by several of the Lk. Bogoria grantees; boundary mapping for the conservancies in the Lk. Bogoria landscape and forests in the kaya landscape; construction of honey bulking centers at Sinyati and Twin sites and pegging of riparian land by the Lk. Bogoria Basin Water Rivers Users Association (WRUA); Lobo Koitegan WRUA and the Endorois Welfare Council.	On target	135 jobs reported, of which 34 are being done by women and 28 by youth. Most of the jobs are non-skilled and part-time and more related to the project activities, e.g., clearing land for a hiking trail, fence building, etc., rather than long-term, secure positions.
D. Metric tons of CO ₂ e avoided as a result of increased community adoption of energy efficient and renewable energy systems	Baseline not available for project areas	81,682 metric tons of CO ₂ e avoided	12 projects have been funded to mitigate against emission of CO ₂ . Of these, 10 are on-going and 2 will start implementation soon. Most of the on-going projects are promoting the adoption and use of solar for a variety of purposes: lighting, pumping water and powering equipment, such as refrigerators. Solar projects naturally do not contribute much towards mitigation of CO ₂ emission (compared to EE stoves projects), although they are much appreciated by the communities. The tons of CO ₂ avoided to date is approx. 8300 tons.	Unable to assess	Twelve (12) grants have been awarded under the climate change mitigation focal area, with a good mix of energy efficiency and renewable energy solutions. Greenhouse gas (GHG) emissions mitigated are inconsistently reported, and it was not possible to assess progress towards the end target.

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			Plans are underway to augment this figure by supporting communities to take up energy efficient stoves. This will be done by creating platforms such as eco-fairs to allow private sector in the EE stove industry to advertise their products and services and to encourage adoption by local communities.		
Achievement rating, project objective:					Satisfactory
Component 1: Resilient rural land and seascapes for sustainable development and contribution to global environmental protection					
Outcome 1.1: Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits					
1.1.1. Number of multi-stakeholder platforms operating effectively with strong CSO participation and inputs in target landscapes	A multi-stakeholder platform for Lake Elementaita (Greater Lake Elementaita Conservation Area –GLECA) in the Rift Valley has been formed and registered but is not operating effectively. No multi-stakeholder platform with community participation exists for the Kaya forests Shimoni-Vanga Joint Co-management Area (JCMA) Committee, a multi-stakeholder platform formed for the preparation and implementation of the seascape's management plan. The JCMA plan is yet to obtain final endorsement.	Four multi-stakeholder platforms operating effectively with strong CSO participation as follows: <ul style="list-style-type: none"> One platform each for Lake Elementaita and Lake Bogoria in the Rift Valley A Kaya forest multi-stakeholder platform A seascape multi-stakeholder platform for the Shimoni-Vanga Area working effectively with strong community input	Four multi-stakeholder platforms are operating, although with varying levels of efficiency and vibrancy. The members of the platforms are key stakeholders of each of the sites, and CSO participation and representation is high. The youngest of the platforms is Shimoni-Vanga, launched in January 2020, and chaired by the District Commissioner. The kaya forest platform, chaired by the county ministry of Culture, is the most active. Meetings are held quarterly and often accompanied by site visits. The Bogoria platform is chaired by the County ministry of Environment and Tourism. The platform at Elementaita is the oldest, but had been dormant for a while. With injection of new funds into the conservation of the Lk. Elementaita ecosystem, it is slowly reawakening and has recently become more active. It is chaired by private sector, and membership comprises of hoteliers, local residents and national institutions such as the Kenya Wildlife Service (KWS). The platform will undergo institutional strengthening, which will include enhanced inclusiveness of the civil society sector.	On target	Three multi-stakeholder platforms have been established, one in each of the target landscapes-seascape. For the Lake Bogoria landscape, one platform has been established rather than two envisaged in the project design.
1.1.2. Number of participatory adaptive strategies and management plans developed.	Strategic documents and management plans exist for all target landscapes/seascape, however, two require updating and all need further elaboration to incorporate CSO perspectives	An adaptive participatory strategy and plan with a socio-ecological baseline assessment and a typology of community interventions for each target landscape/seascape	Socio-ecological baseline assessments were conducted for each of the land/seascapes using guidance of the COMDEKS framework. COMDEKS uses a set of 5 socio-ecological production landscape and seascape (SEPLS) indicators to assess the socio-ecological resilience of a land/seascape. The indicators were translated into local languages to enhance participation of community members. This work was led by the strategic partners who invited key stakeholders, including community representatives and county government officials, to participate in the assessments. The assessments were then used to develop land/sea-scape adaptive strategies, all of	Achieved	Landscape-seascape strategies have been formulated for each of the three target landscapes-seascapes, based upon the results of the participatory baseline assessments.

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			which incorporated a typology of community interventions.		
Achievement rating, Outcome 1.1:					Satisfactory
Outcome 1.2: Ecosystem and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes					
1.2.1 Number of community conservancies established/strengthened in the Great Rift Valley Lakes Area	3 community conservancies registered in Lake Bogoria landscape but not aligned with the new Kenya Wildlife Act and the Community Land Act	3 community conservancies formalized, operational and with a respective management plan in Lake Bogoria: <ul style="list-style-type: none"> Kiborgoch Community Wildlife and Wetland Conservancy Irong Community Conservancy Chuine Community Conservancy 	The Chuine, Kiborgoch and Irong conservancies have benefited from capacity building training on frameworks to develop a conservancy. Board elections have been held and conservancy activities prioritized. Partial boundary delineation has been completed on Chuine and Kiborgoch but disputes with neighbours have delayed completion of the boundary mapping exercise thereby delaying land use zoning. Conservancy participation in the review of the now approved management plan for L. Bogoria has resulted in inclusion of conservancies in the 3 year activity plan. Main ongoing activities include development of conservancy business plans, resource mapping and validation of strategic plan.	Generally on target	Grants have been awarded to these three conservancies, for capacity building, mapping and demarcation, rehabilitation of degraded lands and springs. There does not seem to be specific focus on development of management plans.
1.2.2 Number of hectares under conservation agreements	0 hectares but communities have started the process of determining the area to be set aside for conservation within their communal lands	Conservancies in Lake Bogoria covering an area of at least 10,451 hectares and BMUs in Shimoni-Vanga managing 9,040 hectares as CMAs	With the recent work in boundary mapping at the conservancy level, the new figures of hectareage are as follows: Chuine: 4,446 Kiborogorch: 6647 Irong: 324 Total of 11,417 ha There are 7 BMUs that co-jointly manage 9,040 ha. Of these, 5 BMUs were approved for funding mid 2019 and the remaining 2 were approved for funding in early 2020. So, all the BMUs are receiving financial and technical support to undertake conservation activities as spelt out in the joint co-management plan for Shimoni-Vanga.	On target	Mapping of the three conservancies in the Lake Bogoria landscape sum up to 11,417 ha. Grants have been awarded to the 7 BMUs that cumulatively comprise 9,040 ha of community managed areas.
1.2.3 Number of conservancy associations strengthened	A Rift Lakes Conservancies Association (RLCA) involving several ranches and conservancies from the Rift Valley lakes was registered in 2014 but membership is largely comprised of private rather than community conservancies. A Baringo County Community Conservancies Association (BCCCA) is in the process of being formed	Two conservancy associations strengthened: <ul style="list-style-type: none"> Rift Lakes Conservancies Association Baringo County Community Conservancies Association	Significant progress has been made in building the capacity of BCCA. The Association now has an active website, clear structure, its current board well trained in finance and governance and is finalizing on its strategic plan. Documents guiding its operations and relationship with its members including a member's MOU, code of conduct, conservancy model and a representation structure has been approved by the board but pending endorsement in a planned but now postponed members Annual General meeting.	On target	A grant has been awarded to the Baringo County Conservancies Association (BCCCA). A decision was made during project implementation to focus on the Lake Bogoria landscape. The other rift valley lakes, including Lake Elementaita and Lake Nakuru are included in the target

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			Benefit sharing plans are outlined in an MOU with Baringo County government and the L. Bogoria management plan but the former is yet to be adopted by the county government and the latter is yet to be implemented owing to budgetary constraints. When developing the GEF 6 prodoc, it had been envisioned that SGP would expand its operations in GEF 7 to the other rift valley lakes that are world heritage sites, namely Lk. Elementaita and Lk. Nakuru. Hence the relevance of building working relations and capacity of the Rift Lakes Conservancy Association in GEF 6. But the plans changed when it became necessary to focus on a different geographic area and theme during preparations of GEF 7 concept notes. And therefore, it became evident that it was no longer necessary to invest GEF funds towards the Rift Lakes Conservancy Association at this time.		landscapes for the seventh operational phase (OP7) was under development at the time of the MTR for OP6,.
1.2.4 Number of community interventions that specifically improve biodiversity conservation in the target landscapes/seascape and that are consistent with their respective management plans (see Outcome 1.1). Examples are: maintaining habitat connectivity between areas critical for the dispersal of the Greater Kudu around Lake Bogoria; poaching control; conservation and restoration of native forests through natural regeneration and sustainable use of non-timber forest products (e.g., honey, fibers, essential oils); ecotourism as a source of revenue to sustain community conservancies; documentation of traditional knowledge of Kaya vegetation; management of fish spawning areas including mangrove and coral reef protection; control of illegal fishing gear and respect of no-take zones.	0 community interventions addressing biodiversity conservation in the target areas	At least 8 community initiatives each in Lake Bogoria and the Kaya landscapes conserve biodiversity in accordance with priorities identified in the respective landscape strategies and management plans At least 15 community initiatives conserve coastal and marine biodiversity in the southern seascape of Kenya, consistent with priorities identified in the Shimoni-Vanga Joint Co-Management Area Plan and other conservation priorities identified by Beach Management Units (BMUs) for their Community Managed Areas (CMAs)	In the Lk. Bogoria landscape there are 9 community initiatives that contribute to biodiversity conservation. These include 5 initiatives jointly promoting community wildlife conservancies; another focused on the migratory corridors of the greater kudu (the flagship species of Baringo), while another 3 are collaborating to develop an effective honey value chain. At the kaya landscape, 7 community initiatives are improving biodiversity conservation. The initiatives include butterfly farming, harnessing indigenous knowledge from kaya elders, educating school children on conservation practices and importance of kaya forests, and transforming traditional medicine and practice. 15 community initiatives operating in the Shimoni-Vanga seascape contribute towards coastal and marine conservation efforts; 8 of them are ongoing while an additional 7 that were recently approved for funding in early 2020 will start operations in June 2020. Key activities include coral regeneration and mangrove rehabilitation; expansion, surveillance, and management of locally-managed marine areas (LMMAs), recycling and management of plastic waste; eco-tourism and post-harvest handling of fish.	On target	10 of the 25 grants awarded to CBOs in the Lake Bogoria landscape are under the biodiversity focal area; 11 of the 12 grants in the Kaya Forest landscape are focusing on biodiversity conservation; and each of the 15 grants in the Shimoni-Vanga seascape are being implemented under the biodiversity focal area.
Achievement rating, Outcome 1.2:					Satisfactory
Outcome 1.3: Flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions					

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1.3.1 Number of farmers adopting agroecological principles and practices and number of hectares of farmland under agroecological production systems	Baseline is 0 for Lake Bogoria and Kaya forest landscapes	40 farmers (at least 30% women) practicing agroecological production in the Lake Bogoria and Kaya forest landscapes with at least 50 hectares of farmland under agroecological production (e.g., practices such as intercropping, crop rotation, agro-forestry, organic fertilisation, reduced tillage)	Eight projects (1 in the Bogoria landscape, 6 in the sacred Kaya forest landscape and 1 in Makueni county) are currently under implementation and jointly support over 450 farmers to apply agro-ecological principles and practices. Seed Savers Network, operating around Lk. Bogoria, has so far trained 510 farmers (395 women and 115 men) on agro-biodiversity conservation and how to strengthen farmers managed seed system. Two demonstration gardens have been established at sandai and Lobo primary schools including installation of drip irrigation kit. In the kaya forest landscape, at least 450 farmers are engaged in various aspects of farming: chili farming, beekeeping, butterfly farming, irrigation agriculture, growing of high value crops and mixed farming. Of these, women account for a little more than 50%.	Partially on target	Implementation of agroecological practices is represented in each of the three landscapes-seascape, including the Shimoni-Vanga seascape. The number of farmers involved in these interventions far exceeds the end target of 40. And women participation exceeds the 30% target.
1.3.2 Number of Lake Bogoria pastoral communities with improved grazing practices and number of hectares of land under improved, sustainable grazing	0 communities in the target production landscape	At least 4 community groups with improved grazing practices (e.g., holistic planned grazing) on at least 20,000 hectares	2 community groups: Lokasascha and Nooseiya have on-going activities towards improved grazing practices with a focus on pasture production. Lokasascha has cleared and fenced 50 acres and planted <i>Cinchrus ciliaris</i> grass, in collaboration with 300 farmers (185 male and 115 female). the group has also purchased a milling machine for crushing prosopis seed and mixing it with grass to make livestock feed. Nooseiya Group has planted 60 acres of land with pasture grass (<i>Cinchrus ciliaris</i>) to cushion members during drought periods. The combined target for both groups is 500 acres. An additional 3 women groups and 2 youth groups whose proposals were recently approved for funding, will contribute towards this target by engaging in a pasture production value chain. It is envisaged that the total acreage contributing to holistic grazing practices will increase significantly.	Achieved	At least (6) community groups awarded projects focused on improved grazing practices. The cumulative land area among these groups is not approaching the 20,000 ha.
1.3.3 Number of communities with diversified food production systems improving resilience to drought and other causes of crop failure; and number of food crops and products introduced	Baseline not available for project areas. Baseline to be determined for individual community projects.	At least 3 community groups have each (re) introduced 2 to 3 indigenous or new food crops to their production systems	Four target community locations (Gandini, Rabai, Mtswakara and Mikahani) within the Kaya forest landscape have been trained on the importance of putting more focus to drought resistant crops. These include millet, chili, sorghum, and traditional vegetables. In Gandini and Mtswakara, the communities were also trained on climate change mitigation, Drought tolerant crops, Conservation agriculture and	On target	At least five (5) projects are working on diversifying local food systems and increasing resilience to climate change; including Seed Savers Network in the Lake Bogoria landscape, and KCNRN, KCHYG, Mikahani Farmers, Kaya Mtswakara Self Help Group, and Wildliving

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			post-harvest management. The trainings were conducted by County government agricultural extension officers through KCNRN's grant. At the Lk. Bogoria landscape, a Community biodiversity register has been established through the efforts of Seed Savers Network where farmers trace crop varieties that have been lost or near extinction to be documented using a four cell analysis method and have found various crops like cherry tomatoes, a variety of red sorghum, traditional maize variety and a variety of forest black night shade which need to be documented and reintroduced to avoid total loss. Two tons of assorted indigenous seeds (cowpeas, sorghum, millet, pigeon peas, cassava, sweet potato kales, and green grams among others) have been distributed to 200 farmers.		Resources in the Kaya Forest landscape.
1.3.4 Number of community interventions in the Lake Bogoria basin contributing to improved water quantity and quality, including to reduce silt run-off, as well as to allow infiltration into aquifers to help maintain wetland biodiversity	Baseline for project areas not available	At least 4 community groups implementing actions such as restoration of river bank vegetation, relocation of cattle watering points, rainwater harvesting, reduced water abstraction for irrigation agriculture, as well as improved farming practices that reduce siltation	4 groups awarded grants in mid 2019 have been implementing activities to improve water quality and quantity of Lk. Bogoria. Lobo Koitegan Water River Users Assoc (WRUA) has mapped the river's ecosystem, placed beacons, and produced a map. 1500 nappier grass cuttings, 980 mango seedlings, 50 bamboo tree seedlings and 300 acacia seedlings have been planted along the river's edge to reduce erosion. The other groups, the Endorois Welfare Council, NETBON and the Lake Bogoria Basin WRUA have also planted grass and tree seedlings along the river's edge, to discourage farming and planting of food crops. They have also enhanced protection of springs by fencing and constructing water troughs for livestock	Partially on target	Six (6) of the approved projects in the Lake Bogoria landscape are focused on water resource management.
Achievement rating, Outcome 1.3:					Satisfactory
Outcome 1.4: Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets					
1.4.1 Number of enterprises established/strengthened	Baseline for the project area not available but at least 1 beekeeping enterprise and a few eco-camps for tourism in the Lake Bogoria area		11 enterprises were awarded grants in Aug 2019 and are on-going and 1 was recently approved for funding. They will receive their funds in June 2020. The 11 enterprises are composed of the following: bee-keeping (2), eco-tourism (4); and 1 each of fish-marketing; chili production; butterfly farming; sale of organic vegetables; sale of energy efficient stoves. Of these, 5 are led by women (45%). In all the above, communities have received training, and are yet to receive more. The groups have bought	Achieved	11 grants awarded to community organizations on income generating interventions.

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			equipment, constructed stores, established demo centres, and re-furbished their eco-tourism facilities. The new enterprise to get funding in June 2020 will focus on processing and marketing of baobab products.		
1.4.2 Number of joint ventures with the private sector	0 joint ventures	At least 2 joint ventures formalized	<p>There are 2 joint ventures (borehole management and honey value chain) that have formalized working relations with the private sector, and 1 in the process. 2 villages in the Lk. Bogoria landscape have converted power source from diesel to solar for pumping water from a borehole. They have entered into a partnership with a social enterprise that sells high quality prepaid water meters for communal water points. The prepaid meter innovation is linked to mobile payment and comes with an online monitoring system for tracking daily payments and water consumption. This enhances accountability and transparency in management of the water resource, critical for sustainable management of the water resource. The company offers to undertake training and free maintenance service for 5 years.</p> <p>Three organizations engaged in the production and marketing of honey in the Lk. Bogoria landscape, have formalized a partnership with Imperial Masters, a private company, that processes honey. The community groups assemble and store honey in a bulking center, from where Imperial Masters collects and purchases it for processing at a central location. It is then branded and marketed by SUFI.</p> <p>The 3rd organization is Mikahani Farmers Association that supports its members to grow chili. It recently developed a partnership with Komwwara - a company that will process the chili into sauce and market it.</p>	Achieved	Partnerships established with private sector companies on supply of honey, chili, and prepaid water meters for solar pumps
1.4.3 Number of new products developed	0 products	2 to 4 new products developed and in production	<p>2 new products have been developed (a motor vehicle retrofitted with solar and a tourism walking trail) and they continue to be improved upon, and 3 more will be developed. The 3 to be developed are (i) mining technology used by artisanal gold miners that does not require the use of mercury (ii) artifacts and household items made from recycled waste collected from marine environments and (iii) electric motorbikes.</p> <p>Components to retrofit a petrol engine van and operate it as an electric vehicle have been acquired</p>	On target	One grantee working on retrofitting petrol transport vans to electric motors; another grantee developing improved ecotourism facilities; and the organization MICA working on an innovative phytoremediation approach for rehabilitation of mining sites contaminated by heavy metals

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			and installed. The vehicle is currently being subjected to tests. TransRift Trails have cleared and rehabilitated 60km of walking trails, and set up camping sites. They are also establishing linkages with the Lk. Bogoria national Reserve tourism circuit.		
1.4.4 Number of grant/micro-lending schemes established with credit-lending facilities and banks in support of above enterprises and number of pilot revolving funds/other lending schemes supporting replication, upscaling and sustainability of community-based production activities	0 schemes	At least 2 such schemes established/accessed and lending to community eco-businesses	Inades Kenya, an NGO supporting farmers in Machakos and Makueni counties to engage in sustainable land management through improved farming practices and adoption of solar for pumping water and lighting, has linked farmers to the following: (i) Universal Traders Sacco which provides credit for farm inputs; (ii) Equity Bank which provides soft loans for horticultural farmers to purchase solar pumps and farm inputs; (iii) Sunculture which avails solar pumps on hire purchase.	Partially on target	An assessment of financing opportunities and a feasibility study for establishing revolving funds have not been complete. The pay-as-you-go (PAYG) arrangements for the solar lanterns is an example of a microcredit scheme. The grantee Inades Foundation Kenya is supporting local farmers in gaining access to financial support.
Achievement rating, Outcome 1.4:					Satisfactory
Outcome 1.5: Multi-stakeholder partnerships develop and implement initiatives for community low-emission systems					
1.5.1 Number of multi-stakeholder partnerships involving CSOs and the private sector promoting and facilitating the application of diverse RE and EE technologies that benefit households and institutions, including for commercial and production uses to ensure sustainability	No such partnership exists in the selected landscapes, however, both the private sector and CSOs have experience in developing and deploying a variety of RE & EE products in Kenya. This includes R&D, micro-finance including the use of mobile phone applications for micro lending, after sales maintenance, etc.	5 to 7 such partnerships established and functionally demonstrating how to deploy and scale-up RE and EE technologies	5 partnerships between CSOs and private sector have been forged. Efforts have been made to link closely with county governments to enhance possibility of up-scaling of EE and RE technologies. They partnerships are as follows: 1) 3 CSOs (Grip, Ikisaya and Sauti Moja) have entered into a partnership with Equatorial Sunpower, a company that provides solar lamps upfront and allows for small payments made consistently over a period of several months (pay -as-you-go-PAYG). 2) Farming Systems Kenya, which is supporting 2 villages in Lk. Bogoria landscape to better manage the management of their borehole and water resource, has entered into a partnership with a company known as Maji Milele, which supplies water meters for enhanced accountability and transparency. 3) MCDI is in partnership with a company that has installed a biogas unit at a slaughterhouse. MCDI has expanded a communal kitchen which uses biogas for cooking. MCDI has also trained farmers in organic principles and practices so that they use the slurry from the biogas for organic farming.	On target	7 of the 12 CCM projects involve partnerships between CBOs and the private sector

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			4) Jitegemee is in partnership with Livelihoods; a company that vends energy efficient stoves for domestic use. 45 unemployed youth have been trained as agents of change to encourage households to adopt EE stoves. 5) SUSEFA is a recently awarded organization which has already established partnerships with 2 private companies (sunpawa and sunspot Energy), both of which have different roles in (i) promoting uptake of solar domestic systems and (ii) electric motorbikes.		
1.5.2 Number of renewable energy and fuel efficient systems for domestic, production and institutional uses disaggregated by energy source and type of beneficiary (sex, rural/urban and excluded groups). The aggregated CO ₂ mitigation of such RE and EE systems should enable SGP to reach the CO ₂ e mitigation target for phase VI as per Objective Indicator D above.	Baseline not available for project areas but estimated to be very low in all landscapes/seascapes	Target to be determined at grant approval stage for each RE/EE technology to be deployed with SGP support, commensurate with the overall phase VI CO ₂ e emission mitigation target	10 on-going projects and 2 recently-funded projects that will start operations in June, are focused on promoting the use of clean energy in the form of renewable energy and energy efficient technologies to avoid the emission of CO ₂ . The target for GEF phase 6 of the tons of CO ₂ to be avoided is 81,682 metric tons. However, the combined tons of CO ₂ to be avoided by the 12 projects is significantly lower than the target at about 8300 tons. This is because most of the projects that were approved for funding are primarily focused on the use of solar. And solar projects do not mitigate much CO ₂ emission, as compared to EE stoves. There are plans to increase this figure by supporting EE stove adoption at household level. This will be done by creating awareness and providing channels (such as eco-fairs at the land/seascapes) for interaction between private sector firms that focus on EE stoves and local communities.	Partially on target	12 grants have been awarded under the CCM focal area. There is a fairly good mix of RE and EE interventions implemented; however, estimations on GHG emissions mitigated are inconsistent, and gender-rural/urban-excluded group disaggregation is largely unavailable.
Achievement rating, Outcome 1.5:					Moderately Satisfactory
Component 2: Capacity building and knowledge management					
Outcome 2.1: Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training					
2.1.1 Number of community institutions and community-based organizations such as the Kaya Council of Elders, the Lake Bogoria community conservancies and WRUAS, and the coast BMUs with improved governance and management, with women's participation and capacity to influence the community and external partners	Capacities of community institutions in the target landscapes are very weak	At least one community institution in each target landscape shows exemplary governance (e.g., registration, by-laws, inclusive democratic decisions, accountability, representation, equity, financial management, budget execution, administrative procedures)	At the Bogoria landscape, the Kenya Wildlife Conservancy Association (KWCA) supports the institutional development of the County Conservancy Association as well as the 3 community conservancies located within the Lk. Bogoria environs. The Association now has a clear structure and its current board is well trained in finance and governance and is finalizing on its strategic plan. Documents guiding operations and relationship with its members has been drafted, awaiting endorsement at the AGM.	Partially on target	Capacity building integrated into most of the small grants awarded; the strategic partners are providing mentoring to the local CBOs; specific capacity development grants awarded. There is limited M&E on progress towards achievement of exemplary governance (end target).

Midterm Review Inception Report

Sixth Operational Phase of the GEF Small Grants Programme in Kenya

UNDP PIMS ID: 5730; GEF Project ID: 9241

Indicator	Baseline	End of Project target	Self-assessment by CPMU, May 2020	MTR Assessment	MTR Assessment Justification
			The Chuine, Kiborgoch and Irong conservancies have benefited from capacity building training on frameworks to develop a conservancy. Board elections have been conducted and the new leadership of the 3 conservancies includes women. Members of the board taken on a learning exposure tour to 2 successful conservancies. In addition, Annual General Meetings (AGMs) have been conducted which were democratic and overseen by the County government. For the kaya forest landscape and the Shimoni-Vanga seascape, 2 well-established NGOs were recently awarded grants in early 2020, to conduct capacity building of the grantees at each site on topics such as organizational development, governance, financial management, participatory monitoring, and gender mainstreaming.		
Achievement rating, Outcome 2.1:					Moderately Satisfactory
Outcome 2.2: Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated and made available to policy makers at county and national level					
2.2.1 Number of case studies and analysis of best practices for adaptive landscape/seascape resilience, systematized and shared at watershed, county and/or national level	Concept of adaptive landscape/seascape resilience and management is new in all target areas. Currently there are no studies of participatory adaptive landscape management experiences in the region, however, WWF conducted an analysis of their experience in the Lake Bogoria Basin	Participatory case studies by SGP grantees reflecting on their project implementation experience One case study and publication directed at policy-makers and development partners produced and disseminated for each landscape summarizing knowledge gained from landscape planning and management	Case studies have not yet been done. Neither has an analysis of best practices for adaptive landscape/seascape resilience. Now that almost all the grants for projects have been committed, and implementation is on-going for 50 projects, with an additional 18 to come on board soon, there will be enough resource material from the grantees and their partners to use for the development of relevant case studies and other knowledge management products.	Not on target	Case studies and best practices have not yet been formulated. Small grants had been fully awarded at the time of the MTR in June 2020, and lessons learned through the integrated landscape-seascape approaches are expected to be distilled into case studies and disseminated among the wider stakeholder community.
2.2.2 Number of meetings with relevant County Governments and government institutions providing feedback on policy effectiveness and SGP experience	No such meetings have taken place with respect to the target landscapes/seascape except for marine ecosystems where SGP has partner with CSOs to analyze current policies with respect to CMAs	Meetings at least twice a year with all County Governments involved and at least once during the lifetime of the project with line ministries with participation of SGP NSC members	At least one meeting per site with county government officials has taken place at each of the land/seascapes, to provide updates on the progress of project implementation, and to seek assistance in addressing challenges experienced by the local groups. The meetings were led by NSC members in collaboration with strategic partners. Now that all project funds have been committed, it is envisioned that the meetings with the county government and government institutions will focus on policy matters.	On target	County government officials and other governmental stakeholders have been involved in the multi-stakeholder governance platforms in the three target landscapes-seascapes.
Achievement rating, Outcome 2.2:					Moderately Satisfactory

Midterm Review Inception Report

Sixth Operational Phase of the GEF Small Grants Programme in Kenya

UNDP PIMS ID: 5730; GEF Project ID: 9241

Annex 7: Cofinancing Table

Sources of Cofinancing ¹	Name of Cofinancer	Type of Cofinancing ²	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure ³ USD	Actual % of Expected Amount
GEF Agency	UNDP	In-kind	\$500,000	\$200,580	\$410,000	0.49
Civil Society Organization	WWF Kenya ⁴	Grant	\$750,000	\$79,470	not reported	N/A
		In-kind	\$690,000	\$451,566	not reported	N/A
Civil Society Organization	Grantee Organizations	Grant	\$520,000	\$721,076	\$721,076	1.00
Civil Society Organization	Grantee Organizations	In-kind	\$3,200,000	\$1,493,819	\$1,493,819	1.00
Total			\$5,660,000	\$2,946,512		
Notes:						
1	Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other					
2	Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other					
3	Expected amount by project closure includes actual materialized by midterm and expected cofinancing during the second half of the project.					
4	A breakdown of cofinancing from WWF is provided on the following page.					

WWF cofinancing breakdown:

PROJECT TITLE: Capacity Strengthening of Coastal Communities and Institutions for effective Management of ecological sensitive Mijikenda Kaya Sacred Forests

IMPLEMENTING ORGANIZATION: WWF-KENYA

PROJECT PERIOD: August 2018 to August 2020

REPORTING PERIOD: August 2018 to May 2020

ITEM	CO-FINANCING AMOUNT (IN KES)	CO-FINANCING AMOUNT (IN USD)	
STAFF COSTS			
Programme Coordinator, Kwale-Kilifi Landscape	3,499,851.00	34,998.51	
Project Officer, Governance, Kwale Kilifi Landscape	3,448,500.00	34,485.00	
Programme Manager, Coastal Kenya Programme	7,682,482.00	76,824.82	
Programme Officer, Community Development, Marine	2,678,467.00	26,784.67	
Project Assistant, Energy, Coastal Kenya Programme	2,421,509.00	24,215.09	
Design and Impact Officer, Coastal Kenya Programme	3,108,667.00	31,086.67	
Monitoring, Evaluation & Learning Officer, Nairobi	2,589,456.00	25,894.56	
GIS & Modeling Expert, Nairobi	200,000.00	2,000.00	
Communication and Partnerships Officer, Coastal Kenya	2,589,456.00	25,894.56	
Communications Officer - Digital Marketing & Design,	350,000.00	3,500.00	
Programme Accountant, Coastal Kenya Programme	3,214,666.00	32,146.66	
Programme Accountant, Nairobi	4,070,260.00	40,702.60	
Procurement and Logistics Officer, Coastal Kenya	3,448,500.00	34,485.00	
Procurement and Logistics Officer, Nairobi	2,064,000.00	20,640.00	
Project Driver 1, Kwale-Kilifi Landscape	1,263,603.00	12,636.03	
Project Driver 2, Kwale-Kilifi Landscape	1,263,603.00	12,636.03	
Project Driver, Marine Programme	1,263,603.00	12,636.03	
SUB TOTAL	45,156,623.00	451,566.23	In Kind
ACTIVITIES			
Forest related work in Terrestrial Landscape	4,433,554.00	44,335.54	
Fisheries related work in CKP	1,500,000.00	15,000.00	
SUB TOTAL	5,933,554.00	59,335.54	Cash
OFFICE RENT			
Kwale Office	570,000.00	5,700.00	
Mombasa Office	517,634.00	5,176.34	
SUB TOTAL	1,087,634.00	10,876.34	Cash
VEHICLE MAINTENANCE (KX30 A30, KX30 A17, KX30 A08, KCT 080B)			
Fuel, lubricants and Service	925,822.00	9,258.22	
SUB TOTAL		9,258.22	Cash
TOTAL	52,177,811.00	531,036.33	

Summary:	KES	USD
Cash Contribution:	7,947,010.00	79,470.10
In-Kind contribution:	45,156,623.00	451,566.23

Annex 8: Rating Scales

Ratings for progress towards results:

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Ratings for project implementation and adaptive management:

Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for sustainability (one overall rating):

Likely (L)	Negligible risks to sustainability, with key Outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some Outcomes will be sustained due to the progress towards results on Outcomes at the Midterm Review
Moderately Unlikely (MU)	Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project Outcomes as well as key outputs will not be sustained

Annex 9: Signed UNEG Code of Conduct Agreement Form

Evaluators:

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

MTR Consultant Agreement Form

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

Name of Consultant: James Lenoci

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

Signed on 15 April 2020



James Lenoci
MTR Consultant

Annex 10: MTR Terms of Reference

TERMS OF REFERENCE (Individual Contractor Agreement)

Title: UNDP-GEF Midterm Review Consultant
Project: Multiple
Duty station: Home Based
Section/Unit: NYSC SDC GMS
Contract/Level: ICS-11/IICA-3
Supervisor: Manager GMS, Mr. Edriss

1. General Background

The Small Grants Programme (SGP) is a corporate programme of the Global Environment Facility (GEF) implemented by the United Nations Development Programme (UNDP) since 1992. SGP grant-making in over 125 countries promotes community-based innovation, capacity development, and empowerment through sustainable development projects of local civil society organizations with special consideration for indigenous peoples, women, and youth. SGP has supported over 20,000 community-based projects in biodiversity conservation, climate change mitigation and adaptation, prevention of land degradation, protection of international waters, and reduction of the impact of chemicals, while generating sustainable livelihoods.

Since 2008, following an SGP Upgrading Policy, nine SGP Country Programmes (Bolivia, Brazil, Costa Rica, Ecuador, India, Kenya, Mexico, Pakistan, and Philippines) were upgraded at the beginning of OP-5 in 2011, with each of these country programmes becoming a separate Full Sized Project after cumulative grants disbursement of USD 6 million over 15 years. Another six SGP Country Programmes (Egypt, Indonesia, Kazakhstan, Peru, Sri Lanka, and Thailand) were upgraded at the beginning of OP-6 in 2016. These 15 *Upgraded Country Programmes* (UCPs) follow the same programmatic approach as other SGP country programmes to achieve global benefits through local community and civil society action, but are placing an emphasis on integrated solutions at the landscape level that can address the combination of income, food security, environmental and social issues that confront rural communities. With each successive Operational Phase, SGP has refined its approach and streamlined its focus. This evolution has been marked by a gradual change from funding stand-alone projects during the original pilot phase, to building progressively greater levels of coherence, consolidation, and strategic focus within a Country Programme's project portfolio. This has culminated in the adoption of the current *community-based landscape and seascape approach*, which forms a central feature of OP-6.

The proposed interventions are aimed at enhancing social and ecological resilience through community-based, community-driven projects to conserve biodiversity, optimize ecosystem services, manage land (particularly agro-ecosystems) and water sustainably, and mitigate climate change. The pilots will build on experiences and lessons learned from previous SGP operational phases, and lessons learned from the COMDEKS Programme, to assist community organizations in carrying out and coordinating projects in pursuit of outcomes they have identified in landscape plans and strategies. Coordinated community projects in the landscape will generate ecological, economic and social synergies that will produce greater and potentially longer-lasting global environmental benefits, as well as increased social capital and local sustainable development benefits. Multi-stakeholder groups will also take experience, lessons learned, and best practices from prior initiatives and implement a number of potential scaling up efforts during this project's lifetime.

2. Purpose and Scope of Assignment

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The successful candidates will be assigned to conduct MTRs in the following SGP Country Programmes: Bolivia, Egypt, Peru, and Sri Lanka.

The MTR must provide evidence based information that is credible, reliable and useful. The MTR consultant will review all relevant sources of information including documents prepared during the

preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR consultant is expected to conduct field missions to SGP project sites.

3. Monitoring and Progress Controls

The MTR consultant will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for extended descriptions. Further guidance on specific questions to be addressed will be provided at the beginning of the assignment.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a

“traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project’s results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR consultant should make no more than 15 recommendations total.

Ratings

The MTR consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a MTR Ratings & Achievement Summary Table in the Executive Summary of the MTR report.

Table. MTR Ratings & Achievement Summary Table for (*Project Title*)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	

MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR consultant clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR consultant submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	MTR consultant presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

4. Qualifications and Experience

The consultant cannot have participated in the project preparation, formulation and/or implementation (including the writing of the Project Document and should not have a conflict of interest with project's related activities.

a. Education (Level and area of required and/or preferred education)

A Master's degree in environment, sustainable development, project management, or a related field.

b. Work Experience

- Minimum 9 years' experience in Results-based Management, biodiversity conservation, climate change or land degradation or related fields.
- Experience working with the GEF or GEF evaluations is considered desirable.
- Experience with the GEF Small Grants Programme will be considered an advantage
- Demonstrated understanding of issues related to gender and Biodiversity Conservation, Climate Change and Land Degradation
- Experience in gender sensitive evaluation and analysis is desired
- Project evaluation/review experiences within United Nations system will be considered an asset
- Fluency in English, spoken and written

c. Key Competencies


Develops and implements sustainable business strategies, thinks long term and externally in order to positively shape the organization. Anticipates and perceives the impact and implications of future decisions and activities on other parts of the organization.



Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.



Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. **For people managers only:** Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilising appropriate leadership styles



Demonstrates understanding of the impact of own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).



Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.



Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behaviour. Performance is consistent, even under pressure. Always pursues continuous improvements.



Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.



Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.

Project Authority (Name/Title): 	Contract holder (Name/Title): James Lenoci / MTR Consultant  03 Nov 2019
Signature	Signature
Date 05/ Nov 2019	Date

Annex 11: Signed MTR final report clearance form

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name:	
Signature:	Date:
UNDP-GEF Regional Technical Advisor	
Name:	
Signature:	Date: