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TERMINAL EVALUATION

***Fifth Operational Phase of the GEF Small Grants Programme***

Kenya

UNDP Project ID: 4520 GEF Project ID: 4362

**Date of Submission of TE Report:** Draft submitted 7/16/15; Final on 8/19/15

**GEF Focal Area:** Multifocal **Operational Program:** BD, CC, LD

**GEF Implementing Agency:** UNDP

**Project Executing Agency:** UNOPS

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# **ACRONYMS**

APR Annual Project Report

APR/PIR Annual Project Review/Project Implementation Review

BD Biodiversity

BMU Beach Management Unit

CBD Convention of Biological Diversity

CBO Community-Based Organization

CCF Country Cooperation Framework

CCM Climate Change Mitigation

CFA Community Forest Association

CO Country Office

CPAP Country Program Action Plan

FSP Full Size Project

GEF Global Environment Facility

GTA Global Technical Advisor

IPCC Intergovernmental Panel on Climate Change

IW International Waters

LD Land Degradation

LMMA Marine Management Area

M&E Monitoring and Evaluation

METT Management Effectiveness Tracking Tool

NGO Non-Governmental Organization

NSC National Steering Committee

OP Operational Program

PA Protected Area

PES Payments for Environmental Services

PFM Participatory Forest Management

PIF Project Identification Form

PIR Project Implementation Review

PMU Program Management Unit

PPR Project Progress Reports

QPR Quarterly Project Review

SGP Small Grants Programme

SGPP Small Grants Programme Project (this refers to the Kenya SGP OP5 FSP)

STAR System for Transparent Allocation of Resources

UNCCD United Nations Convention to Combat Desertification

UNDAF UN Development Assistance Framework

UNDP United Nations Development Program

UNFCCC United Nations Framework Convention on Climate Change

UNOPS United Nations Office for Project Services

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# **EXECUTIVE SUMMARY**

Table 1: Project Summary Table

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Project Title: | Fifth Operational Phase of the GEF Small Grants Programme in Kenya | | | | | |
| GEF Project ID: | | 4362 |  | *at endorsement (Million US$)* | | *at completion (Million US$)* |
| UND Project ID: | | PIMS 4520 | GEF financing: | 5,000,000 | | 5,000,000 |
| Country: | | Kenya | IA/EA own: | 1,200,000 | | 67,000 in cash plus un-quantified in-kind |
| Region: | | Africa | Government of Kenya: |  | | Un-quantified in-kind |
| Focal Area: | | Multifocal | Other:  SGP Grantees, KENDBIP | 4,300,000 of which 2,900,000[[1]](#footnote-1) from grantees & 1,400,000 from KENDIP | | SGP Grantees gave 2,360,971  KENDIP gave an un-quantified amount in-kind |
| FA Objectives, (OP/SP): | | BD, CC, LD | Total co-financing: | 5,500,000 | | 2,427,971 |
| Executing Agency: | | UNOPS | Total Project Cost: | 10,500,000 | | 7,427,971 |
| Other Partners involved: | | CBOs, NGOs | PRODOC Signature (date project began): | | | 2/27/2012 |
| (Operational) Closing Date: | | Proposed: 6/30/2015 | Actual: 12/31/15 |

## **Project Description**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |

Kenya has had an active Global Environment Facility (GEF) Small Grants Programme (SGP) for the past twenty-two years, beginning in 1993. At the outset of its Fifth four-year Operational Phase (OP5), Kenya’s SGP became an “upgraded” country program meaning that it is implemented as a GEF full-size project financed under the country’s STAR allocation. Unlike typical full-size GEF projects, these “projects” are actually programmes comprised of a portfolio of many individual community projects which are not pre-defined at the time the programme is approved.

The Kenya Small Grants Programme Project (SGPP)[[2]](#footnote-2) objective as stated in the PRODOC was to “secure global environmental benefits and improve livelihoods through community based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes”. The SGPP aimed to achieve this through four outcomes: “ 1) community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors; 2) flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods; 3) local communities implement low carbon technologies that address their energy needs and mitigate climate change; and 4) communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.” Individual grant projects supported by the SGPP were intended to contribute concrete outputs towards these four outcomes.

Important legislative and policy changes had occurred in Kenya during earlier GEF Operational Phases which allowed for co-management of natural resources between local community organizations and national government entities, the latter which had hitherto been exclusively responsible for the management of those natural resources. The philosophy was that if local people have legal rights to use resources, they will act to protect them and will cease from using them in unsustainable ways. New policies and legislation also devolved financial management and decision-making regarding natural resource management from the national government to county governments. There were, however, important barriers preventing full implementation of these policies. The Kenya SGPP was aimed at helping to remove some of those barriers by enhancing the capacity of community-based organizations to sustainably use natural resources, to ensure their livelihood needs could be satisfactorily met, and to effectively engage with others in co-management of natural resources.

The SGPP concentrated in three geographic areas which included globally important areas for the conservation of montane forests, rangelands, and coastal and marine biodiversity. These areas were selected not only because of this global importance but also because they provide critical ecosystem services for many Kenyans, and because large numbers of rural people derive their livelihoods from them. The three selected geographic areas were Mount Kenya/Aberdares, the Laikipia Plateau, and the Coast. The selection of these areas for OP5 operations provided continuity to the geographic focus adopted in earlier Operational Phases (which had included Mount Kenya/Aberdares and the Coast) and expanded that geographic focus to include the Laikipia Plateau (which had not previously been included).

The Laikipia Plateau is located northwest of Mount Kenya and is a huge (1 million ha) plateau of mostly rangelands with high densities of wildlife (including important populations of globally endangered species) and is a critically important wildlife migration corridor. The SGP made the argument that it was important to include the Laikipia because the pastoral communities there depend on Mt. Kenya’s ecosystem services and on the water management practices of stakeholders in the catchment area and because the long-term survival of many wildlife populations depend on the maintenance of corridors between Mt. Kenya and the Laikipia rangelands. Although under-represented in Kenya’s protected area system, both private ranches and increasingly, so-called “group ranches” and Trust lands owned by pastoralist groups, are being set aside for conservation purposes and local communities are benefitting from this through wildlife-based ecotourism.

A total of 69 projects within several GEF Focal Areas including biodiversity conservation, climate change mitigation, land degradation, and capacity development are included in the SGPP OP5 portfolio.  Of these, 8 are “strategic” projects which receive up to $150,000 (but often less) and which are geared toward removing critical barriers including those which prevent CBOs and others from having greater impact. Strategic projects are in the area of capacity development, networking, micro-lending, legislation, and policy-influencing.

Operating as a four-year project has had important positive implications for the Kenya SGPP including gaining of economies of scale. Having more funding compared with previous OPs and having these funds “up front”, allowed the SGP to adopt more of a programmatic approach compared with previous OPs. Some shifts in that direction also took place in the NSC which adopted a more strategic role compared with previous Ops, although still largely focused on project review/approval.

Some important developments contrasting OP5 with previous OPs are worth highlighting:

* An attempt was made to adopt the landscape approach by including the Laikipia Plateau.
* Now that all funds are coming from the STAR allocation, there has been much more interaction between the SGP and the Government, in particular with the Ministry of Environment and the OFP.
* There has been greater interaction between the SGP and the UNDP CO. SGP now attends all monthly UNDP Energy and Environment meetings and is invited to UNDP annual retreats. SGP input into development of the CPD (which is not currently happening) could also be helpful in exploring synergies.
* OP5 operated at a time when Kenya adopted a devolution policy whereby County governments assumed much more governance and economic autonomy. The SGP is viewed as a potentially significant contributor to County development plans. As devolution matures, so will the partnerships between County governments and the SGP.

Of the total budget anticipated at project endorsement (including co-financing), $7,427,971 was actually committed, and 100% of that is expected to be spent by project completion.

As with all Upgraded SGPPs, UNDP was the GEF Implementing Agency. UNOPS was the Executing Agency.

Evaluation Ratings

In accordance with the Terms of Reference (TOR) for the Terminal Evaluation (TE), project relevance, effectiveness, efficiency, sustainability, and impact, as well as monitoring and evaluation (M&E), Implementing Agency (IA) & Executing Agency (EA) Execution, and Assessment of Outcomes, have been rated using the obligatory GEF rating scale presented in Annex 1, and included here below the Table for ease of reference. Table 2 (below) summarizes ratings on performance criteria.

Table : Terminal evaluation ratings assigned to the project

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluation Ratings:** | | | |
| **1. Monitoring and Evaluation** | ***Rating*** | **2. IA& EA Execution** | ***Rating*** |
| M&E Design at Project Start | MS | Implementing Agency Execution | S |
| M&E Plan Implementation | MS | Executing Agency Execution | HS |
| Overall Quality of M&E | MS | Overall Quality of Project Implementation / Execution | S |
| **3. Assessment of Outcomes** | **Rating** | **4. Sustainability** | **Rating** |
| Relevance | HS | Financial Resources | ML |
| Effectiveness | S | Socio-economic/political | L |
| Efficiency | S | Institutional Framework and Governance | ML |
| Overall Quality of Project Outcomes | S | Environmental | ML |
|  |  | Overall Likelihood of Risks to Sustainability | ML |
| **5. Impact** | **Rating** |  |  |
| Environmental Status Improvement | S |  |  |
| Environmental Stress Reduction | S |  |  |
| Progress towards Stress/Status Change | S |  |  |
| Overall Project Results | S |  |  |

*For all categories other than sustainability the rating scale is HS = Highly Satisfactory; S = Satisfactory; MS = Moderately Satisfactory; MU = Moderately Unsatisfactory; U= Unsatisfactory; HU = Highly Unsatisfactory. For Sustainability the rating scale is L = Likely; ML = Moderately Likely; MU = Moderately Unlikely; U = Unlikely; R = Relevant; NR = Not Relevant*

## **Summary of Conclusions and Recommendations**

This section describes the main conclusions drawn from the TE. Strengths noted by the TET are presented first.

**STRENGTHS**

1. The SGP projects visited by the TET are, without exception, very relevant to local people’s needs and also helpful to their *immediate* environment (although *global* environment benefits are often less clear).

2. SGP projects are very responsive to the Government’s strategic priorities.

3. SGP projects are very much appreciated and recognized by the national government, local government authorities, and communities.

4. The NGOs implementing SGP strategic projects are capable, committed, and stable, and their participation in the SGP has itself been strategic in maximizing probability of replication of successful efforts and of sharing lessons learned.

5. Many of the strategic projects have truly been strategic in removing barriers.

6. The SGP is helping to strengthen the capacity of CBOs in strategic and significant ways.

7. The NC is very capable and committed and maintains good relations with Government, NGOs, CBOs and UNDP, and has a good working relationship with the NSC.

8. The NSC committee composition is strong and is comprised of committed individuals who effectively guide the SGP.

9. Many of the projects are serving to provide good demonstrations that *could* be replicated given enough resources.

10. In some cases, some projects have attracted/leveraged additional resources that have enabled scaling up.

11. Exchanges between communities where they visit the projects of others, both in Kenya and elsewhere, have beneficial learning outcomes.

12. Some good partnerships that may not otherwise have formed have been developed and/or strengthened as a direct result of SGP support and this will enhance sustainability, replication and scaling up of efforts.

13. Important lessons were learned. For example, it has learned important lessons regarding effective approaches to micro-finance which can be applied in future OPs.

**AREAS THAT COULD BENEFIT FROM FURTHER STRENGTHENING**

Following is a description of areas that the TET believes would benefit from further strengthening. Each area identified as requiring further strengthening is followed directly by recommendations regarding actions that might be taken to strengthen that area.

It is emphasized that, overall, the TET believes the Kenya SGP is doing very well. There are numerous recommendations but this is because an attempt has been made to be as helpful and practical as possible in what is intended to be a forward-looking evaluation. In this regard, the TET has provided some specific ideas of ways in which the recommendations might be implemented. The decision regarding which recommendations to take up, and how to implement them, clearly lies with the NSC and UNDP.

Several of the constraints identified in the MTR continue to be constraints at the time of the TE. This may be attributed in part to the short time which has transpired (8 months) between the two evaluations, but can also be attributed to the fact that ability to implement several of those recommendations depends on implementing one of them which has still not been satisfactorily addressed, i.e., enhancing the capacity of the Secretariat.

1. The SGP Secretariat requires strengthening to be able to handle the workload as an “upgraded” SGP country programme.

Recommendation: Strengthening of the Secretariat might be cost-effectively achieved through a combination of: a) hiring one additional core staff in the Secretariat to deal exclusively with administrative matters such as payments so that the Programme Associate can focus more on project monitoring and support, b) adopting the Ecuador strategic project approach to enhance the capacity of the SGP to monitor and support projects (this is explained in greater detail in Section 3.1.9).

2. Because of their small size and short duration, SGP projects are unlikely to serve more than just as demonstrations unless they link up with stable/long-lived initiatives/partners to maximize probability of success, impact, replication and scaling up. County governments may be such partners, amongst others.

Recommendation: Pilot partnerships with select county governments. In addition, collaborate closely with other larger scale GEF and non-GEF projects/initiatives and purposefully choose to work in areas where such collaboration is indeed feasible. Wherever possible, link with private sector and give preference to those projects that propose such a linkage in their proposals. More detail on this recommendation is found in Section 3.2.2.

3. Although the benefit to people is clear in all OP5 projects, the global environment benefit is often less clear.

Recommendation: Seek to fund projects that show a more direct linkage between helping people and global environment benefits.

4. Mechanisms to share SGP experiences and lessons learned require further strengthening.

Recommendation: Strengthen sharing of experiences and lessons learned in an *innovative* way that will *attract people’s attention,* especially that of your target audience (which should be specifically identified). The TET recommends avoiding production of lessons learned booklets as these often stay on the shelf. Detailed recommendations related to ways in which to enhance communications are in Section 3.1.6.

5. Project monitoring needs to be significantly strengthened to enable the Secretariat and the NSC to know what is actually happening on the ground with respect to the projects.

Recommendations: More regular and more in-depth site visits are needed in order to be able to monitor projects effectively. The most cost-effective way to provide sound project monitoring, especially if not all SGP projects within the country are clustered in one region, is to adopt the strategic project approach to monitoring as adopted in the Ecuador SGP and perhaps also to ask Counties with whom the SGP may partner to help in this regard. This can also improve validation of reports submitted by projects. In addition, projects should be asked to use more impact-oriented indicators rather than process-oriented indicators.

6. Although the NSC is a strong one and has the technical capacity itself to review many kinds of proposals, it does not, and cannot, have all the technical expertise required to assess every type of project proposal that may be submitted. It also does not have the time to effectively focus on strategic matters if it is focused so heavily on project proposal reviews.

Recommendation: The NSC should focus its efforts on strategic matters and leave project proposal reviews to others. More detail regarding this recommendation is in the Section on Management Arrangements.

7. Conventional solutions are sometimes applied without sufficiently analyzing other possibilities.

Recommendation: Don’t hesitate to act “outside the box”. Go directly to the core of the problem when possible. Analyze, together with communities, the real constraints of what prevents them from changing a certain undesirable behavior/action and find ways of addressing that as directly as possible instead of going around the long way. In the case of Naibunga, for example, buying improved-breed bulls and providing these to communities with conditions may have had the desired result. This would have taken far less project oversight than promoting Holistic Grazing Management which might well have been left to a project that could better advise on whether or not the necessary conditions for successful application of this approach really existed in the area and if so, could provide more support compared with the SGP.

8. The logframe might usefully be applied at the individual project level but is not a very useful tool when applied to a portfolio of projects which are not defined at the time of the writing of the logframe. More detail on this is provided in the Section on the logframe (Section 3.1.2)

Recommendation: The GEF promotes adaptive management at the project level. Adaptive management principles should also be applied at the GEF level and a different tool other than the logframe should be offered for use in measuring results in SGPPs.

9. There is often a disconnect between both the indicator and target and the corresponding activities. As a result, unrealistic and exaggerated results are sometimes reported. As one example, the completed SGPP logframe as of the time of the TE indicates that, “44,080 ha of forests within Mt. Kenya were put into sustainable management”. The activity supported by the SGP in this case was to develop forest management plans. Although this is one of the first steps towards achieving the long term goal of sustainably managing forests, it cannot reasonably be said to, in and of itself, result in this.

Recommendation: Be realistic and concrete in describing indicators and targets and ensure good correspondence between planned activities and indicators and targets.

10. Unverified project results are sometimes reported and transcribed and collated into SGPP reports.

Recommendation: Verify reported results from projects before transcribing/collating them into other reports, otherwise inaccuracies “snowball”.

11. The project strategy to support CBOs to enhance their capacity to be involved in management of LMMAs and in co-management of natural resources in reserves was very appropriate but the geographic scope was too big and as a result, the impact diluted.

Recommendation: The SGPP may have had greater impact, both in terms of providing a good solid demonstration and in terms of replication and scaling up (and thereby impact), had it focused on only one ecosystem (i.e. rangelands or forests or mangroves or coral reefs instead of all of these). A SGPP (or any other single project) cannot do it all. This is a matter which the NSC will need to take up for OP6.

12. The dichotomy of geographic fairness versus impact was introduced in the MTR report recognizing that the NSC had taken this up as an important issue that would need to be dealt with in the design of the OP6. The TET believes this is false dichotomy and encourages the NSC to reframe the discussion. The SGP is not a political body and does not have to worry about geographic fairness. It does have to worry about impact, but impact is not necessarily achieved by clustering.

Nevertheless, some degree of clustering is essential in SGPPs because of the large number of projects involved and the need to adequately monitor projects while keeping project monitoring costs within a reasonable level. Clustering can happen in several ways. Clustering happens automatically when a SGP adopts a true landscape approach. Clustering can also happen by adopting a strategic and cost-effective approach that entails overlaying various criteria to determine where to focus one’s efforts. Overlays might begin with: a) defining areas of global significance, then b) identify where stable, long-term partners exists which can help ensure replication and scaling up of SGP demonstration projects (partners such as, for example, interested county governments, or large-scale ongoing projects/programmes, or private sector champions), then c) identify where there are capable and stable NGOs with capacity to support and help monitor SGP projects, and then, d) identify where there are communities interested in participating in SGP-type projects. Some SGPPs might want to begin with (d) first, but there is a risk in doing so, as this sometimes results in awarding projects to communities that live far from a forest or other area of global biodiversity significance, and the SGP would not be abiding by what it needs to do if it is only engaged in community development without assuring that this is linked with conservation of globally significant biodiversity or with other GEF Focal areas.

Recommendation: The discussion should be framed around how to maximize impact of the SGP in Kenya while maintaining a cost-effective approach to project monitoring.

13. Assumptions are often made (in many GEF projects) that sustainable income-generating activities, once introduced and shown to be viable, automatically serve as “alternatives” to non-sustainable practices. Sometimes IGAs introduced by projects are adopted by individuals who still continue to engage in non-sustainable use of resources while adding on the new income-generating activities (e.g. Joseph engages in bee-keeping on Mondays and Fridays and continues to poach wildlife on Tuesdays and Thursdays). It should not be assumed that introducing IGAs, even viable ones, automatically has a positive effect on the natural resources which are to be conserved. Likewise, sometimes some individuals in a community (those participating in a project) fully adopt sustainable income-generating activities and desist from engaging in non-sustainable ones, while other members of the community (or sometimes those coming from outside the communities) continue to use the resources in a non-sustainable way because they do not benefit sufficiently from the ‘alternative’ livelihood activities to make it worth their while to desist from unsustainable activities.

Recommendations: Projects should take a hard core look at what is actually changing, if anything, on the ground, when IGAs are introduced. This relates to the recommendation to use impact indicators instead of process-oriented indicators and also to the recommendation to monitor projects more carefully through more in-depth project visits. It also relates to the need to ensure that IGAs are providing enough additional income to enough members of the community to truly change a situation on the ground.

14. Some SGP projects that have included activities to generate income are doing so on such a small scale and with such limited participation that they cannot truly be considered as successful demonstrations. Projects need to go beyond this to develop and secure viable markets. Although many NGOs are experienced in identifying IGAs related to natural resource conservation, they often do not have expertise in the hard-core marketing of products.

Recommendation: Contract marketing consultants for groups of projects as needed.

15. Some projects are overly ambitious given the small budget and the short time frame.

Recommendation: Refrain from funding projects that are overly-ambitious. Guide projects so that they commit only to do what can realistically be achieved with a small funding support and within the allocated time.

16. Lack of addressing underlying reasons leading to problems may prevent sustainability of SGP project efforts. Population increase leading to increasingly smaller land holdings or lack of sufficient resources was most often cited by project beneficiaries as the underlying reason for the hardships they are experiencing related to their resource base. Lack of addressing the root cause of the problem can lead to non-sustainability of project efforts.

Recommendation: Addressing population pressures and other root causes of pressure on the resources which SGP projects strive to conserve for the benefit of both local people and the global environment may be beyond the scope of an SGP project, but SGP projects could support a community-based dialogue that discusses the cause and effect of population increase and determine appropriate response/s within the project areas. SGP projects should also actively contribute to strategies such as girls’ education, economic diversification, and supporting women role models in project areas where population is the main driver of degradation of resources that the SGP is trying to conserve in partnership with local communities.

17. Although there is good *participation* of women in most SGP projects, further work is required to achieve gender equality in decision-making bodies directing SGP projects.

Recommendation: In compliance with UNDP’s focus on gender equality (UNDP being the GEF Implementing Agency for the SGP), implement affirmative action measures through design of call for proposals to ensure that all SGP project decision making bodies have an equitable balance of women and men.

18. Tracking of in-kind co-financing requires further strengthening. Some progress has been made in this area since the MTR (which also highlighted it as a weakness). For example, at the time of the MTR, the Secretariat was not able to provide a co-financing figure either for the individual grant projects or for the SGPP, whereas by the TE, the Secretariat was at least able to quantify co-financing from the grantees. A continued effort to strengthen tracking of co-financing is required. The problem is due in part to lack of priority assigned to it by the Secretariat and the NSC, and in part to lack of knowledge of a cost-effective way to account for in-kind co-financing. Under-reporting of in-kind contributions may give the impression of lesser buy-in to project objectives than is actually the case. Nevertheless, a cost effective way of accounting for in-kind contributions must be used or the result will be either guesswork or undue effort put into calculating it.

Recommendation: Together with the UNDP GTA for Upgraded Country Programs, figure out a cost-effective way of accounting for in-kind co-financing. This methodology should be shared with all SGPPs as it is a common challenge for all. Although it is important because of GEF guidelines to quantify in-kind co-financing, the effort in doing so must be cost-effective. It is not really cost-effective, for example, to try to quantify the monetary equivalent of a Government representative attending a SGP meeting.

19. Quality control of products produced with support of SGP could be improved.

Recommendation: One of the functions of project Technical Advisory Committees (TACs) is to review products produced. This review does not seem to be adequate in some cases where product quality is poor. If the Ecuador strategic project approach is adopted to enhance monitoring, those NGOs or others involved in that strategic project may also help with quality control.

20. Insufficient resources to implement forest management and conservancy plans (developed with support of the SGP) appears to be the single greatest challenge to actual conservation, especially for those CBO projects that do not have partner champions with resources.

Recommendation: Development of simple exit strategies for each project could be helpful in promoting sustainability of project efforts. More details regarding this recommendation are in Section 3.3.3.

# **1. INTRODUCTION**

## **1.1 Purpose of this Evaluation**

The evaluation was initiated by UNDP as the GEF Implementing Agency for this project in accordance with evaluation requirements set forth by the GEF. According to the Terms of Reference (TOR) for the TE, the aim of the TE is “to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from the project, and aid in the overall enhancement of UNDP programming”. In accordance with the GEF Monitoring and Evaluation Policy, this TE is also intended to “promote accountability for the achievement of GEF objectives; including the global environmental benefits”.

## **1.2 Scope and Methodology of the Evaluation**

The evaluation was conducted by one International Consultant, Ms. Virginia Ravndal, and one National Consultant, Dr. Richard Kaguamba, during June 2015, almost six months before anticipated project closure and eight months after the Mid-Term Review was conducted. The in-country evaluation mission took place over a period of twelve days. Both consultants have extensive experience with the GEF and extensive, relevant experience in East Africa.

The TE was conducted in accordance with the “UNDP Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-financed Projects (2012)”, and the “*GEF Monitoring and Evaluation Policy*”, and in line with GEF principles including independence, impartiality, transparency, and participation. It seeks to provide evidence-based information that is credible, reliable and useful. In this regard, the Terminal Evaluation Team (TET) followed a participatory and consultative approach, and used a variety of evaluation instruments including:

***Evaluation Matrix***: An evaluation matrix was developed based on the set of questions covering the criteria of relevance, effectiveness, efficiency, sustainability, and impact which were included in the TOR for the TE and which were amended by the TET to be most useful to this particular TE. The matrix (presented in Annex VIII) served as a general guide for interviews conducted.

***Documentation Review***: The TET reviewed documents including the project document (PRODOC), the Project Information Framework (PIF) for OP5, project reports including Annual Project Reports, project budget revisions, the Mid-Term Review, project files, Terms of Reference for key project positions, logframes, criteria for project selection, National Steering Committee minutes, policy and national strategy documents, and other relevant documents. A complete list of documentation reviewed by the TET is included as Annex IV.

***Interviews***: In-person interviews were conducted with more than 100 stakeholders including with the Ministry of Environment and Natural Resources, UNDP, CBOs, NGOs, NSC members, and the National Coordinator in the SGP Secretariat. The Programme Associate for the Kenya SGP was away on an urgent family matter during the evaluation mission. Many of the meetings took place in the field at project sites with small groups of up to 15 people representing diverse entities such as, for example, members of a CFA or BMU, farmers, forest rangers, the KFS Forester for the area, and members of an NGO working together with the CBO. The list of stakeholders met is in Annex III.

***Project Visits***: Because of the large number of projects in the Kenya SGP portfolio (69), the time constraints of the evaluation, and the distances to be covered, the TET was of course not able to visit all projects. Visits were, however, made to 16 projects which represents almost one fourth of all the projects supported during OP5. The projects visited were chosen by the TET in close consultation with the NC. Inputs on the preliminary choices were requested from the NC to ensure that visits to the selected projects were logistically possible given the evaluation time frame and that the projects represented a fair sample of the variety of project types and sizes included in the SGPP portfolio, with a slight skew towards larger projects to ensure the TET would visit with those projects to which most of the funds had been devoted. The TET visited the first two projects together as a team to ensure we would be assessing similar aspects/parameters of the projects we visited, and then split up with the International Consultant visiting the projects in the Mt. Kenya/Aberdares and Laikipia area and the National Consultant visiting the projects on the Coast.

***Terminal Evaluation Mission Itinerary:*** The TE mission itinerary is presented in Annex III.

***Ratings:*** In accordance with GEF guidelines for project evaluations, achievement ratings as well as sustainability and relevance ratings were assigned by the TET. The TET rated project achievements and outcomes according to the GEF project review criteria (Relevance, Effectiveness, Efficiency, Results and Sustainability), using the obligatory GEF ratings of: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). A full description of these ratings and other GEF rating scales is provided in Annex I. The TET also rated various dimensions of sustainability of project outcomes using the GEF obligatory rating scale of: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and, Unlikely (U).

## **1.3 Structure of this Report**

This terminal evaluation report documents the achievements and successes as well as the shortcomings and constraints encountered by the Project. It includes four sections organized as per the Table of Contents included in the TOR for terminal evaluations. The Executive Summary includes the Project Summary Table as well as an overview of the project and the presentation of the main conclusions and recommendations of the evaluation. Section 1 briefly describes the purpose, scope and methodology of the evaluation; Section 2 presents an overview of the project; and Section 3 presents the findings of the evaluation. Lessons are presented in Section 4. Annexes are found at the end of the report.

## **1.4 Code of Conduct adhered to by the TET**

The TET reviewed and agreed to adhere to the UNEG “Ethical Guidelines for Evaluations”. The “Evaluation Consultant Code of Conduct and Agreement Form” signed by the TET is attached as Annex VI. Stakeholders interviewed were routinely informed by the TET at the outset of each interview about the purpose of the evaluation, the approach undertaken, and the anonymity of the information shared.

# **2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT**

## **2.1 Ecological and Development Context**

To keep this report within expected page limits, the reader is referred to the comprehensive description of the ecological context in which the SGP operates in Kenya which is presented in the project document (PRODOC). In summary, the SGP projects in OP5 were mostly clustered in montane forests and the surrounding production-oriented landscape (primarily subsistence agriculture) in the Mt. Kenya area and the nearby Aberdares mountains, rangelands in the Laikipia Plateau to the northwest of Mt. Kenya, and coastal and marine areas along the northern and southern coast. There were also stand-alone projects in the Tsavo-Amboseli ecosystem in Southern Kenya, the Kivulini Trust operating in Isiolo in northern Kenya, Sadhana Kenya in Samburu, a biogas project for dairy farmers in the Rift Valley, a renewable energy project in the Ngong Hills Northwest of Nairobi, and a forest conservation project in the capitol city of Nairobi itself.

The development context within which the SGP operates in Kenya is well described in the PRODOC. In brief, Kenya’s new Constitution (2010) and a series of policies and norms enacted by the Government within the last five to ten years enable community stewardship of natural resources and devolve significant power over those resources from the national government to the newly-established County governments and legally-established community-based organizations. Some of the most relevant of these policies and norms include:

The Kenya Forest Act (2005) provides for the establishment of Community Forest Associations (CFAs), which are legally-established community-based organizations. The Act allows for and regulates community participation in the management of forest reserves and the use of forest resources through signed legal agreements between the CFAs and the Kenya Forest Service;

The Fisheries Act establishes Beach Management Units (BMUs) for each fish landing site along the coast, enabling fishing communities to actively participate in the management of coastal areas and resources;

Under the National Environment Management Act it is possible for communities to engage in Locally Managed Marine Areas (LMMAs);

The 2009 "Charcoal Rules" turned charcoal production and trade from being an illegal activity into one that is supposed to be actively managed and in which communities have a role to play;

The Energy Feed-in-tariff Policy (FIT) provides opportunities for scaling-up community renewable energy generation projects and may pave the way for linking these with carbon markets in the future.

Barriers to effective community stewardship of natural resources were identified in the PRODOC. OP5 projects were intended to help address those barriers which included the “lack of information on the existence of these instruments, the lack of capacity among communities to understand the legal and technical contents of the documentation, and the difficulty of undertaking the processes of association, legal recognition, development and approval of relevant plans, and of obtaining the required permits. Lack of access to financial resources and to technical assistance to identify and implement sustainable livelihood initiatives is a pervasive barrier to community sustainable development and stewardship of their environment and natural resources.”

The GEF has been an important source of funding for biodiversity conservation, land degradation, and climate change-related initiatives in Kenya during the period covered by OP5. The Government of Kenya has committed a significant part of its GEF STAR allocation to the SGP, indicating strong country commitment to, and ownership of, the programme.

Despite these efforts, significant threats continue to exist, and even escalate, to globally significant biodiversity; degradation of land and waters continues due to unsustainable practices and population pressures, and effects of climate change continue to be felt.

The design of a sixth operational phase (OP6) of the SGP in Kenya will need to give serious consideration to how to maximize the impact it can have, and how it can act as strategically as possible in collaboration with partners who now have authority over the management of natural resources (in particular with County governments and CBOs), and with those with greater financial resources and a presence on the ground.

## **2.2 Project Start and Duration**

The fifth operational phase of Kenya’s SGP began officially with the signing of the PRODOC at end of February, 2012 (eight months after it was originally to start) and is expected to end six months later than originally planned. The new end date is 31 December, 2015 giving the fifth phase of the SGP in Kenya a time frame of 3 years and 10 months.

As is the case with all SGPPs, the Kenya SGPP is really not a typical GEF project with a start and end but rather a continuation of an ever-evolving programme which in the case of Kenya began some twenty-two years ago.

A six month no-cost extension was needed due to several factors, including delays in SGPP start-up and in disbursement of funds once the SGPP started, and weather factors which affected the ability of some projects to implement activities as per the original time schedule. The extension is to allow grantees to receive their final disbursements and complete their project activities.

The SGPP was originally to start in July, 2011 but the PRODOC was not signed until February 2012, and funds weren’t actually received until May, 2012. This eight month delay in start-up was due to a delay in getting the CEO’s signature on the PRODOC, which delay was beyond the control of both the SGP and UNDP. As a result of the late start-up, the last two tranches of projects approved by the NSC (totaling 13 projects) had a short time (at most 14 months) to implement their activities. Thus, in the last call for proposals, the NSC could only consider proposals where project activities could be implemented within this short time frame. This excluded some good proposals from being considered.

BEST PRACTICE: The first set of proposals that the NSC reviewed had already been in the pipeline in OP4. This allowed the NSC to review proposals only a short time (2 months) after the PRODOC for OP5 was signed. Otherwise, a significant period of time might have passed before the NSC could review and approve projects.

## **2.3 Problems the Project Sought to Address**

The PRODOC described the problems as, “With about 46% of the population living below the poverty line, the principal cause of ecosystem degradation at community level in Kenya is poverty. Pressure over land and resources will only increase with Kenya's growing population which is expected to reach 43.6 million by 2015 from 38.3 million in 2008. Unsustainable land and resource use is affecting forests, rangelands, freshwater, and coastal and marine ecosystems and also the country’s ability to maintain valuable carbon stocks. In spite of the protection status granted to forests, these continue to be degraded and destroyed. It is estimated that Kenya has 3.47 million hectares of forest (indigenous forests, open woodlands, and plantations) and an additional 24.5 million hectares of “bush-land”. Kenya loses about 12,000 hectares of forest each year through deforestation (primarily conversion of forests to agriculture or for public or private development projects). The remaining forests are degraded due to, among others, unsustainable utilisation, illegal logging, uncontrolled grazing and exploitation for charcoal. Deforestation and degradation is evident in both the high elevation water catchment forest areas, in coastal forests, and in bushland in the arid and semi-arid lands. Unsustainable charcoal making is rampant because the majority of Kenyans, especially those living in peri-urban and urban areas heavily depend on charcoal as a source of energy for cooking and heating.

Coral reefs are being degraded by destructive fishing practices such as the use of explosives and fine mesh nets. Deforestation to create agricultural land is accelerating erosion and increased sediment loading, killing the corals which in turn lead to the decline of associated fisheries. As a result of poor agricultural practices upstream, riverine deltas discharge some 11.8 million tonnes of sediment annually into the Indian Ocean, affecting the sustainability of coastal habitats and the aesthetic value of beaches. Seagrass beds are threatened by physical alteration and destruction of coastal habitat, including from discharge of untreated sewage. Poor regulation and control of tourism development is also causing extensive degradation of coral reefs. Mangrove logs are extensively used for building, and as fuel for domestic cooking, charcoal-making, lime production and some other industrial uses. There are 9 marine protected areas covering an area of 1,139.3 km2, of which 76.3 km2 (6.7%) is the area of four Marine Parks, while the remaining area is occupied by five Marine Reserves. This means that a large proportion of the coastal area and its resources are unprotected.

Land Degradation is another issue of major concern in Kenya. Most of the country's 590,000 km2 land area lies within the eastern end of the Sudano-Sahelian belt, a region affected by drought and desertification. About 88% of the land supporting some 30% of the total population in Kenya is classified as arid or semi-arid, while 70% of the population lives in the 12% most fertile areas where rain-fed agriculture is possible. However, high population growth rates have led to significant pressure on arable land and created a spillover into marginal areas, pasture and forest lands, and steep slopes. This pressure on fragile ecosystems compounded by inappropriate farming practices and deforestation has resulted in accelerated land degradation. This has significant implications for a country whose population is still largely rural and dependent on the land and natural resources for survival. There is evidence that the human population in the dry lands is growing at a rate of 5.7%, faster than in the high rainfall areas. A main challenge is therefore to sustain arid and semi-arid land productivity while simultaneously providing livelihoods for an ever-increasing number of people. Climate change and the spread of invasive alien species in ASAL areas are two additional drivers of land degradation.

Addressing environmental degradation and achieving sustainable livelihoods among pastoral communities is a major challenge. The new draft policy for ASAL areas recognises that past policies and approaches to pastoral development in the country failed because they were based on a biased perception about pastoralist communities and because pastoralist development issues were not articulated in a comprehensive policy but rather treated in other policies such as agriculture and livestock development, and tourism. This resulted in the relegation of pastoralist development issues to second place. Emphasis was put on sedentarization of nomadic pastoralists with a strong focus toward crop farming because the perception was that pastoralism was not a viable and sustainable way of life. While this perception has changed among government and development organizations, finding adequate sustainable development avenues that respect local ways of life remains a very complex endeavour and this can only be achieve with the full participation of communities.

While Kenya is still a net sink of greenhouse gases (GHG), it is determined to avoid the high emissions-path that developed countries followed in the quest to achieve socio-economic development. In addition to increasing green energy production, Kenya is preparing to take advantage of "avoided emissions" mechanisms offered by carbon markets, including REDD+. According to the World Bank World Development Indicators Database 2010, CO2 emissions were about 0.3 metric tons per capita in year 2000, up from 0.2 in 1990. Kerosene and biomass are the main types of energy consumed by households in Kenya. The average firewood consumption is 1.5 kg per person per day. A household of 5 people uses 225 kg of wood per month. Historical trends show little evidence of large-scale fuel switching, which implies that Kenya, like most other countries of sub-Saharan Africa, will remain largely reliant on solid biomass fuels for many years to come. The proportion of biomass energy (firewood, charcoal, and crop wastes) to overall energy consumption in Kenya is increasing, therefore the decision to focus SGP GEF-5 climate change activities on biogas utilization to reduce unsustainable biomass use.” (Quoted from the PRODOC)

In keeping with the GEF approach that projects should represent strategic interventions that attempt to remove critical barriers to the conservation of the biodiversity, the PRODOC described the barriers to be removed as:

### Barriers to community participation in the implementation of the 2005 Forest Act

### Barriers to community management of Conservancies

### Barriers to implementing Beach Management Units (BMUs) and establishing Locally Managed Marine Areas (LMMAs)

### Barriers to more sustainable community land management in ASAL areas and implementation of Charcoal Rules

### Barriers to rural community contributions to a low carbon society

One of the key barriers numerous OP5 projects sought to address is lack of capacity of CFAs and BMUs to engage effectively with Government in co-management of natural resources within forest and marine reserves or to manage fishery resources within LMMAs.

Based on the project visits made by the TET, it appears that at least some forest reserves and some marine areas now being co-managed under agreements between community-based organizations (CFAs, BMUs) and the relevant government body are still at great risk even if local communities are now directly involved in the management of these areas and clearly feel greater ownership of the resources found therein. Although communities expressed to the TET their appreciation of the CFA approach, that approach in the SGP-supported efforts visited by the TET has not matured to the point where it can truly be claimed that forest reserves are now safe or even well–managed, especially as there are inadequate funds to implement management plans. There appear to still be very significant risks to those forest reserves.

In addition to the existence of the CFAs, fences are also an important factor contributing to the conservation of the forests visited. Many of the forest reserves visited by the TET have been fenced or are in the process of being fenced. The communities appreciate the fences because they keep the elephants and buffalo inside the reserve so that the local people no longer lose their crops due to depredation. The CFAs are happy both for this reason and also because they are able to better control the use of the resources inside the reserves. The permit system related to grazing livestock inside the reserves, collecting fuelwood inside the reserves, planting small areas of crops (*shambas)* inside the reserve as part of the PELIS, and collection of non-timber forest products inside the reserves can be more easily controlled by restricting entry into the forest reserve to a few select gates that can be monitored. KFS and KWS also find the fences to be beneficial. Although communities, CFAs, and Government entities (both national and local) acknowledge the role of the fence, none of the SGP project documents/reports acknowledge it, attributing improved management of natural resources exclusively to the existence of the CFA. It is important to openly recognize all factors both contributing to degradation of resources as well as those contributing to their conservation.

Success appears to be exaggerated in the reported achievements of SGP projects dealing with CFAs (e.g., “44,080 ha of forest put into sustainable management”, SGPP logframe completed at time of TE) and there are few actual measurements being taken to prove the nature and extent of the reported improvement. Although it is logical that local community involvement in decision-making regarding the forests is critical to their conservation, and although according to the Secretariat reduced forest degradation has begun to be witnessed in some forests as a result of increased ownership and improved governance, at present it also appears that despite the existence of the CFAs, the forests whose conservation is supported by SGP projects are still at significant risk.

One of the continuing problems is that few CFAs (with the exception of a few such as the rather unique well-funded Karura Forest CFA in Nairobi, some CFAs in the southern Aberdares, and those associated with the Kijabe Environment Volunteers have developed to the point where a good model is in place, due in large part to lack of sufficient resources to implement the approved management plans. Other key constraints include forest management plans that are in some cases not detailed enough or comprehensive enough, or in some cases plans that do not appear to be completely thought out, and sometimes lack of capacity of the CFA and the Government institution to effectively implement the plan. Other threats to the forests also persist including some related to the capacity of the national authority in-charge to curb illegal forest activities and the access and benefit-sharing mechanism which is skewed in favour of the national authority in-charge of forests. Building capacity of the CFAs, developing forest management plans and management agreements are steps in the right direction and the SGP has provided important support in this regard to numerous CFAs.

The SGP has also provided important support to BMUs. The BMUs visited by the TET have strong ownership of activities they are undertaking, either supported by the SGP or by others such as the local government or the Kenya Fisheries Research Institute. The fisher folk (most of whom are now members of BMUs) have had a long history of practicing artisanal fisheries. Like CFAs, BMUs also have mechanisms in place for limiting access to certain areas or to certain times. Seasonally closed fishing areas managed by BMUs appear to be effectively controlled. Both the communities and the government find these marine *tengefus* to be beneficial and see concrete results perhaps over a shorter time period compared with forest areas. Members of BMUs clearly understand the importance of ensuring the sustainability of their fisheries resources.

## **2.4 Immediate and Development Objectives of the Project**

The project goal is to “conserve globally significant ecosystems in Kenya and mitigate climate change by supporting the implementation of national environmental policies that also contribute to communities’ improved livelihoods”.

The project objective is to “secure global environmental benefits and improve livelihoods through community-based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes.”

The project aimed to achieve the objective through working towards four outcomes: 1) “community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors; 2) flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods; 3) local communities implement low carbon technologies that address their energy needs and mitigate climate change; and 4) communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced”. Individual small grant projects were to contribute concrete outputs towards these outcomes.

## **2.5 Baseline Indicators**

To avoid duplication, baseline indicators are presented in Section 2.6 (Expected Results) which includes a description of both baseline indicators and targets.

## 

## **2.6 Main Stakeholders**

The project’s main stakeholders included:

* Small-scale subsistence farmers in the Mt. Kenya area and the Aberdares mountains, artisanal fishers along the northern and southern Kenyan Coast, pastoral communities in the Laikipia Plateau, the Ngong Hills, the Kuku group ranch of Kajiado county, Isiolo, Kivulini, and Samburu, and dairy farmers in the Rift Valley.
* The flora and fauna within the regions described above
* National Government entities including KFS and KWS.
* County Governments including Kilifi, Kikuyu, Meru, Mombasa, Kwale, Kiambu, Nyeri, and Laikipia.
* Many communities and CBOs (including many CFAs and BMUs) in the above-mentioned regions including Ewang’an, Rumuruti Forest Association, Kantuka CBO, Youth Banner, Wildliving Resources, Bodo CFA, Naibunga Conservancy Trust, Wasini, Kibuyuni, Mkunguni and others.
* Numerous NGOs with national or regional presence in Kenya, amongst these CORDIO, Green Belt Movement (GBM), K-Rep Development Agency, the Sustainable Agriculture Community Development Program (SACDEP), Nature Kenya, Kenya Wildlife Conservancies Association (KWCA), ERMIS Africa, Laikipia Wildlife Forum, Northern Rangelands Trust, KENVO, EAWLS, Kenya Organic Agriculture Network (KOAN), The Youth Banner, African Nature Organisation, CANCO, Kenya Forest Working Group, East African Wildlife Society and others.
* International NGOs with presence in Kenya including The Nature Conservancy, the African Wildlife Foundation, and others.
* Research and academic institutions, such as the Zoological Society of London, working with Masai Wilderness Conservation Trust to develop science-backed, community-based monitoring tools, and Pwani University, working with The Youth Banner, to support emerging entrepreneurship acumen and innovation in renewable energy in the Coast region.
* Private sector entities including private game ranches such as Ol Jogi, and the Zeitz Foundation (a foundation established by the private ranch bordering Segera), renewable energy suppliers and distributors of solar lamps and wind turbines, and Earth Oil Co. Ltd, which buys tea-tree leaves and other aromatherapeutic tree products and processes the oil for export to the UK.
* UNDP and the GEF

## **2.7 Expected Results**

The expected results are described in the project’s logical framework (logframe) in which performance indicators are described along with the baseline for these indicators at project start, and the targets to be achieved related to these indicators by the end of the project.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Indicator** | **Baseline** | **Targets**  **End of Project** |
| **Project objective:**  Global environmental benefits secured and livelihoods improved through community based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes | Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation in:  Mt. Kenya Forest Reserve and buffer zone  Laikipia rangelands  Mangroves  Marine areas | 3,385 hectares rehabilitated by communities in Mt Kenya Forest Reserve and buffer zone in the last 10 years[[3]](#footnote-3))  Community-managed Laikipia rangelands conservation areas: 9 group ranches have formed the Naibunga conservancy covering 17,200 ha.  Mangrove forests under community sustainable management practices: 6,600 ha or 12% of total mangrove area.  Community-managed marine conservation areas: 4 LMMAs established[[4]](#footnote-4) covering 1000 ha of which 2 operating and 2 at an inception stage. | 30,000 hectares of forests sustainably managed in accordance with the Forest Act of 2005  20,000 hectares under community conservancies in Laikipia with effective management and securing wildlife corridors  5,000 hectares of mangroves conserved by communities  10,000 hectares under community-managed marine conservation areas |
| Increase in land area with improved management practices in pastoral and agricultural lands in ASAL  Increased application at community level of legal and regulatory frameworks that integrate SFM principles | Number of hectares under community SLM practices will be determined for specific geographic area of intervention at project inception  Hectares with tree cover in community lands (to be determined at inception stage for specific geographic area)  Zero communities with sustainable charcoal production in accordance with the “Charcoal Rules” of 2009. | 60,000 hectares under SLM practices  100 ha with increased tree cover  At least 50% of participating communities obtain permit from KFS under the Charcoal Rules |
| Increased number of communities earning an income from sustainable land and resource use with due consideration of biodiversity | About 27 communities at the Coast, 30 communities in Mt. Kenya, and 3 in Laikipia/northern rangelands earning an income from sustainable livelihood initiatives. | At least 10 additional communities in Mt. Kenya, 10 in Laikipia northern rangelands and 8 at the coast will earn an income from sustainable livelihood initiatives. |
| RE policies and regulations adopted  GHG emissions avoided | Zero small-scale RE producers in FIT  Biogas units installed[[5]](#footnote-5) in project area: 202  2,908 CO2 e avoided[[6]](#footnote-6) | 1 demo  700 new units (SGP direct)  6,650 new units (replication)  68,000 tons of CO2e avoided |
| Increased proportion of CBOs capable of developing eligible SGP projects as a proxy to their ability to diagnose and understand global environmental problems and of developing local solutions | Eligible project proposals received by SGP  Mount Kenya region (40%)  Laikipia region (0%)  Coastal region (30%) | Increase in percentage of eligible proposals:  Mt Kenya region (60%)  Laikipia region (50%)  Coastal region (60%) |

|  |  |  |  |
| --- | --- | --- | --- |
| **Outcome 1**  Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors | 1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests) | Number of CFAs registered: 15 CFAs established, however, they are not all active, and most are at budding stage.  10 CFAs have Forest Management Plans in Mt. Kenya but do not fully integrate BD  Number of Forest Management Agreements under implementation: 3 in Mt. Kenya | Six new CFAs  Five new Forest Management Plans integrating BD developed  Three new Forest Management Agreements signed between local communities and KFS and under implementation |
| 1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area | Score of adapted METT (to be applied once specific conservancies have been selected for SGP grants) | At least 20% increase in METT scores |
| 1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity | 85 BMUs established [[7]](#footnote-7) of which some 17 operating  Four LMMAs established of which 2 operating  LMMA policy and regulatory framework unclear | 4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation  LMMA policies reviewed and proposal for regulatory framework developed |
| **Outcome 2**  Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods | Increased number of communities contributing to identify and prevent the spread of IAS in rangelands | Zero communities contributing to detect and/or control IAS in rangelands. | At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS |
| Increased number of communities produce charcoal sustainably and legally | Zero communities in the project area with KFS permits under the Charcoal Rules of 2009 | At least 100 communities aware of the new charcoal rules  At least 10 communities producing and selling charcoal sustainably and legally |
| Increased percentage of families/community groups implementing SLM practices in ASAL target areas  Increased or diversified investment in SLM at the local level | Baseline value of families/groups implementing conservation agriculture, zero-grazing and other SLM practices in ASAL target areas to be determined at project inception for specific geographic areas  Types of SLM investments include: production and marketing of dryland products, e.g. livestock and livestock products, honey, dryland crops, e.g. aloe, eco-tourism and handicrafts. Also, water conservation and management, and small-scale eco-farming. | 20% increase of families/groups implementing SLM practices  Four investment types for SLM at community level introduced or strengthened. |
| Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments. | The baseline for the number of sustainable income generating activities in the target area will be determined once the project begins. | At least 5 new or strengthened sustainable income generating activities |
| **Outcome 3**  Local communities implement low carbon technologies that address their energy needs and mitigate climate change | Increase in credit availability for rural families and business that want to adopt RE  Increased number of trained personnel able to build and maintain biogas digesters  Number of small-scale RE project meeting FIT requirements | Credit for small scale RE investments available from 2 cooperatives but for cooperative members only, e.g. Kathuna Dairy cooperative  No. of trained individuals in project area: 17  Zero small-scale RE projects meet FIT requirement | At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments  An additional 10 people able to construct and provide maintenance to biogas units  FIT demonstration meets FIT requirements |
| **Outcome 4**  Communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced. | Percentage of grantees that achieve their project outcomes  Increased public awareness of global environmental issues in target areas  Increased number of grantees applying adaptive management to their grants | 90%  To be determined through a survey to be carried in the first year of project implementation  50% of grantees apply adaptive management | 90%  20% increase over baseline value  80% of grantees applying adaptive management |

# **3. FINDINGS**

## **3.1 Project Design and Formulation**

### **3.1.1 Appropriateness of Project Strategy, Approach, and Scope**

The project strategy is described in the four Expected Outcomes. Each Outcome includes a great deal in and of itself. As an example, Outcome 1 includes “three inter-related approaches including implementation of the Forest Act, enhancing management effectiveness of community conservancies in Laikipia, improved conservation of coastal and marine biodiversity by establishing and enhancing community-managed areas” (PRODOC). This one outcome is to be achieved by:

* Creating awareness among communities on the provisions of the Forest Act of 2005
* Establishing at least 6 CFAs
* Developing forest management plans
* Developing forest management agreements
* Integrating biodiversity conservation into existing forest management plans
* Providing financial and technical resources to implement forest management plans (including rehabilitating degraded forests, starting and strengthening ecotourism enterprises, introducing and promoting non-timber forest products, supporting agro-foresty, conserving endangered and endemic flora and fauna
* Developing forest monitoring techniques and guidelines adapted to community use
* Disseminating those techniques and guidelines widely
* Training CFAs to conduct baseline surveys
* Conducting baseline surveys
* Developing management plans for Group Ranch conservancies in savanna ecosystems
* Developing partnerships between private ranches, conservancies and others
* Training large numbers of people on sustainable rangeland management practices
* Training large numbers of people on biodiversity conservation
* Training large numbers of people on alternative livelihood activities
* Securing financing for at least 10 Conservancy management plans
* Developing indicators to be used to monitor the performance of community Conservancies
* Identifying barriers to effective management of LMMAs
* Developing a plan to overcome barriers to effective management of LMMAs
* Forming a network of community managed marine areas
* Supporting BMUs and other local organizations to implement their LMMA management plans
* Implementing marine conservation activities with BMUs and other community groups
* Establishing linkages with research institutions
* Conserving mangrove forests
* Conserving coral reefs
* Conserving estuaries
* Conserving sea grass beds
* Publishing lessons learned regarding LMMAs, learning from experiences around the world and in Kenya

These activities are only *some* of the activities associated with only *one* of the four project outcomes that are included in the strategy to achieve the project objective. Almost any single one of these activities could be a four year project in and of itself. In sum, the project strategy, although sound, is too comprehensive for a four year project.

Although the Project was able to achieve a lot, it may have had even greater impact, both in terms of providing a good solid demonstration and in terms of replication and scaling up (and thereby impact), had it been more focused, by focusing on fewer ecosystems and the production landscapes in these, and by having a less lofty objective and fewer outcomes. This comment does not refer to the *presentation* of the outcomes but rather what is truly involved in achieving those outcomes.

Lesson: It has become a common practice in GEF documents to curtail the number of Outcomes, mostly to ensure neat and tidy looking logframes, but there has not been similar attention given to the need to curtail the actual Outcomes themselves, i.e., the actual content of them rather than their presentation. The Kenya SGPP should avoid this pitfall in OP6.

Likewise, some projects are overly ambitious given the small budget and the short time frame. For example, the Wild Living Resources project envisioned that farmers would meet all FSC standards and also develop National FSC standards. This was a short project of only a year with a budget of less than USD 50,000. While good work has been achieved within a short time, the ambitions appear to have been beyond the time and resources available.

### **3.1.2 Analysis of Project Logical/Results Framework**

Limitations of the Logframe when Applied to SGPPs

The logframe is a good tool, but there are serious limitations of the logframe when applying this tool to programmes containing a portfolio of projects (as compared with a single project). Even though the Upgraded SGP Country Programmes are now considered as Full-Size Projects by the GEF, they remain in reality programmes comprised of many individual projects.

Further complicating the matter, the projects included in the portfolio are not identified at the time the logframe is described. This is like promising to make a cake without knowing what ingredients you will have but still promising all sorts of details about what kind of cake it will be (e.g., a vanilla wedding cake with chocolate icing big enough to feed 120 people and with a miniature couple dancing on top!)

A third shortcoming of this tool when applied to a portfolio of projects that are not defined at the stage when the logframe is designed is that many of the actual project achievements do not show up in the logframe as they were not anticipated at the time the logframe was completed.

There is another serious shortcoming in this tool that is exaggerated in “projects” comprised of a portfolio of projects but is also a shortcoming in more traditional projects. This is the tendency toward exaggeration of results and inaccurate accounting of actual achievements. For example, it is not uncommon to read in the “targets achieved” column in logframes that thousands of hectares of forests are now “conserved” or “sustainably managed” when the project merely helped develop a forest management plan. The existence of the forest management plan does not of course automatically result in the forest being “conserved”, but this is nevertheless the way it is often presented. This is not only inaccurate, and thus not helpful, but is actually harmful as it gives the impression something is conserved when it may actually be highly threatened.

Typical problems with the Logframe

In addition to the above-mentioned constraints, many of the typical problems with project logframes are also common to this logframe:

* Many of the indicators are not S.M.A.R.T. As there are too many examples to list individually, only one example is presented. “Enhanced management effectiveness of Community Conservancies in the Laikipia area” is an outcome not an indicator. How can one tell whether these areas are indeed being managed better? That is what a good indicator should inform.
* Many of the indicators used are process-oriented. Whenever possible, it is preferable to use impact-oriented versus process-oriented indicators. An example of an impact-oriented indicator for a project to reduce fuelwood usage might be the number of fuelwood distributors in the community monitored over the project period whereas a process-oriented indicator might be the number of alternative stoves provided to the community by the project.
* Means of verification (MOV) to determine whether or not a target has been met are not always indicative of this and do not serve as an accurate measure. “Forest management plans approved by KFS” is the MOV which is supposed to tell us whether or not forests are being sustainably managed but the existence of forest management plans clearly does not automatically translate into those forests actually being sustainably managed.
* The baseline is in some cases not well established, and there is often no follow up on the commitment (made in the PRODOC) to establish the baseline once the project begins. Ex: “Hectares with tree cover in community lands (to be determined at inception stage for specific geographic area.” “Google images if available” were supposed to be used both to establish the baseline and as the MOV but this was not done. Likewise, the baseline for Outcome 4 was “to be determined through a survey to be carried in the first year of project implementation”, but this survey was never conducted.
* Many targets appear to be random. Others are overly-ambitious. As an example, the target that “at least 20% increase in METT scores” appears to be both random and unrealistic given the short time frame of the project and the project budget. In any case, the METT was never applied.

The fact that these problems are common to many GEF projects would indicate that there is a fundamental flaw that is not specific to this project. This is a serious issue that needs to be addressed by the GEF.

### **3.1.3 Analysis of Assumptions and Risks**

Assumptions and risks were appropriately described and analyzed at the project design stage.

### **3.1.4 Lessons from Relevant Initiatives incorporated into Project Designs**

Learning from COMDEKS. There was an attempt to adopt the COMDEKS approach in the Kenya SGP. The idea was to include the Laikipia Plateau as part of the greater Mt. Kenya landscape. This effort was not entirely successful due to both inadequate support from the COMDEKS Coordinator in NY (Kenya not being part of the network of COMDEKS countries among whom information and experiences were exchanged), as well as a lack of viable proposals received from the area when the call for proposals was issued. As a result, most of the projects supported in this landscape were implemented as individual projects instead of truly adopting a landscape approach which would have connected them.

Note: Clustering projects in a certain area is not the same thing as adopting a landscape approach. By definition, when adopting a landscape approach there will be clustering. The opposite is not necessarily true.

Learning from the COMPACT experience. The Kenya SGP had a long experience with COMPACT in the Mt. Kenya area (until that programme ended toward the beginning of OP5) and lessons from that programme were incorporated into the design of the SGP OP5.

Learning from co-management schemes in other countries. More attention may have usefully been given to learning from co-management schemes in other countries as there is now more than a decade of such experiences in many countries around the world and these have been fairly well documented and are easily available.

Impact indicators. A tremendous literature base exists on impact indicators. It would have been useful to incorporate more of that learning into the design of the indicators to be used by both the SGPP and the individual projects.

### **3.1.5 Stakeholder Participation**

Stakeholder participation in design and implementation of individual projects was excellent. A fuller description of stakeholders involved in the SGP is presented in Section 2.6.

### **3.1.6 Replication Approach**

Some projects are serving to provide good demonstrations that *could* be replicated given enough resources or if viable markets are developed for products. Some concrete examples in the OP5 portfolio highlight this. The GBM project is providing a good demonstration on how local communities can benefit from participating in management of forest reserves through an established CFA and in partnership with KFS. This is a model that if replicated could have positive impact. Nevertheless, replication by other communities will depend in large part on whether or not they too have access to the same level of financial and technical support which this SGP project in partnership with GBM was able to provide to the communities involved.

The Wild Living Resources project on production of eco-charcoal and sustainable utilization of botanicals has received FSC certification. The project supported the CBO to sell its products at hotels and supermarkets in addition to selling products at the parent sisal company shop. The project’s efforts in regards to training, technology transfer, and awareness raising has been very good, but market creation is still nascent. It is difficult to know at this time if this initiative will be sustainable and if it will indeed serve as a good model to replicate but it would seem to have promise at this time.

Replication and scaling up and strengthening of monitoring mechanisms (especially for biodiversity monitoring), if achieved, could broaden impacts, but financial resources remain a critical constraint to replication.

An effective approach which the SGP has taken to promote both replication and sharing of lessons is the organization of annual grantee workshops (one for Mt. Kenya/Laikipia and one for coast) to allow grantees to share their experiences and learn from others. Two NGOs, MCDI and Nature Kenya, received strategic grants of $50,000 each to organize the grantee workshops. Although no workshops took place in 2014, these NGOs organized workshops in 2015 where grantees not only exchanged information about what they are doing, but also got an opportunity to learn about leadership and governance, financial and project management, conflict resolution and M& E plans. These NGOs, with the support of the SGP are also organizing Ecofairs.

One approach which the TET considered to be a very effective one in promotion replication was learning exchanges between communities. We highlight two examples:

The Barefoot College. Although there were some complications with the Barefoot College project in which women from Kenya visited a women’s solar initiative in India, the exchange was catalytic and is the reason why some of these Kenyan communities now benefit from solar energy which they would not have had access to otherwise. There is likely to be continued replication with more women coming on board in future.

The Wasini BMU was visited several times by other BMUs (Bodo and Mkunguni) as well as new groups in North coast of Mombasa wishing to create their own marine conservation areas. Wild living Resources (Kilifi County) has acted as a training centre for groups wishing to create their own nature-based businesses. Schools and some hotel guests also frequently visit the road side shop and the nature trail established by Wild Living Resources. Learning-by doing through community exchanges was reported as beneficial during our visit to Bodo and Mkunguni.

Although there were some good learning exchanges between SGP projects, in other cases interactions which should have taken place did not, perhaps because they were not formalized as a planned SGP activity. As one example, the learning between the Naibunga project and the Mpala ranch project was good with regards to the invasive species project. Communities of Naibunga were amongst the first to get training on rearing of the bio-control agent, and to benefit from sessions on awareness creation on the impacts and management of invasive species. On the other hand, there could usefully have been more interaction between the Naibunga project and the Mpala Ranch project related to Holistic Grazing Management, but perhaps because this was not a planned project activity, it did not take place.

SGP sponsorship of the NETFUND community environment prize was also a strategic way to communicate results (an important first step in promoting replication), and was also effective in bringing more attention to the SGP, especially as the First Lady attended the ceremonies.

Despite these and other good efforts to share information/experiences and by so doing, to promote replication, mechanisms to share SGP experiences and lessons learned still require strengthening. This was mentioned in the MTR as an area which required strengthening and continues to be a constraint at the time of the TE.

Recommendation: Strengthen sharing of experiences and lessons learned in an *innovative* way that will *attract people’s attention,* especially that of your target audience. We recommend avoiding production of lessons learned booklets as these often stay on the shelf. Consider funding a “strategic project” to:

* Develop a soap opera (which are very popular in Kenya) highlighting themes related to natural resource use (human/wildlife conflict, fire in the forest, solar energy is brought to the Girls Rescue Center in a remote village, the farmer who adopts un-sustainable practices struggling to exist as he loses his soil to erosion, the beekeepers association internal conflict of whether to admit women into their society, gangs of poachers and what the local villagers do about it, etc.). Do this in partnership with an actor who can serve as a champion for your cause. Enjoin the private sector on this.
* Sponsor a caravan in partnership with a cell phone or other private company that already uses caravans to help spread the word about the SGP and what it has done/learned.
* Present SGP projects and products at the popular county exhibitions of development initiatives.
* Feature SGP projects at agricultural shows/exhibitions.
* Produce popular posters made by school children.

Whether soap opera or caravan, exhibition, or show, these activities should be done in partnership with youth and the private sector wherever possible.

### **3.1.7 UNDP Comparative Advantage**

UNDP is the administrator of the SGP and as such has a great comparative advantage as the Implementing Agency for the SGPP. Moreover, the UNDP CO has a great deal of experience with GEF projects. It is well informed of all GEF projects in country and periodically convenes all of the project directors of UNDP/GEF and other UNDP projects within the energy and environment area to share information and experience with each other and with UNDP.

Although UNOPS, the Executing Agency for this SGPP, has presence in the country, the UNOPS Focal Point for SGP Upgraded Country Programmes is based in NY. Despite this, the current arrangement works well. Because UNDP does have a solid presence “on-the-ground”, this enables UNDP to support UNOPS as needed.

UNDP has extensive experience working both with Governments and with civil society. UNDP’s mission involves enhancing the well-being of people while protecting the environment and as such it is perfectly suited to be the Implementing Agency for this project.

### **3.1.8 Linkages with other Interventions in the Sector within the Country**

The PROOC indicated that there would be coordination between the SGPP and numerous other initiatives. In most cases there was some form of interaction between these initiatives. The most important of these are described below.

|  |  |  |
| --- | --- | --- |
| **Initiative name and organization(s)**  **(from the PRODOC)** | **Brief description of coordination, synergy, or complementarity with SGP (as described in the PRODOC)** | **Actual linkages made by the SGP** |
| Kenya National Domestic Biogas Program (KENDBIP), a PPP between the Ministry of Energy of Kenya and the Ministry of Foreign Affairs, The Netherlands, HIVOS and SNV | SGP partnered with the KENDBIP to remove technical, information and financial barriers to the adoption of domestic biogas. KENDBIP provided a significant amount of cash co-financing. | There was a very strong and positive coordination with KENDBIP. A significant in-kind contribution was made to the SGP from KENDBIP. KENDBIP is a programme implemented by KENAF, the Kenya National Farmers Federation, and funded by a regional donor-supported project, Kenya National Domestic Biogas Programme (KENDBIP) which was part of the Africa Biogas Partnership Programme. The KENDIP in-kind contribution included developing training manuals for the masons, training the masons, paying masons contribution to install biogas units, and supervising the work of the masons. |
| GEF Western Indian Ocean Land Based Sources of Pollution project, implemented by UNEP with riparian countries | The Wio-Lab project generated a wealth of information concerning Kenya's coastal ecosystems, their threats and potential ways of addressing them. SGP will collaborate with Wio-Lab Kenya's stakeholders and partners to identify and support priority community-based initiatives that contribute to the effective and sustainable management of coastal resources. SGP will contribute to the implementation of the Integrated Coastal Zone Management Plan, a follow up to the Wio-Lab project. | The Kenya Coastal Development Project (KCDP) (WB/GEF) is addressing the Coastal Zone Management Plan. The SGP through its support to BMUs is adding value to the support the same BMUs are receiving from the KCDP and the Department of Fisheries. The coordinator of the Coastal Management project is also a member of the SGP NSC. The UNEP project collaborates with the Ministry of Fisheries which then works on the ground with the BMUs. |
| Promoting Sustainable and Responsible Fishing in Kenya implemented by CORDIO with USAID funding | The project aims at providing recommendations for fisheries' regulations to ensure sustainable fishing methods for Kenya's artisanal coastal fisheries and to empower stakeholders in fisheries management, policy development and advocacy. SGP will look for opportunities to bring about community perspectives to the work of CORDIO and provide feedback on policy implementation by fisher communities. | There was excellent coordination and learning between the SGP and this project as SGP actually supported a CORDIO project. CORDIO now has a direct relationship with SGP and is coordinating the work of the BMUs to address sustainability issues, capacity development and improving governance for fisher groups. |
| UNDP-GEF project on Mainstreaming SLM in Agro-pastoral production systems in Kenya | The project is to provide land users and managers with the enabling policy environment, institutional, financial incentives and capacity for effective adoption of SLM in four agro-pastoral districts. This project is implemented in a different area but there is opportunity for mutual learning and collaboration with SGP. | There was good collaboration between SGP and the SLM project. The SLM project encouraged CBOs from each of the 4 counties in which it was operating (and where SLM training had taken place) to submit proposals and apply for funding under the SLM focal area. Two of those proposals were approved for SGP funding. Ministry officials based at the counties under the Ministry of Agriculture and Livestock continued to work with the CBOs and provide support during implementation of the SGP-funded projects. |
| UNDP-GEF project on Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya, in partnership with the Ministry of Environment and Mineral Resources and Nature Kenya | A new GEF-funded project to improve PA representation in the Eastern Afromontane Hotspot, complementing efforts to strengthen the management of Montane Forests as part of a national strategy to improve the coverage of the PA system. The project will directly bring an additional 95,000 ha of land into PA categories, including unprotected forest lands and reserve forests being managed for production. Opportunities for collaboration and mutual learning between SGP and this project may arise although there is no geographic overlap. | No concrete linkages were formed between the SGP and this project. |
| "Desert Edge", part of Laikipia Wildlife Forum's Bio-Enterprise Development Program, in partnership with the African Wildlife Foundation | A conservation enterprise development initiative that contributes to livelihood improvement in the Laikipia and Samburu regions. SGP will partner with LWF in this and other relevant conservation and land management programs that benefit pastoral and farmer communities in the Laikipia-Mt. Kenya ecosystems. | This project came to an early end. |
| The UNIDO-UNWTO project “Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land-sourced Impacts Resulting from Coastal Tourism” | A GEF-funded project implemented along the coasts of 9 African countries in West and Eastern Africa. It demonstrates best practices and strategies to reduce degradation of marine and coastal environments resulting from tourism-related pollution and contamination. In Kenya, it focuses in the Watamu/Malindi area of the North Coast where SGP will work in GEF-5. | There was no direct linkage between the SGP and this project in the projects the TET visited on the coast. The BMUs were involved in advocacy for beach cleaning and removal of solid waste, but they did not relate this to any UNIDO-UNWTO project |
| GEF World Bank Project "Kenya Coastal Development Project" | The development objective of the Coastal Development Project is to promote an environmentally sustainable management of Kenya's coastal and marine resources by strengthening the capacity of existing relevant government agencies and by enhancing the capacity of rural micro, small and medium-sized enterprises in selected coastal communities. | There was excellent collaboration between the SGP and this project which served to provide the scientific basis for the delineation of LMMAs that were supported by the SGP through support to the various BMUs. Most BMUs visited by TET In the South Coast mentioned this KCDP project as a” good partner”. |

Although there were interactions with these initiatives, there were, with a few exceptional cases noted above, few truly close collaborations between SGP projects and larger GEF and non-GEF projects.

### **3.1.9 Management Arrangements**

The Secretariat

The SGP National Coordination unit (NCU) is customarily referred to as the “Secretariat” in Kenya. With three staff, it is similar in size to upgraded SGP NCUs in Costa Rica (which has three people), Mexico (which had two plus interns), and Peru (which has two), but significantly smaller than the NCU in Ecuador (which has five) or the one in Pakistan (which has four to five).

The Secretariat is comprised of the National Coordinator (NC), the Programme Associate (PA), and a temporary clerk who started seven months ago and whose contract expires in November of this year. All are paid for with SGP funds.

A Community Management of Protected Areas Conservation (COMPACT) project coordinator, paid for by the COMPACT project, served as the SGP Secretariat’s presence on the ground in the Mt. Kenya region for the first part of OP5 (and throughout OP4) until that project ended shortly after OP5 began. The SGP had participated in COMPACT as one of six countries piloting a landscape-level approach to biodiversity conservation in and around World Natural Heritage Sites. Mt. Kenya was the chosen World Heritage Site in Kenya. The COMPACT Coordinator provided significant help to the SGP Secretariat in helping to identify SGP projects, helping communities prepare SGP proposals, helping to monitor SGP projects, and helping communities make linkages with relevant partners. This was a very significant help to the Secretariat especially as many of the SGP projects were in the Mt. Kenya area.

Until last year, the Secretariat also included a driver/clerk. He took early retirement and has been replaced for the time being with the temporary clerk mentioned previously. Before deciding whether to hire another full-time driver/clerk, the Secretariat is waiting to find out if they can afford to do so depending on the OP6 allocation.

It is the assessment of both the MTR as well as of this TE, that the SGP Secretariat requires strengthening to be able to handle the workload as an “upgraded” SGP country programme. Implementation of several of the recommendations made in both the MTR and in this report depends in part on enhancing the capacity of the Secretariat.

Attempts were made following the MTR to strengthen the Secretariat through the recruitment of several UNVs. Identification of the UNVs turned out to be more work for the Secretariat than what it could afford as the Secretariat was required to do the long-listing (not just the short-listing) of the many applicants. As a result, no UNVs were brought on board.

Recommendation: Strengthening of the Secretariat might be cost-effectively achieved through a combination of: a) hiring one additional core staff in the Secretariat to deal exclusively with administrative matters such as payments so that the Programme Associate can focus more on project monitoring and support, b) adopting the Ecuador strategic project approach to enhance the capacity of the SGP to monitor and support projects. In Ecuador, three strategic projects, each of $150,000, were awarded to well-established NGOs in the three geographic areas of the country where SGP projects were clustered. Their job was to do more or less the same thing that the COMPACT Coordinator had been doing for the Mt. Kenya region. It should be emphasized that this approach can only work if: a) projects are clustered to some extent, b) if capable NGOs exist in those areas where the projects are clustered, and, c) if those NGOs are willing to, and have the capacity to, engage in this way with the SGP.

The National Steering Committee (NSC)

The NSC is currently comprised of 9 (normally 12) very capable and dedicated individuals from a variety of institutions and organizations as prescribed in the SGP guidance regarding NSCs.

The main focus of work of the NSC has remained unchanged since the transition to an upgraded programme at the beginning of OP5. The NSC has moved (slightly) toward being a more policy-oriented body in OP5 and being more directive in its relationship with the Secretariat, but perhaps not significantly so. The NSC has, for example, discussed matters such as the desirability of partnering more closely with county governments, and whether or not the same organizations should receive funding more than once (although no clear decision was seemingly taken on either matter, and no plan of action was agreed).

It is important that as an Upgraded Country Programme, the NSC continue to move more in the policy-making direction, placing less importance on reviewing individual project proposals (which has been its main focus to date) and focusing more on guiding the portfolio of projects through the development of the overall SGPP strategy for a given OP, defining the scope of the SGP for a given OP, strategic design of calls for proposals to proactively encourage fit with the strategic design and with issues such as gender mainstreaming, ensuring that an easy-to-use, meaningful and cost-effective monitoring plan is put in place, developing and contributing to implement a strategy to maximize the probability that project efforts will be replicated and scaled up, engaging in fund-raising from private and other non-traditional sources, overseeing the Secretariat, helping to spread the word about the SGP, and helping to champion individual projects with other development partners.

Inherent in the shift to an Upgraded Country Programme, and thus to being considered a Full-Size project, is the responsibility to show impact. Although it can legitimately be argued that supporting demonstrations is a form of impact, it may also be argued that even more might be expected of an Upgraded Country Programme—supporting demonstrations that have impact in their own right. To achieve this result, the NSC should focus on proactively designing calls for proposals so that the OP6 portfolio of projects represents a clear and focused strategy.

It may also be helpful to revamp the project proposal review process in OP6. The practice in OP5 has been for the NSC to review project proposals and to decide on whether or not these will be supported by the SGP. Each proposal is reviewed by three NSC members and they each fill in the proposal review template. The NC then makes the presentation of the proposed project to the NSC following which the three NSC members make their comments. The NSC then discusses and decides on which projects to support through an informal consensus. The process remains fundamentally the same as it was in OP4 although the proposal review template form is being used more than it was.

Beginning in mid OP5, the NSC required proposals to be accompanied by a letter of support from a line Ministry or a key stakeholder to ensure the legitimacy of the project proponent organization and to ensure that what they say they are doing is really what they are doing. Although helpful, the NSC has found that the letter is not sufficient as it is clear that the authors of such letters have not always reviewed proposals to ensure budgets are appropriate and activities can realistically be implemented within stipulated time frames. The NSC now plans to demand this type of proof in addition to the letter.

Recommendation: Rather than depending on these letters and the NSC to technically review project proposals, it may be practical to support a strategic project to contract out with a university or other such institution which could provide specialist technical expertise to screen proposals, do ground truthing of proposals which appear to be viable (i.e., visit proposed project sites to see what is going on there on the ground and to visit with those organizations that would be involved in the project and to assess the technical validity of the proposal), and then provide its recommendations to the NSC regarding which proposals to approve. This would only be appropriate if the NSC has described a clear strategy for OP6, and if it has developed specific criteria which would shape calls for proposals.

Recommendation: In keeping with a transparent approach, the Secretariat should inform the NSC of all proposals received, not just those that pass the initial screening by the Secretariat (as is the current practice), and should indicate the reason those rejected are not being brought to the NSC for consideration.

Project Coordinators

Each individual project has a Project Coordinator who is either a local person from one of the CBOs involved in the project or is from a participating NGO. In addition, each project has someone who acts as the project accountant. Both the Project Coordinator and the accountant are paid through the individual project resources. There is no readily available summary at this time regarding what percent of the project coordinators and project accountants are women.

## **3.2 Project Implementation**

### **3.2.1 Adaptive Project Management**

There are some good examples of adaptive project management. The KDA project, for example, decided to use a different biogas digestor model than what had been conventionally used. Although this seems like a detail, it was not. It made all the difference in giving the necessary proof to banks that the farmers requesting loans to purchase the biogas units were indeed “bankable”. As the new units were plastic, they were moveable and could thus serve as collateral whereas the conventional units were masonry and could not be moved. These types of units were also much quicker to install and, as it was important that the farmers who took out loans see immediate benefits, this was helpful. By being able to use the biogas digestors sooner, they also stopped using firewood sooner, thus saving more trees. Another case of adaptive management in this same project was that initially some farmers were having problems getting the units to function properly and so they were unhappy and this could have easily translated to biogas getting a bad name instead of promoting it. Recognizing the danger, KDA then started requiring farmers to go to training on how to use the biogas digestors and also to learn about the environmental benefits to be derived. They had to do this training to be eligible for the loan.

There are also examples of the Secretariat applying adaptive management to the projects. In one case, the NGO in charge of the project was changed because the original NGO was not performing, in another case a project was closed, another has been put on hold until the situation is clarified. This too is a form of adaptive management, although not preferred if other adaptive management measures are possible. Some problems may have been prevented with closer monitoring. Adaptive project management depends in large part on good monitoring – you must know what is happening on the ground before you can decide to take action to adapt.

### **3.2.2 Partnership Arrangements**

The NGOs implementing SGP strategic projects are capable, committed, and stable, and their participation in the SGP has itself been strategic in maximizing probability of replication of successful efforts and of sharing lessons learned. Many of the NGOs involved in the SGP projects have more than thirty years of experience of working with communities on environment issues.

KDA, for example, has 38 years of experience and is an extremely capable group with tremendous experience and commitment. The Green Belt Movement (GBM), as another example, is known both nationally and internationally for its work in the area of reforestation and working together with local communities. It will certainly continue to operate for years to come and can help promote replication of good practices in other efforts in which it is involved even when the SGP is not. Likewise, the Coastal Oceans Research and Development in the Indian Ocean (CORDIO), the organization implementing the strategic project, “Mainstreaming Biodiversity Conservation into Marine Ecosystems and Fisheries Management” is a capable organization coordinating work for four local BMUs in the Diani/Msambweni areas and successfully facilitating dialogue between communities and local institutions at the interface of science-based-knowledge and local community-based actions.

Some good partnerships that may not otherwise have formed have been developed and/or strengthened as a direct result of SGP support and this will enhance sustainability, replication and scaling up of efforts. The Wasini BMU now has a strong partnership with KWS. The latter are managers of the adjacent Kisitu-Mpungiti Marine Park. The relationship between the two was established not without pain and difficulties because of perceived competition to attract paying visitors to this rich marine biodiversity area but is now considered to be mutually beneficial by both the BMU and KWS in part because of the SGP project collaboration.

The partnerships described above have been helpful in contributing to the SGP success in Kenya and such efforts should be continued in OP6. There are, however, also other partnerships that should be considered which may be critical to achieving the desired impact, to enable scaling up of good efforts, and to enhance their sustainability. These are briefly described below.

Partnerships with County Governments

To enhance replication, scaling-up and impact of SGP projects, it is recommended that the SGP pilot partnerships with select county governments. As partnerships with county governments may be an important mechanism to help ensure impact and scaling up of SGP initiatives, especially in light of the devolution policy recently adopted in Kenya which devolves decision-making authority and funds to County governments, the Kenya SGP may wish to place priority on this by setting aside a certain percentage of the OP6 allocation to pilot this type of partnership. To maximize chances of a successful pilot, it may be helpful to define criteria for success upfront. These criteria and even the decision to set aside a certain percentage of the allocation (or not) are clearly decisions to be taken by the NSC. In an attempt to be helpful and practical, the TET has provided some examples of eligibility criteria that could be considered should the NSC decide to move in this direction. Criteria might, for example, include: a) those Counties containing globally significant biodiversity, b) those Counties who provide in-cash co-financing, c) County governments who show willingness to incorporate/support the SGP project theme into their County development plans (e.g., if SGP project is about solar energy, the County government should be willing to incorporate solar into their County development plan)[[8]](#footnote-8), d) willingness to actively participate on the project PIC, e) demonstrated capacity of the County government regarding reporting, monitoring, accountability. Although it may be tempting to favor those counties with the greatest needs, the recommendation of the TET is to avoid doing this during a pilot and instead to favor, during the pilot, those Counties with the greatest capacity. To keep management costs within a reasonable range, it will be necessary to continue to cluster projects within a few Counties.

Partnerships/Meaningful Links with other Larger-Scale Projects/Initiatives

Another important way to enhance the probability that a SGPP will serve as a viable demonstration or will actually have an impact is by linking with other ongoing larger scale projects, both GEF and other. A good example of this was the Wasini BMU project which linked with the GEF/WB supported Kenya Coastal Development Program to promote marine conservation. The GEF/WB project helped strengthen the capacity of the BMUs and supported the development of the scientific baseline, both activities which helped lay the foundation for the SGP project to effectively focus its efforts on rehabilitation of the community conservation area. Had it not been for that partnership, the SGP project would have been less successful.

Partnerships with Private Sector

Sustainability appears to be significantly enhanced in those cases where CBOs are linked in some way with private sector. The SGP projects have not been catalytic in facilitating these partnerships but they have contributed to strengthening them. As one example, the existing partnership between the Naibunga Community Conservancy and the Ol Jogi Ranch did not come about because of the SGP but may have been strengthened by the SGP project for Naibunga. This may turn out to be one of the most important results (to date) of that SGP project. Likewise, the partnership between Segera and the Zeitz Foundation existed long before the SGP project, but that project helped further strengthen that relationship. Another example is the Wild Living Resources project has a partnership with the private sisal plantation company which allows them to sell eco-charcoal at its shop outlet along the Mombasa-Kilifi road. Although Wild Living Resources is a private entity formed independently of any support from SGP whose business is to promote the production and sale of nature-based products, its partnership with the SGP has enabled the increase and sale of such products, including the eco-charcoal that is produced by participating local communities, thus benefitting these communities. Yet another example is that of the KDA project which partnered very successfully with Community Village Banks and with other financial institutions.

Partnerships with Universities

There are many ways to involve university students in SGP projects and thereby enable providing greater assistance to communities and to the environment than what could be provided with SGP resources alone while at the same time enhancing experiential learning by university students and creating greater awareness in this sector of youth regarding the situation of the environment and of local community efforts to enhance their own livelihoods while conserving the environment. The example of the Pwani University involvement with the Wild Living Resources in researching medicinal properties of plants and other plant uses is a good example.

Recommendation: Develop partnerships between the SGP and universities to facilitate university graduate student involvement in SGP projects whereby they can do their thesis or doctoral dissertation work in partnership with an SGP project. One way to facilitate/promote this would be through use of a SGP “strategic project”. Universities would provide the direction and oversight of the students as well as partial funding (if necessary) of the cost of the student’s field work whereas SGP could provide a small scholarship from the strategic project to cover some of the costs. The research would need to be relevant to an existing SGP project and would be a complement to the efforts of that project.

### **3.2.3 Feedback from M&E used for adaptive management**

Individuals with the right type and level of expertise must be involved in M&E or a lot could be missed. In some SGP projects, those doing monitoring are familiar with a topic (e.g., beekeeping) but they are not specialists in the area, and although they can monitor a project to determine if the goods and services are being delivered, etc., they may not be able to effectively monitor in other ways. As an example, the Men’s Fellowship group which was engaged in bee-keeping as part of the SACDEP project planned to expand from 30 beehives to up to 1000 and planned to put all these hives on one farmer’s land (where the 30 hives were already placed). They had not received adequate technical monitoring (or training) to understand that this number of hives in one place would far exceed the carrying capacity. Members of this group might have benefitted from more technical monitoring (not merely monitoring to see if goods and services were delivered) and may have also benefited from an exchange with another SGP project --the Karura CFA which is successfully producing honey in the Karura forest.

Quality control of products produced with support of SGP could be improved. As an example, the quality of several forest management plans whose development was supported by the SGP could be better. As another example, although the KWCA project was a very successful one in terms of what it was able to accomplish in removing critical barriers and in its awareness building activities, some of the publications produced by that project are not as good as one would expect. The publication on “Best Practices Related to Conservancies” is one such example. Although the publication mentions practices such as, for example, Holistic Grazing Management, there is insufficient information for one not familiar with that approach to understand what it is really about and no links are provided so that the reader can get more information if interested. Quality control of products is an aspect of monitoring.

Recommendation: The various individual project Technical Advisory Committees (TACs), which should review products to ensure quality, may need to be strengthened (not by training of existing members but rather by ensuring that persons with appropriate technical expertise are on the TAC).

### **3.2.4 Project Finance**

Financial management of the Project was generally good but there were some challenges. There was an eight month delay in releasing funds at the outset of the Project which was due to a delay in obtaining the GEF CEO signature on the PRODOC. This caused subsequent delays.

Other delays in disbursing funds were caused by the Secretariat, the UNDP Finance Office, and the grantees themselves. Delays caused by the SGP Secretariat were due to workload issues. This subject is covered in detail in the project summary section of this report. The UNDP/Kenya Finance Office also caused numerous delays as a result of mistakes in issuing payments. This was corrected toward the end of the second year of operations of OP5. Finally, delays were also caused as a result of grantees not providing complete information required on vendor forms, without which disbursements could not be made.

It has taken on average between 3 to 5 months from the time a project is approved until the time the first disbursement is issued. This period needs to be shortened somewhat to better approximate the average of SGP worldwide.

Delay in disbursement of TRAC funds. There were, unfortunately, also significant delays in the disbursement of UNDP TRAC funds. As of the signing of the PRODOC, UNDP had committed a total of $1,000,000 in TRAC funds to the SGP (September 2011 letter from UNDP Resident Representative). This was a very significant amount and the Secretariat decided to use the TRAC funds for projects instead of for more conventional uses -- such as buying equipment. This was a thoughtful act on the part of the Secretariat as the intent was to directly benefit more communities. The problem was that neither the Secretariat nor the UNDP CO could figure out how to disburse the TRAC funds for this non-conventional purpose until at least halfway through OP5 when the new Team Leader for Energy and Environment came on board. It was then discovered that UNDP could sign an MOU with UNOPS and transfer the funds from UNDP to UNOPS who could then transfer the funds to SGP for the projects. Unfortunately, this delay resulted in significantly less TRAC funds for the SGP than would have been available had the matter been sorted out earlier. TRAC funds had to be committed and therefore were used to support other projects during the almost two years it took to figure out how TRAC funds could be used to support SGP project activities.

Assessing procurement bids. Some project funds are not being used as efficiently as they might otherwise be because some CBOs do not have the capacity to properly assess procurement bids. For example, the wind turbine purchased by the CBO in Ewang’an broke and is now unusable because it was either the wrong design or was inappropriately placed. In the Rumuruti project, the charcoal briquette pressing machine which was purchased was an inappropriate design and therefore has never been used.

External Audit

No external or internal audit was conducted during OP5. Prior to OP5, external audits of GEF-supported projects were routinely financed with GEF funds. During OP5, the GEF Secretariat indicated that (at least for Upgraded Country Programme projects) audits would no longer be financed with GEF funds, and that the cost of these should be incurred by the GEF Implementing Agency for each project. The audit was not budgeted for in the PRODOC because, according to the GTA for Upgraded SGPs, UNDP was unable to provide the funding for it.

Just as with other UNDP projects, external audits of SGPPs should be done. Project evaluations are not audits. The TET understands from the GTA for Upgraded Programmes that external audits will be financed for SGPPs by the GEF in OP6.

Co-Financing

Co-financing commitments at project signing and actual disbursements are in Table 3 below.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sources of Co-Financing** | **Name of Co-Financier**  **(source)** | **Type of Co-financing** | **Amount at design**  **(USD)** | **Disbursed as of time of TE**  **(USD)** | **Difference**  **(USD)\*** |
| National Government | Ministry of Environment & Natural Resources | In-Kind | Not specified | Not quantified  (see text below) | Not possible to calculate |
| Other | Kenya National Domestic biogas Program (KENDBIP) | In-Kind | 1,400,000 | Not quantified | Not possible to calculate |
| GEF Agency | UNDP | In-Cash | 1,000,000 | 67,000 | (-) 933,000 |
| “ | UNDP | In-Kind | 200,000 | Not quantified  (see text below) | Not possible to calculate |
| CBOs and NGOs | SGP Grantees | In-Kind | 2,900,000 in total (but not specified what amount of this would be in-kind) | 1,066,191 | 2,360,971 total in-kind and in-cash. Cannot calculate as in-kind and in-cash were lumped together at design stage. |
| CBOs and NGOs | SGP Grantees | In-Cash | 2,900,000 in total (but not specified what amount of this would be in-cash) | 1,294,780 | 2,360,971 total in-kind and in-cash. Cannot calculate as in-kind and in-cash were lumped together at design stage. |
| Total |  |  | 5,500,000 | 2,727,971 plus un-quantified amount | Not possible to calculate given gaps cited above |

\*Positive Difference: actual more than committed; Negative Difference: actual less than committed

Table 4: planned and actual co-financing Secured by the project by type and source

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Co-financing  (type/source) | UNDP own financing (US$) | | Government  (US$) | | Partner Agencies  (SGP Grantees & KENDBIP)  (US$) | | Total  (US$) | |
| Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual |
| Grants | 1,000,000 | 67,000 | 0 | 0 |  |  | 1,000,000 | 67,000 |
| Loans/Concession |  |  |  |  |  |  |  |  |
| In-kind support | 200,000 | Un-quantified |  | Un-quantified | 1,400,000  KENDBIP | Not quantified | 1,600,000 | Un-quantified |
| Other  (in-kind and in-cash lumped together) |  |  |  |  | 2,900,000 total (not specified what amount would be in-kind or in-cash at design) | 2,360,971 total in-kind and in-cash. In-kind and In-cash were lumped together. | 2,900,000 | 2,360,971 |
| Totals | 1,200,000 | 67,000 |  |  | 4,300,000 | 2,360,971 | 5,500,000 | 2,427,971 |

As seen in Tables 3 and 4, there was a shortfall in *actual* versus *planned* in-cash co-financing related primarily to lesser in-cash contributions received from UNDP (99.9% less than amount committed at project design stage) and from SGP grantees. It is not possible to know what the actual *in-cash* shortfall was from SGP grantees (as in-cash and in-kind were lumped) but the *total* shortfall from SGP grantees amounted to $539,029. It is not possible to calculate the total shortfall of in-cash donations received from all parties compared to the amount that was committed at project signing because of the lumping together of in-cash and in-kind.

The GOK contributed significant in-kind contributions, which consisted of active participation on the NSC including project visits, and the Office of the OFP in the Ministry of Environment has visited several projects, Line ministries participate in several TACs, agricultural extension staff of the MOALD have assisted projects, KFS staff have helped develop management plans together with the CFA for both terrestrial and mangrove forests in several projects, the Government participated actively in co-hosting events together with the SGP including the International Day of Biodiversity in 2015 and the World Environment Day in 2013. Unfortunately, as these important in-kind contributions were not quantified, they cannot be properly accounted for.

The Kenya National Domestic Biogas Programme (KENDBIP), a programme implemented by the Kenya National Farmers Federation, and funded by a regional donor-supported project which was part of the Africa Biogas Partnership Programme, provided important in-kind contributions which included developing training manuals for masons, training masons, paying masons to install biogas units, and supervising the work of the masons. These important in-kind contributions were not quantified and as a result cannot be properly accounted for.

Tracking of in-kind co-financing requires strengthening. No noticeable progress has been made in this area due in part to lack of priority assigned to it by the Secretariat and the NSC, and in part to lack of knowledge of a cost-effective way to account for in-kind co-financing.

One helpful practice noted by the TET is that the Secretariat attaches guidelines related to co-financing accounting to the template for project proposal submissions as a help to projects in figuring this out. This is a good practice which should be continued and complemented with further instruction.

### **3.2.5 Monitoring and Evaluation: design at entry and implementation**

MTR and TE Evaluations

The MTR was originally to take place around July 2013 but actually took place more than a year after that (October 2014) due primarily to the late start-up of the SGPP. It would not have made sense to conduct the MTR before that time as not enough actual Project implementation time had passed.

The TE took place in June 2015 only eight months after the MTR evaluation mission and during the same month that the SGPP was originally to have ended. Given that a six month extension was granted to the SGPP, the TE mission actually took place six months prior to SGPP completion.

This timing is in accordance with the UNDP Guidance for Conduction terminal Evaluations of UNDP-Supported, GEF-Financed Projects (Evaluation Office, 2012), which stipulates that TEs must be carried out during the period 6 months before and 6 months after project operational closure. Ideally, however, TEs should be scheduled so that the evaluation mission occurs during the last three months prior to project operational closure.

As the Project was extended for six months, it would have been best to delay the TE another 3 to 4 months. This was not possible because, due to pressures arising from the national negotiations around the STAR allocation, the PIF for OP6 had to be submitted by end of July and in order to submit the PIF the GEF requires that the TE for the previous phase (OP5) be completed. This situation is far from ideal as: 1) it has only been 8 months since the MTR, 2) it provides limited opportunity for the results of the TE to feed into the design of OP6, 3) as there is still significant time left in OP5, the results documented in the TE will not be comprehensive as more will be achieved in the last 6 months of the project which will not be reflected in this report, 4) the NC had not prepared a Project Terminal Report and quite a lot of information had not been collated at the time of the TE making it more difficult for the TE to focus on critical assessment and spending more time on basic data gathering therefore not a completely cost-effective approach to the evaluation.

Notwithstanding these shortcomings, the TET felt we had a good opportunity to share thoughts and suggestions during our visit and we have confidence that the NC was very attentive to these and that the NSC is aware of the main recommendations made by the TET and is incorporating many of these into the design of OP6 even without the benefit of the written report.

Project Monitoring Visits

The NC has visited most of the projects in OP5. The Programme Associate has visited fewer, around 15 or so. When visits are made, usually two projects are visited in one day, leaving only about 3 hours/visit. There have been slightly more project visits by NSC members in OP5 compared with previous OPs. NSC members have accompanied the Secretariat on approximately 40% of these visits and have also visited projects on their own.

More in-depth project site visits are needed. A visit by the Secretariat/NSC members of a few hours is not enough to get a good idea of what is going on in the project. Project monitoring needs to be significantly strengthened to enable the Secretariat and the NSC to know what is actually happening on the ground with respect to the projects. One cost-effective way to provide sound project monitoring is to adopt the strategic project approach to monitoring as in the Ecuador SGP. This can also help improve validation of reports submitted by projects.

Use of the METT

The METT Tracking Tools were not completed even though one of the recommendations of the MTR was to do so before the TE. The Secretariat explained that this was not done because the METT was never “adapted” to community-managed areas as was initially planned, and therefore was not considered a useful tool.

It was, in the opinion of the TET, inappropriate for the Kenya SGPP to plan to develop an “adapted” METT. If such a significant modification of the existing tool is required to make it relevant, this should have been brought to the attention of the GEF. This is not something an individual project should do.

It should be pointed out, however, that there are many community-managed and co-managed reserves in existence in the world today and the METT has been used in many of these areas. The TET does not agree that the METT could not usefully have been applied at the individual SGP project level.

Applying the METT at the level of the SGPP itself is a different matter. This would be, in the opinion of the TET, an inappropriate use of the tool.

Project Technical Advisory Committees

Beginning in OP5, every SGP project was required by the Secretariat to establish a TAC. According to the guidelines, TAC members should be from the local area, they should have the relevant technical capacity, and should provide accountability so that the CBO is accountable to someone other than just the Secretariat. The Guidelines recommend that one of the members be from the County Government.

Establishment of the TACs was a good strategy and their existence has been helpful in monitoring projects but in some cases, the technical monitoring is still insufficient, both in regards to activities as well as products produced.

Mid-term self-evaluations

The NSC began in mid OP5 to require all projects to submit mid-term self-evaluations before they could receive their second disbursements. This is a good practice. There are still, however, significant shortcomings in reporting and monitoring.

* Projects are using mostly process-oriented (i.e., delivery of good and services) indicators instead of impact-indicators. Process indicators must also be monitored but they alone cannot tell the full story.
* There is inadequate validation of reports submitted by projects to the Secretariat. Information submitted by the projects regarding co-financing and other matters is not verified and is routinely transcribed and compiled into SGPP reports.

Impact monitoring

Greater effort regarding on-the-ground impact monitoring (not just monitoring of whether the goods, services and activities of a project are being delivered) would be helpful, and the most cost-effective way to undertake this would be to help communities develop simple tools for monitoring and to involve communities in regular impact monitoring.

Recommendation: It is important to develop simple monitoring tools for use by projects and it is important for projects to use both process-oriented and impact-oriented indicators. It is also important to be concrete. For example, instead of “the capacity of the Mariana Forest CFA in resource mobilization was enhanced”, give the facts. Say instead, “the Maraina Forest CFA has submitted 2 proposals to prospective donors in the 12 months following their training in resource mobilization compared to having submitted only one proposal for funding prior to that training. The success rate of the 2 submissions is still unknown but will be 50% at best. They have not heard back on one (the one submitted to the SGP) and were unsuccessful with the one submitted to UNCD. This does not represent a significant change compared to pre-resource mobilization training”.

## **3.3 Project Results**

### **3.3.1 Overall Results** (\*)

**Attainment of Project Objective**

The objective of the project as stated in the logframe was “Global environmental benefits secured and livelihoods improved through community based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes”. Six indicators (as described by the project), and targets to be achieved by the end of the project associated with each of the indicators, were described for use in evaluating whether or not the objective was achieved. The targets for each objective indicator are presented below followed by the actual achievement of each. The baseline column has been omitted for space reasons but the complete logframe including the baseline is presented in Annex II.

|  |  |  |  |
| --- | --- | --- | --- |
| **Indicator** | **End of Project Targets** | **Achievement of Targets by time of TE According to Information Provided by the NC** | **Status**  **(TE Assessment of Achievement)** |
| Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation in:  Mt. Kenya Forest Reserve and buffer zone  Laikipia rangelands  Mangroves  Marine areas | 30,000 hectares of forests sustainably managed in accordance with the Forest Act of 2005  20,000 hectares under community conservancies in Laikipia with effective management and securing wildlife corridors  5,000 hectares of mangroves conserved by communities  10,000 hectares under community-managed marine conservation areas | 44,080 ha of 5 forests within Mt. Kenya put into sustainable management in accordance with the Forest Act of 2005 by having the following CFAs supported to develop Participatory Forest Management Plans (PFMPS). (Kiangombe2104.40ha; Kianjiru 1004ha;Chuka 23,492.00; Mucheene 10,200.00; Marania 7280.00).  5 group ranches in Laikipia adopting holistic grazing as a tool for effective management within 17,000 ha of community conservancy. However, community facing difficulties with the holistic approach.  Mokicfa –1,232 ha of Mombasa Kilindini mangrove forest placed under sustainable management.  Mwabofu CFA created for conservation of 236 ha terrestrial forest and 350 ha of mangrove forest.  Wasini – 500 ha  **Total – 2082 ha** of mangrove conserved by communities.    The following BMUs have either recently established LMMAs or have strengthened existing ones.  Kibuyuni 2561 ha, Vanga 2914 ha, Mkunguni 1027ha (new), Munje 2000 ha (new), Shimoni 300ha, Majoreni 1200ha, Mkwiro 300ha, Wasini 352 ha (new)  **TOTAL 10,654 ha** under community managed marine areas | Unable to determine given information provided. It is not possible to know if, as a result of having developed management plans for these forests, they are indeed now “sustainably managed”  Partially Achieved. According to information provided, the number of hectares under community conservancies in Laikipia is 3,000 less than targeted. No evidence has been provided to indicate that the Conservancy is effectively managed although the TE visit to the area would indicate that it is not yet being “effectively managed”. No information has been provided that would allow the TET to determine whether or not wildlife corridors have been “secured” and it is unclear what is meant by “secured’  Partially Achieved. 42% of total hectarage of mangroves conserved by communities according to information provided. (The target refers to “an additional” 5,000 ha over and above the initial 6,600). As is the case with the previous indicators, it is not possible to determine from information provided if these mangroves are now actually conserved or if they have merely now been designated as conservation areas, or perhaps in some cases, even this has not yet happened and what is referred to as “conserved mangrove’ really refers to the legal establishment of a BMU.  Achieved |
| Increase in land area with improved management practices in pastoral and agricultural lands in ASAL  Increased application at community level of legal and regulatory frameworks that integrate SFM principles | 60,000 hectares under SLM practices  100 ha with increased tree cover  At least 50% of participating communities obtain permit from KFS under the Charcoal Rules | 57 ha in Samburu county, Kivulini in Isiolo – 30,000 ha; Sugutan – 19,000 ha  **Total – 49,057 ha** under SLM practices  37 ha with increased tree cover under the FAN, TiLT and WLR projects.  Less than 20% of participating communities obtain permit from KFS under the charcoal rules. | Partially Achieved. 82% of target area “under SLM practices”.  Partially Achieved. (37% of target). “Increased” tree cover is vague and no Google images were made available as indicated in the “Source of Verification” in the complete logframe.  Not Achieved. |
| Increased number of communities earning an income from sustainable land and resource use with due consideration of biodiversity | At least 10 additional communities in Mt. Kenya, 10 in Laikipia northern rangelands, and 8 at the coast will earn an income from sustainable livelihood initiatives. | 18 additional communities Mt. Kenya earn an income from SLM initiatives as follows:  Mikaro bee (2), SACDEP (3), GBM(8), Yiaku (4), SCODE (1)  14 additional communities in Laikipia  Segera (2) , FSK (4), Sadhana (1) , TiLT (3), KOAN(2), Ewaso Narok WRUA (2)  7 additional communities at the Coast  WLR (3), TYB (4) | Achieved |
| RE policies and regulations adopted  GHG emissions avoided | 1 demo  700 new units (SGP direct)  6,650 new units (replication)  68,000 tons of CO2e avoided | Mutunguru micro-hydro demo project  550 biogas new units installed with SGP funding; 5670 units installed by KENBDIP between 2012 and 2014 in the Mt. Kenya region. | Partially Achieved.  79% of SGP units installed  85% of KENDBIP units installed  No data provided to indicate CO2 emissions avoided |
| Increased proportion of CBOs capable of developing eligible SGP projects as a proxy to their ability to diagnose and understand global environmental problems and of developing local solutions | Increase in percentage of eligible proposals:  Mt Kenya region (60%)  Laikipia region (50%)  Coastal region (60%) | No information provided | No assessment possible as no information was provided |

Reviewing the achievements made by the SGPP during OP5, according to the indicators and targets established and the information provided by the monitoring system regarding actual achievements, 2 (18%) of the project objective targets were achieved, 5 (45%) were partially achieved, 1 (9%) was not achieved, and information is not available to assess whether 3 (27%) were achieved or not. It can thus be said that the project objective was partially achieved.

**Achievement of expected outcomes**

During OP5, the Kenya SGPP worked with hundreds of communities in three main geographic areas although there were also outlying projects in other areas of the country. The SGP worked in diverse ecosystems including montane forest, mangrove, coral reef, and savannah, all of them globally significant and all of them endangered nationally and some endangered globally as well.

Within these areas, the SGPP contributed to the conservation of:

* 1,440 ha of montane forest in the Mt. Kenya and Aberdares Mountains
* 148 ha of mangrove along the coast
* 5,926 ha of coral reef off the coast of Mombasa
* 20,257 ha of savannah
* 1,702 ha of small-scale agricultural farm holdings

The SGPP funded and/or managed 69 projects and worked with many diverse communities in generating income through sustainable production practices. These community-based projects fell primarily into the following thematic groups:

* Biogas production & use
* Solar and wind energy (20 communities, 1,192 families)
* Bee-keeping/honey production (22 communities, 995 families)
* Green Charcoal production (105 communities, 3,520 families)
* Agroecological production using sustainable agricultural practices and systems aimed at maintaining soil productivity and conserving plant genetic resources while producing food and generating income (310 communities, 3,090 families, 6,183 ha)
* Mangrove conservation (52 communities, 566 families)
* Coral reef restoration (5,926 area of corals)
* Sustainable artisanal fisheries (33 BMUs, 818 families)
* Community-based nature/wildlife-related tourism (40 communities, 2,270 families)
* Non-timber forest products including moss collection/sale, baskets for harvesting tea, handicrafts, (19 communities, 821 families)
* Pisciculture using native trout species (4 communities, 92 families)

RATING OF OVERALL ATTAINMENT OF RESULTS: SATISFACTORY (5)

### **3.3.2 Relevancy** (\*)

SGP projects are very responsive to the Government’s strategic priorities. As anticipated in the PRODOC, the SGPP was fully aligned with the objectives of the Government of Kenya Vision 2030, the country's development blueprint for the period 2008 – 2030, the National Biodiversity Strategy and Action Plan (NBSAP) launched in 2000, the SGPP supported community-based interventions described in the National Action Program (NAP) - A Framework for Combating Desertification in Kenya, which has been the guiding framework to address land degradation in the country and SGP projects in the Laikipia region are relevant to the National Policy for the Sustainable Development of Arid and Semi-arid Lands (ASAL) of Kenya developed in 2007.

Numerous SGP projects support CFAs and BMUs. CFAs and BMUs have been established as a result of Government’s enactment of legislative measures to allow for management of natural resources by communities and co-management of natural resources between local communities and government entities.

RATING OF RELEVANCY: R

### **3.3.3 Effectiveness and Efficiency** (\*)

This section provides an assessment of how well project Outcomes were achieved using the GEF rating scale of HS = Highly Satisfactory (6); S = Satisfactory (5); MS = Marginally Satisfactory (4); MU= Marginally Unsatisfactory (3); U = Unsatisfactory (2); HU = Highly Unsatisfactory (1). The rating is based not merely on whether the target numbers set in the logframe were achieved, but also an assessment of the quality of those achievements.

Table 5: Evaluation of Achievements of Expected Project Outcomes at project end

|  |  |  |  |
| --- | --- | --- | --- |
| **Outcome 1:** Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors | | | |
| Indicator | Target | Achieved as of time of TE according to information provided by Secretariat | Status |
| 1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests) | Six new CFAs  Five new Forest Management Plans integrating BD developed  Three new Forest Management Agreements signed between local communities and KFS and under implementation | 3 new CFAs established: MOKICFA, MWABOFU, Dakatcha  5 CFAs within Mt. Kenya with new Forest Management Plans that integrate BD; 2 in lower Aberdares and 2 at the Coast.  Support given to 8 CFAS for FMA development, negotiation and signing. 3 Forest Management Agreements (Chehe, Kiandogoro and Zaina) have been signed.  Adapted METT not developed, so no increase in METT scores.  3 LMMAs (Wasini, Mkunguni, Munje) established and managed by BMUs. All 3 have management plans, but only Wasini is under implementation. Capacity of other BMUs enhanced for BD conservation, such as Vanga and Kibuyuni by EAWLS and Mkwiro, Shimoni and Majoreni by ANO.  LMMA policies reviewed and recommendations for legislative guidelines were developed by CORDIO in collaboration with State Dept of Fisheries. These will be incorporated into national fisheries guidelines for establishment of community marine conservation areas in Kenya.  CORDIO developed and produced an education and awareness training tool kit for establishment of marine Community Conservation Areas. | Partially Achieved (50%)  Achieved  Achieved |
| 1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area | At least 20% increase in METT scores | There is no way of assessing this as the METTwas not used |
| 1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity | 4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation  LMMA policies reviewed and proposal for regulatory framework developed | Partially Achieved (75% of target # of LMMAs established and being managed by BMUs. Only 25% (1 of 4) with management plan under implementation.  Achieved |
| **Outcome 2:** Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods | | | |
| Indicator | Target | Achieved as of time of TE according to information provided by Secretariat | Status |
| Increased number of communities contributing to identify and prevent the spread of IAS in rangelands | At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS | At least 10 pastoral communities in Laikipia taking action to prevent, detect and control IAS.  Surveys of Invasive Alien Plants completed in the whole of Laikipia County; Distribution maps under development; Guide on 40 invasive alien plants in Laikipia County in development – factsheets completed; Two meetings on invasive alien plants in Laikipia; Biocontrol agent for *Opuntia stricta* released after permission granted from KEPHIS and NEMA; Community involved in mass rearing and dissemination of biocontrol agent for *Opuntia stricta*; Training on invasive alien plant identification planned for within the next 2 months once ID Guide is completed | Partially Achieved (50%) in the case of the pastoral communities. Not possible to know from information provided what the status is in regards to agricultural communities. |
| Increased number of communities produce charcoal sustainably and legally | At least 100 communities aware of the new charcoal rules  At least 10 communities producing and selling charcoal sustainably and legally | Awareness created for 115 communities as per the following (number) of communities: FAN (90) TiLT (15) WLR (10) | Achieved |
| Increased percentage of families/community groups implementing SLM practices in ASAL target areas  Increased or diversified investment in SLM at the local level | 20% increase of families/groups implementing SLM practices  Four investment types for SLM at community level introduced or strengthened. | Percentage Increase of families implementing SLM practices is as follows: Segera 40% , FSK, 42%, TiLT 55%, Vijana Pamoja 20%  Five investment types for SLM introduced or strengthened as follows:   * Roof water harvesting - Segera * Water pans in Muranga * Terracing - muranga * Tree and fruit-tree planting * Planting of napier grass and bamboo along riverine | Achieved |
| Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments. | At least 5 new or strengthened sustainable income generating activities | 8 new or strengthened income generating activities as follows:   * Wonderbag (Segera) * Kitchen gardens (VP, Segera) * Conservation agriculture (TiLT) * Bead-making (Yiaku) * Commercial organic farming (KOAN) * Traditional high value crops (TilT, FSK) * Chicken rearing (TiLT) * Energy efficient stoves (UENN WRUA, SCODE) | Achieved |
| **Outcome 3:** Local communities implement low carbon technologies that address their energy needs and mitigate climate change | | | |
| Indicator | Target | Achieved as of time of TE according to information provided by Secretariat | Status |
| Increase in credit availability for rural families and business that want to adopt RE  Increased number of trained personnel able to build and maintain biogas digestors  Number of small-scale RE project meeting FIT requirements | At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments  An additional 10 people able to construct and provide maintenance to biogas units  FIT demonstration meets FIT requirements | 6 new financial institutions offering credit:  Faulu MFI –buys stoves for its members and the members re-pay within 6 months (SCODE). Biashara and TAIFA SACCOs have availed credit for their members. 3 thru K-DA support. 107 farmers received credit loans to install biogas. A further 45 in the Loan application process awaiting installation. Total of Khs.8.3 million (USD 86,000) disbursed to 3 Village Banks involved in on-lending of biogas loans to its members  40 masons trained in the Mt. Kenya region by the KENBDIP program.  Mutunguru hydro power generation – F-I-T demo. Feasibility studies completed. Application for licences and permits on-going. Environmental and social impact studies completed. Technical drawings and procurement guidelines underway. Way leaves and agreements acquisition under way. | Achieved  Achieved  Achieved |
| **Outcome 4:** Communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced. | | | |
| Indicator | Target | Achieved as of time of TE according to information provided by Secretariat | Status |
| Percentage of grantees that achieve their project outcomes  Increased public awareness of global environmental issues in target areas  Increased number of grantees applying adaptive management to their grants | 90%  20% increase over baseline value  80% of grantees applying adaptive management | 91.5% of grantees will achieve project outcomes. 6 projects have faced challenges and will not achieve project outcomes  Survey was not conducted  12 projects did not apply adaptive management, either ended before completion or did not conduct mid-term evaluation. = 83% applying adaptive management | Achieved  Unable to determine as no survey conducted and no other tool used to make this assessment.  Achieved |

Transformational change. In most cases, the SGP projects can be said to be contributing to eventual transformational change but not in and of themselves making *the* difference. Some of the strategic projects, however, do appear to be catalyzing transformational change and are removing critical barriers which have impeded such change. Three examples of this are the KDA Project on Mitigating Climate Change through a Renewable Energy Micro-Credit Program, the KWCA project on Capacity Building for Community-Managed Wildlife Areas, and the CORDIO project to work with BMUs on marine biodiversity. The KDA project has opened up the rural market for biogas and is an excellent model of meaningful partnership between communities, NGOs, County Government (Ministry of Cooperatives) and the private sector (Community Village Banks and other financial institutions). Real scaling up on a significant level is happening and this can directly be attributed to KDAs effort which was very significantly and strategically supported by the SGP. The other two projects mentioned are described in detail elsewhere in this report. These strategic projects successfully removed barriers and thereby paved the way for other projects to achieve success.

Perhaps the clearest testament to transformational change in terms of how communities involved in BMUs, and to a lesser extent those involved in CFAs, view marine and forest resources which they now either have full legal rights to manage (in the case of LMMAs) or are co-managers and have legal user rights to certain resources within forest reserves, is that it is now practically inconceivable that these communities would ever go back to former attitudes of not caring if the resources are degraded/destroyed.

Another significant form of transformational change was that before the existence of BMUs, there was some degree of resistance from both KWS (who used to be the sole custodian of marine reserves) and from the Fisheries Department, toward community co-management responsibilities. These government entities lacked capacity and experiences of engaging and relating to community groups. These entities are now beginning to appreciate the role the BMUs, CFAs and WRUAs are playing in protection and policing of resources and both communities and KFS and KWS report that the relationship between them has improved significantly in many places. Neither of these transformational changes can be solely or primarily attributed to the SGP of course, but the SGP has very clearly contributed to these changes.

Transformational change can result from, or be catalyzed by, a single project, but the norm with SGP projects is to contribute to this change in a small but significant way. Each brick counts when building a house.

Effectiveness depends in part on availability of financial resources. Insufficient resources to implement forest management and conservancy plans (developed with support of the SGP) appears to be a very important constraint to actual conservation, especially for those CBO projects that do not have partner champions with resources.

Effectiveness depends on the level of interest of participants and this depends on how much they are getting in return from their effort. In the case of the Rumuruti Women’s Group which is making Green Charcoal, the 30 women who form the Green Charcoal group in Rumuruti are not very enthusiastic about the project. Hand-making of the green charcoal briquettes is labor-intensive. As a result, the women do not make much green charcoal. Consequently, they have not made much money from it (they have only sold 6,000 KS worth of charcoal to date). There is thus no demonstration effect from this effort (except for a bad one), very minimal impact on benefitting the women (as 6,000 divided by 30 is not a significant amount), and no impact at all on conserving the forest. Effectiveness of this project would have been greatly enhanced had appropriate equipment been procured. An electric charcoal briquette pressing machine was purchased but as there is no electricity in the village, the machine has never been used.

Focus helps ensure effectiveness. Although many of the SGP projects were well focused, some projects were overly ambitious given the small budget and the short time frame. For example, the Wild Living Resources project envisioned ensuring farmers meet all FSC standards, and also development of National FSC standards. The project had about one year implementation and a budget of less than USD 50,000. While good work has been achieved within a short period of time the ambitions appear to have been beyond the time and resources available.

Efficiency

There are numerous examples of efficient, effective, innovative and strategic use of SGP and TRAC funds. One example is the use of TRAC funds to sponsor the NETFUND Community Environment Award. NETFUND runs a national awards scheme which includes awards for community environment projects. Under normal circumstances the SGP could not fund this type of project. However, the SGP gave the prize money with the conditions that the prize money had to be used to support another small-scale project of the winner’s own choosing/design. This well-thought out guidance led to a ripple effect and was also strategic in creating awareness about the SGP as Kenya’s First Lady attended the awards ceremony and thus the SGP received a good deal of publicity as a result.

A few projects had problems which resulted in greater expenditures than what would have normally been required and thus some inefficiencies in use of funds:

1. Barefoot College Project. There was a loss of approximately $30,000 in solar equipment lost at the port and an additional expenditure of almost $30,000 to replace that equipment. The women participating in this project went to India for training and returned home with solar equipment which was shipped. Incorrect labeling of the equipment caused it not to be released from the port and it is still there and likely already spoiled. TRAC funds were used to buy new equipment to replace that which is still in the port.
2. Ewang’an Project. The wind turbine purchased by the project is broken and unusable. It was inappropriately placed. Repairs will need to be made to it to make it functional.
3. Rumuruti Project. The project purchased an electric charcoal press but it has never been used because the electricity available in the small rural town is a single (1)-phase connection which is incapable of running a large mortar like the one in the charcoal press. Efforts to get a press with a smaller mortar have been unsuccessful due to lack of funds.
4. KDA Project. Some of the biogas digesters purchased cracked in the Southern Rift valley due to an expansion/contraction issue. Dutch biogas digesters were used because the Kenyan manufacturer of a different biogas digester model (which would not have had such problems) was not interested in expanding his business into this region. Since he has seen the market, he is now interested in expanding into the region. Meanwhile, the Dutch model has also been modified to avoid future problems. The project had to return the money loaned to all the buyers of the original Dutch biogas digesters.)
5. SGP funds were used to support the creation of a SGP website for Kenya which unfortunately never got off the ground despite significant follow-up by the Secretariat. The quality of the website was, according to the Secretariat, too poor and at some point it was decided to simply abandon the effort.
6. KENAF Project. The project has been put on hold by the Secretariat because of possible misuse of funds.
7. Likii Youth Planning Grant. This youth group did not utilize its planning grant well and no further disbursements were made after the initial one of $1,500. The Secretariat did make a visit to this group as they suspected things weren’t going according to plan.
8. Mt. Kenya Tourism Circuits Association Project. No progress has been made in signing the MOU between this group and the County Government. The Secretariat made a visit to the project but the issue has not yet been resolved and it is not especially clear exactly what the issue is.
9. Lamu Project. Security issues have severely affected the project which is now lagging behind. Even though the Secretariat cannot get out to the project to monitor it, it is receiving information on the project from ERMIS Africa and from Nature Kenya.

RATING OF EFFECTIVENESS AND EFFICIENCY: SATISFACTORY (5)

### **3.3.4 Country Ownership**

Country ownership is excellent. Without exception, all stakeholders with whom the TET met expressed great appreciation of the SGP. Meetings with senior-level Government officials in the ME&NR in Nairobi, representatives of local government in various Counties, and community leaders and members in the areas visited by the TET expressed enthusiasm and support for the SGP projects and recognition of the contribution these have made to local communities. The projects are considered to be very relevant and as a result country ownership is very strong.

The STAR allocation for OP5 was significant ($5 million) and serves as an indicator of strong country ownership of the SGP. The financial contribution made by the beneficiary organizations is another important indicator to assess the country’s ownership of a project. Although slightly less than originally anticipated, it was a significant amount totaling $2,360,971.

### **3.3.5 Mainstreaming with UNDP Priorities**

Gender Mainstreaming. This area requires more affirmative action. Although women’s participation is good in most SGP projects, their participation in decision-making bodies is significantly under-represented. The TET noted numerous such cases.

One example is the Men’s Fellowship group. This is an all-men’s group which received a grant for bee-keeping. It was one of the groups identified by SACDEP (a recipient of a strategic grant to promote community-based forest conservation). When the National Consultant of the TET pointed out the gender issue, the men said they would be happy to include the women’s fellowship group in their effort, but this issue had never been brought up before. They enthusiastically mentioned ways in which the women could be involved which would be helpful to both the men’s group and the women.

Another example of inadequately addressing gender equality was noted by the TET in the ERMIS Africa strategic project. ERMIS Africa told the TET they have focused their gender efforts on getting more men to join the CFAs. They have not devoted energy to empowering women. One of the ERMIS consultants acknowledged that although it was important to have men join CFAs (at the moment they don’t feel these groups are important enough for them to join), it was also very important to ensure women are adequately (equally) represented on decision-making bodies.

Both groups were willing to take action to ensure gender equality but this had never been asked of them until the TE.

Recommendation: According to Kenya’s constitution (2010) (articles 27/8 and 81b), “no more than two-­thirds of members in elective or appointed bodies shall be of the same gender”. One of UNDP’s core principles is gender equality. Kenya’s SGP should adopt specific measures in OP6 to guarantee that gender equality will be pursued in all the projects it supports, whether this be through designing the calls for proposals in a way which ensures only those projects that demonstrate gender equality in *all* aspects of their projects are eligible, or by other means.

### **3.3.6 Impact (\*)**

Attribution

Attributing results to a particular phase (OP5) of an ongoing program that has had four previous phases and has been operating for 22 twenty years is difficult. Many OP5 projects, especially those in the Mt. Kenya region, exist where SGP projects existed in previous phases. Compounding the difficulty of attributing results to the SGPP is the number of projects and programmes other than those supported by the SGP which are either ongoing or have operated in the same area as SGP-supported projects in the past, some with similar or complementary objectives. In many cases, SGP-supported projects work together with other initiatives, each providing inputs which complement and help ensure the success of the other’s inputs.

Impact of the SGPP

The various activities supported by the SGPP had, as can be expected, various levels of impact. The strategic projects seem to have had particularly good impact for the most part. The KDA project adopted a highly analytical and strategic approach and successfully removed critical barriers to enhanced use of biogas in the Rift Valley. As one testament of this, a manufacturer of biogas digesters who did not initially want to be involved in the project now wants to expand into the area because of the growing market. Another strategic project, the CORDIO project, has truly empowered and given a voice to the communities who operate BMUs. At the TET visit these communities were very protective of the gains they have seen within their BMU (transparency in fishing matters, understanding ecological dynamics of their fishing areas, self-policing of fishing sites). Apart from this, the communities are now also openly addressing social concerns, such as HIV/AIDS. This was not the case before coming together as a BMU. Women and youth are considered valuable members of the BMUs. It is evident that government bodies now view communities as a serious partner in the conservation and management of marine resources. The KDA project is yet another example of transformational change brought about by an SGP intervention.

In many cases, the SGP is helping to significantly strengthen the capacity of CBOs (CFAs, BMUs, community conservancies) in strategic and significant ways. As one example, the Rumuruti project helped develop the negotiating skills of the Rumuruti CFA which resulted in enabling them to negotiate directly and successfully with KFS on an ecotourism permit. This represented the first case of a community-based organization successfully negotiating such an agreement with a Government entity. The CFA is very proud of this and attributes this success to the help they received from the SGP.

In some cases, some SGP projects have attracted/leveraged additional resources that have enabled scaling up. As one example, the “Scale up of Ngong Energy Centre” project with the Ewang’an CBO has successfully attracted significant additional resources from others (including the singer, AKon) which has resulted in a scaling up of solar energy in this community. The scale-up of solar energy has enhanced education (school hours are now extended and teachers now stay in the community instead of commute because they now have electricity), business opportunities for women (the beading center can stay open at night when needed to meet deadlines for orders), health care (the dispensary can now refrigerate vaccine and other drugs), and wellbeing of girls (the Girls Rescue Center is now able to accommodate more girls due to electrification of dormitories and schools). This project has had tremendous impact on the wellbeing of the community and may serve to encourage others to choose renewables instead of the grid. The test of this will soon be seen as the grid is coming to the area this year.

Some SGP projects have succeeded in introducing new income generating activities but many of these are not yet at a point where markets are viable.

RATING OF IMPACT: SATISFACTORY (5)

### **3.3.7 Sustainability**

The overall likelihood of sustainability is “Moderately Likely” (ML), i.e., there are moderate risks to sustainability.

According to GEF guidelines, sustainability is based on several dimensions including financial resources, socio-political considerations, institutional framework, governance factors and environmental factors. Each risk dimension of sustainability is deemed to be critical and therefore the overall rating for sustainability cannot be higher than the rating of the dimension with the lowest rating. As there is sometimes confusion in understanding the ratings, a rating of “Likely” means there are negligible risks to sustainability, “Moderately Likely” means there are moderate risks, “Moderately unlikely” means there are significant risks to sustainability, and a rating of “Unlikely” means there are severe risks to sustainability.

Table 6: Analysis of Risks that may affect persistence of project outcomes

|  |
| --- |
| **Financial Resources Risks (Moderately Likely – ML)** |
| The likelihood that adequate financial resources will be secured as needed to ensure sustainability of activities is ML. It is expected, although unknown at this time, that the Government will commit a significant amount of its GEF STAR allocation to the SGP in OP6. It is not known if those resources will be allocated in the same geographic area as was targeted in OP5. There are numerous OP5 projects that do not have a clear exit strategy and have not yet reached financial sustainability on their own, either for lack of achieving market viability or for lack of securing other development partner assistance.  Many activities have yielded benefits but they are not yet self-sustaining. The TET met with a women’s group associated with the Rumuruti Forest CFA which was producing green charcoal. They were not enthusiastic about the project because they had only sold 6,000 KS worth of charcoal and that amount divided by their 30 members was not significant and therefore very little charcoal was being produced. It was not serving as a good demonstration much less as a viable enterprise. The TET also met with the Nyamakiama Self-Help Group in the Kimakia forest (supported by the SACDEP project). Although one of the group’s projects, the moss project, seemed to have a viable market, the other projects such as the crafts did not. Likewise, although the Youth Banner project may be close to achieving viability with the sale of solar lamps, there is still a price barrier which prevents large-scale adoption of these lamps and although that project has successfully raised awareness regarding the solar lamp option, it has not adequately addressed the price barrier. Financial sustainability of these and other CBO initiatives is still in question. Continued financial support will be required for these initiatives.  There are other projects whose financial sustainability is guaranteed because of the strategic way in which the projects were planned and implemented but the scaling up of these excellent demonstrations is not secured because this depends on acquiring more financial resources. Such is the case with the KDA project. There are 8 Community Village Banks in the North Rift Valley but the project only had enough funds to give seed monies to two of those banks. Scaling up to include the other 6 (and many more in other areas of Kenya) now depends on convincing banks and other development partners that this is worthwhile.  Given the significant level of in-kind contribution made by the various stable and capable NGOs involved in the projects in OP5, their continued support to these initiatives can reasonably be anticipated. Nevertheless, the SGP will need to reach out to the County Governments and the private sector for additional financial support, and will need to strategically link with other relevant initiatives in the country whenever possible if the risk presented by financial constraints is to be successfully addressed.  The biggest risk to sustainability, replication and scaling up appears to be lack of adequate financial resources. In our interviews and visits, the single biggest reason given for lack of implementation of plans or inability to truly shift to more sustainable activities, was lack of adequate financial resources to permit this.  Development of simple exit strategies for each project could be helpful in promoting sustainability of project efforts. |
| **Socio-political Risks (Likely – L)** |
| There is sufficient public stakeholder awareness and support is present for the continuation of activities. The buy-in of the project beneficiaries is very strong. Their strong ownership of project objectives greatly contributes to sustainability. The overall policy framework adopted by the Government during OP5 and prior to this is conducive and indicative that there will be good socio-political support for SGP activities. Therefore the socio-political risk is considered to be negligible. |
| **Institutional Framework and Governance Risks (Moderately Likely – ML)** |
| Many of the NGOs with whom the SGP partnered in OP5 have several decades of experience. They will certainly continue to operate for years to come and will provide the necessary institutional sustainability even when the SGP is not involved. KDA, for example, has 38 years of experience and is an extremely capable group with tremendous experience and commitment. The Green Belt Movement (GBM), as another example, is known both nationally and internationally for its work in the area of reforestation and working together with local communities. Likewise, CORDIO, the organization implementing the strategic project to support BMUs in fisheries and marine conservation is a capable organization not likely to leave the scene. There are, of course, many other NGOs in addition to these that will serve to promote institutional sustainability. Although there are many strong NGOs in Kenya, many of the CFAs and BMUs and conservancies have only recently been established and do not yet have the institutional capacity required to ensure sustainability. Likewise, County Governments have only recently been formed. With the devolution policy, they now have the management and financial authority over many resources. Some Counties have the capacity required while others do not yet have the benefit of a great deal of experience. |

|  |
| --- |
| **Environmental Risks ( Moderately Likely – ML)** |
| Environmental risks are present that can undermine the future flow of project benefits. Population increase leading to increasingly smaller land holdings or lack of sufficient resources was most often cited by project beneficiaries as the underlying reason for the hardships they are experiencing related to their resource base. Lack of addressing the root cause of the problem can lead to non-sustainability of project efforts. |

Overall Rating of Sustainability: Moderately Likely (ML)

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# **4. CONCLUSIONS, RECOMMENDATIONS & LESSONS**

As conclusions and recommendations were presented at the beginning of this report, this section will focus on lessons.

Lesson: It has become a common practice in GEF documents to curtail the number of Outcomes, mostly to ensure neat and tidy looking logframes. Attention should be given to curtailing the outcomes themselves, i.e., the actual content of them rather than their presentation.

Lesson: Don’t hesitate to act “outside the box”. Analyze, together with communities, the real constraints of what prevents them from changing a certain undesirable behavior and find ways of addressing that as directly as possible. Don’t go around the long way just because it is the conventional route. In the case of Naibunga, for example, buying improved-breed bulls and providing these to communities with conditions may have had the desired result of reducing grazing pressure much more cost-effectively than promoting Holistic Grazing Management, especially when the necessary conditions for successful application of this approach may not exist in the area.

Lesson: The logframe might usefully be applied at the individual project level but is not a very useful tool when applied to a portfolio of projects, especially when these are not even defined at the time of the writing of the logframe.

Lesson: Be realistic and concrete in describing indicators and targets and ensure good correspondence between planned activities and indicators and targets. The (common in many GEF projects) disconnect between indicators/targets and corresponding activities can result in unrealistic and exaggerated results being reported. As one example, the completed SGPP logframe as of the time of the TE indicates that, “44,080 ha of forests within Mt. Kenya were put into sustainable management”. The activity supported by the SGP in this case was to develop forest management plans. Although this is one step towards achieving the goal of sustainably managing forests, it cannot reasonably be said to, in and of itself, result in this.

Lesson: Share experiences and lessons learned in an *innovative* way that will *attract people’s attention,* especially that of your target audience (which should be specifically identified). Avoid production of lessons learned booklets as these often stay on the shelf. Think soap operas, comic strips, caravans. Again, think outside the box.

Lesson: Sharing of specific lessons learned, not just general principles, saves other Upgraded SGPs time and money. For example, share the UNDP/UNOPS MOU template which was developed by the Kenya SGP with other Upgraded Programs so that if other SGPs want to use TRAC funds for things other than purchasing vehicles/equipment they can do so without having to go through this same process.

Lesson: UNOPS is the Executing Agency for the SGPP and has a great deal of expertise in sorting out matters related to disbursement of funds and procurement. They should be contacted directly when these types of issues arise. (This lesson relates to the long time it took to sort out the issue described above.)

Lesson: Lumping in-kind and in-cash co-financing together should be avoided for several reasons including that it makes it impossible to track these contributions.

Lesson: Under-reporting of in-kind contributions may give the impression of lesser buy-in to project objectives than is actually the case. Nevertheless, a cost effective way of accounting for in-kind contributions must be used or the result will be either guesswork or undue effort put into calculating it.

**Annex I: GEF Rating Scales**

|  |  |  |
| --- | --- | --- |
| ***Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution*** | ***Sustainability ratings:*** | ***Relevance ratings*** |
| 6: Highly Satisfactory (HS): no shortcomings  5: Satisfactory (S): minor shortcomings  4: Moderately Satisfactory (MS)  3. Moderately Unsatisfactory (MU): significant shortcomings  2. Unsatisfactory (U): major problems  1. Highly Unsatisfactory (HU): severe problems | 4. Likely (L): negligible risks to sustainability | 2. Relevant (R) |
| 3. Moderately Likely (ML):moderate risks | 1.. Not relevant (NR) |
| 2. Moderately Unlikely (MU): significant risks  1. Unlikely (U): severe risks | ***Impact Ratings:***  3. Significant (S)  2. Minimal (M)  1. Negligible (N) |

**Rating scale for outcomes and progress towards “intermediate states” using the ROtI method**

|  |  |
| --- | --- |
| **Outcome Rating** | **Rating on progress toward Intermediate States** |
| **D**: The project’s intended outcomes were not delivered | **D:** No measures taken to move towards intermediate states. |
| **C**: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding | **C**: The measures designed to move towards intermediate states have started, but have not produced results. |
| **B**: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding | **B**: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact. |
| **A**: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding. | **A**: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact. |

**Note:** If outcomes scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

**Annex II: Terms of Reference for the Terminal Evaluation**

**INTRODUCTION**

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the Fifth Operational Phase of the GEF Small Grants Program in Kenya (PIMS 4520)

The essentials of the project to be evaluated are as follows:

**Project Summary Table**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Project Title: |  | | | | | |
| GEF Project ID: | | 00064957 |  | *at endorsement (Million US$)* | | *at completion (Million US$)* |
| UNDP Project ID: | | 00081601 | GEF financing: | 5,000,000 | |  |
| Country: | | KENYA | IA/EA own: | 1,200,000 | |  |
| Region: | | AFRICA | Government: |  | |  |
| Focal Area: | | Multi-focal | Other: | 4,300,000 | |  |
| FA Objectives, (OP/SP): | |  | Total co-financing: | 5,500,000 | |  |
| Executing Agency: | | UNOPS | Total Project Cost: | 10,500,000 | |  |
| Other Partners involved: | |  | ProDoc Signature (date project began): | | | 27th FEBRUARY, 2012 |
| (Operational) Closing Date: | | Proposed:  30th June 2015 | Actual:  31st December 2015 |

**Objective and Scope**

Project Goal, Objective, Outcomes, Outputs and Activities

The project goal is to conserve globally significant ecosystems in Kenya and mitigate climate change by supporting the implementation of national environmental policies that also contribute to communities’ improved livelihoods.

The project objective – to secure global environmental benefits and improve livelihoods through community-based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes – will be achieved through working towards four outcomes: 1) community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors;

2) flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods;

3) local communities implement low carbon technologies that address their energy needs and mitigate climate change; and

4) communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced. Individual small grant projects will contribute concrete outputs towards these outcomes.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

**Evaluation approach and method**

An overall approach and method[[9]](#footnote-9) for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in* [*Annex C*](#_TOR_Annex_C:)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence‐based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Kenya including the following project sites :

1. Kenya Wildlife Conservancies Association (National)
2. Friends of Karura Community Forest (Nairobi)
3. Green Belt Movement (Mt. Kenya region)
4. Maasai Wilderness Conservation Trust (Chyulu)
5. Sustainable Agriculture Community Development Programme (Mt. Kenya region)
6. Mt. Kenya Tourism Circuit Association (Mt. Kenya region)
7. CORDIO EAST AFRICA (Kwale)
8. Mikaro Bee Keeping & Tree Nursery Self Help Group (Kipipiri)
9. Dakatcha Woodlands Conservation Group (Kilifi)
10. Plants for Life International (Limuru)
11. Kivulini Trust (Isiolo/Samburu)
12. K-rep Development Agency (South Rift)
13. Kantuka CBO (Mt. Kenya region)
14. East Africa Wildlife Society (Kwale)

Interviews will be held with the following organizations and individuals at a minimum: *(list Key Stakeholders)*

1. National Steering Committee members
2. Kenya Forests Service
3. Kenya Wildlife Service
4. National Museums of Kenya
5. National Environment Management Unit
6. Ministry of Environment and Natural Resources (Director MEAS, Dep. Director, CBD focal point)

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#_TOR_Annex_B:) of this Terms of Reference.

**Evaluation Criteria & Ratings**

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see  [Annex A](#_TOR_Annex_A:)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in  [Annex D](#_TOR_Annex_D:).

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluation Ratings:** | | | |
| **1. Monitoring and Evaluation** | ***rating*** | **2. IA& EA Execution** | ***rating*** |
| M&E design at entry |  | Quality of UNDP Implementation |  |
| M&E Plan Implementation |  | Quality of Execution - Executing Agency |  |
| Overall quality of M&E |  | Overall quality of Implementation / Execution |  |
| **3. Assessment of Outcomes** | **rating** | **4. Sustainability** | **rating** |
| Relevance |  | Financial resources: |  |
| Effectiveness |  | Socio-political: |  |
| Efficiency |  | Institutional framework and governance: |  |
| Overall Project Outcome Rating |  | Environmental : |  |
|  |  | Overall likelihood of sustainability: |  |

**Project finance / cofinance**

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Co-financing  (type/source) | UNDP own financing (mill. US$) | | Government  (mill. US$) | | Partner Agency  (mill. US$) | | Total  (mill. US$) | |
| Planned | Actual | Planned | Actual | Planned | Actual | Actual | Actual |
| Grants |  |  |  |  |  |  |  |  |
| Loans/Concessions |  |  |  |  |  |  |  |  |
| * In-kind support |  |  |  |  |  |  |  |  |
| * Other |  |  |  |  |  |  |  |  |
| Totals |  |  |  |  |  |  |  |  |

**Mainstreaming**

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

**Impact**

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[[10]](#footnote-10)

**Conclusions****, recommendations & lessons**

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**.

**Implementation arrangements**

The principal responsibility for managing this evaluation resides with the UNDP CO in *Kenya.* The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

**Evaluation timeframe**

The total duration of the evaluation will be 24 days according to the following plan:

|  |  |  |
| --- | --- | --- |
| **Activity** | Timing | Completion Date |
| **Preparation** | *5 days* | *June 14th 2015* |
| **Evaluation Mission** | *12 days* | *June 30th 2015* |
| **Draft Evaluation Report** | *5 days* |  |
| **Final Report** | 2 days |  |

**Evaluation deliverables**

The evaluation team is expected to deliver the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable | Content | Timing | Responsibilities |
| **Inception Report** | Evaluator provides clarifications on timing and method | No later than 2 weeks before the evaluation mission. | Evaluator submits to UNDP CO |
| **Presentation** | Initial Findings | End of evaluation mission | To project management, UNDP CO |
| **Draft Final Report** | Full report, (per annexed template) with annexes | Within 3 weeks of the evaluation mission | Sent to CO, reviewed by RTA, PCU, GEF OFPs |
| **Final Report\*** | Revised report | Within 1 week of receiving UNDP comments on draft | Sent to CO for uploading to UNDP ERC. |

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

**Team Composition**

The evaluation team will be composed of *1 international evaluator and 1 national evaluator.* The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The international consultant will be the team leader and will be responsible for finalizing the report. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

* Solid background and at least 10 years of demonstrated professional experience in areas of environment and sustainable development;
* Previous experience with results‐based monitoring and evaluation methodologies;
* Technical knowledge in the targeted focal area(s)
* Experience in conducting evaluations and, in particular, demonstrated experience in evaluating demand-based community-level grant programmes or small grant components of larger projects/programmes in the areas of natural resources, environment, poverty reduction and/or sustainable rural development;
* In-depth knowledge of the GEF and UNDP
* In-depth understanding of gender, exclusion and poverty issues, particularly with respect to environmental and livelihoods issues;
* Excellent written English; and
* Demonstrated ability to prepare quality deliverables in a timely manner.

**Evaluator Ethics**

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](http://www.unevaluation.org/ethicalguidelines)

**Payment modalities and specifications**

(*this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)*

|  |  |
| --- | --- |
| % | Milestone |
| *10%* | At contract signing |
| *40%* | Following submission and approval of the 1ST draft terminal evaluation report |
| *50%* | Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report |

**Application process**

Applicants are requested to apply online (indicate the site, such as http://jobs.undp.org, etc.) by (date). Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English (Spanish in LAC, French in Francophone Africa, etc.) with indication of the e‐mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

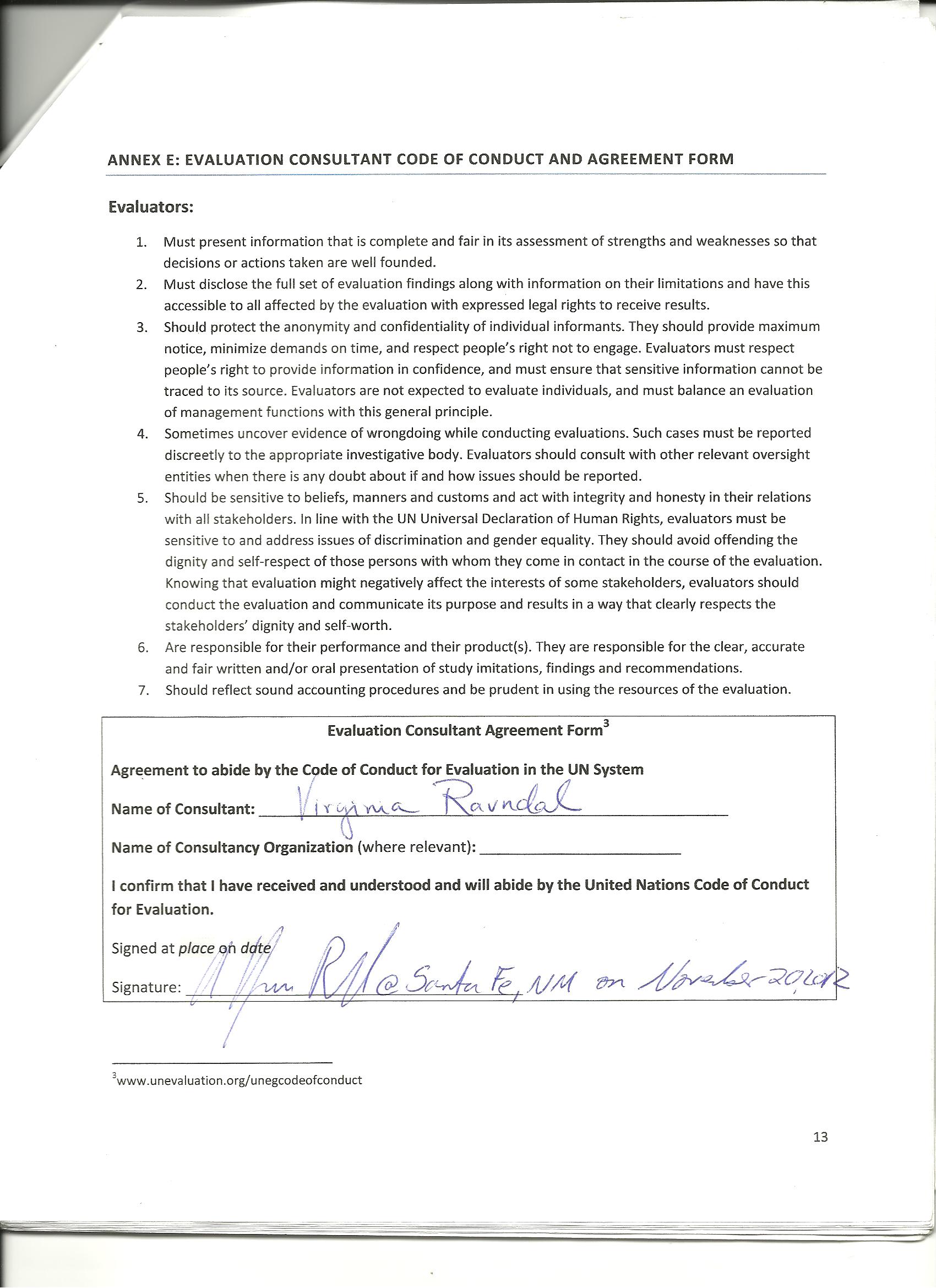
**Annex III: Terminal Evaluation Mission Itinerary & Stakeholders Interviewed**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date** | **Organization or Project** | **Name, Organizational Affiliation & Title of Person** | **Contact info** | **Place of Meeting** | **TET Member** |
| Thursday  June 18 | SGP Secretariat | Nancy Chege, SGP NC |  | SGP Office, UNDP | VR, RK |
| Thursday  June 18 | UNDP/Kenya | David Githaiga, Team Leader, Energy Environment & Climate Change Unit | 7624458  david.githaiga@undp.org | UNDP | VR, RK |
| Thursday June 18 | UNDP | Fernando Abaga Edjang, Deputy Country Director (Programmes) | UN Complex Gigiri,0719208168, Fernando.abaga@undp.org |  | VR,RK,NC |
| Fri  June 19 | NSC Members | Jesse Njoka, Senior Lecturer, University of Nairobi  Jane Gaithuma, Regional Campaigns &Policy Manager, OXFAM | 2820158  jgaithuma@oxfam.org.uk | Mayfair Hotel | VR, RK |
| Fri  June 19 | Ministry of Environment, Water and Natural Resources | Richard Mwendandu, Director, Multi lateral Environmental Agreements, OFP, Land Degradation  Parkinson Ndonye, OFP, Biodiversity | 2730808,0722744683 | Ministry of Environment Offices | VR, RK |
| Sat  June 20th | Ewang’an | Simon Parkesian, Ewang’an CBO Project Manager  Daniel Salaa, Accountant, CBO | 0726150814 | Kiserian/Ngong | VR, RK |
| Sun  June 21st | SACDEP | Paul Karanja,Project Manager/Deputy CEO SACDEP  Evelyn Kaita, Field Officer  John Wachira, Project Officer  Charles Kiama, Field Officer  Mercy Karunditu,Senior Project Ofiicer GBM  Charles Peter Mwangi,Senior Project Officer  Peter Misiko, Project Officer | 0724-632-867  0711-347117 | SACDEP Office in Thika town  SACDEP project sites:  Ndakaini Men’s Fellowship(bee keeping site)  Makiama Kimakia forest Self Help Group(NTFP site) | VR, RK |
| Mon  June 22nd | Green Belt Movement  GBM | Drive from Green Hill Hotel Nyeri to Zuti Forest, GBM project site  Mercy Karunditu,Senior Project Ofiicer GBM  Charles Peter Mwangi,Senior Project Officer  Raphael Muchembe, CFA chairman  Peter Misiko, Project Officer  Teresa Wangechi,Farmer  Paul Nguyo Waititu,Farmer  Bernard Kagunda,Farmer  Robert Muchemi,Forester KFS  Elena Gachuru,Deputy Assistant Chief of Police  Cleophas Munyoni,Forest Ranger, KFS  Samuel Mutai, Forest Ranger, KFS | 0711-347-117 | GBM Project Site  Gathangari Forest Site | VR  Nancy Chege accompanied |
| Kantuka | James Ngatia, Kantuka CBO Coordinator | 0726-971-228 | Nanyuki Leisure Gardens | VR |
| Mon | Mainstreaming Biodiversity Conservation into Marine Ecosystems and Fisheries Management in Kenya (CORDIO) | Joan Kawaka, Field Coordinator  **Mkunguni BMU**  Abdalla Mohamodi Tsari, Chair,  Abadalla Ali Tsambea , Ass Secretary  Bakari Juma Kitole  Omari HassanTondwe  Hussein Bakari Kiroju  Bakari Hassan Ndaro  Selina Kwengwele  Bakahi Chireya  Sadik Hassan Tondwe, Secretary | 0721933925 | Mombasa town, Mkunguni BMU, Msambweni, Kwale County | RK |
| Tues | Wasini Island Marine Conservation Project (Project implemented by Wasini BMU) | Dishon Murage, Africa Nature Organization  Omar Abdalla, Chair, Wasini BMU  6 other committee members, including treasurer | 0722270298 | Ukunda, Wasini, Kwale County | RK |
|  |  |  |  |  |  |
| Tuesday June 23 | Rumruti | Drive from Nanyuki to Rumruti (2 ½ hrs)  Joshua Koskei, Rumuruti CFA Project Mgr | 0731044524 | CFA offices  Nyahururu town  Tree Nursery at offices  Forest border visit | VR |
| Segera | Drive from Rumruti to Segera  Patricia Muiko, Segera/Zeitz Project Coordinator  Mary Wangechi, Chair, CBO  Regina Kitoe, Treasurer, CBO  David Gitonga, Secretary, CBO  Margaret Lokitan-PIC Member  Justin, CBO Member  Susan- CBO Member  Jackson Ndegwa, PIC Member  Susan, CBO Member  Jane, PIC Member  Margaret Chamale, PIC Member  Francis Moria, School Teacher  School- Endana Secondary School  Drvie from Segera back to Nanyuki | 0724-875-697 | Segera  Visited garden, school stadium to see water collection system | VR |
| Wed | (1) Funzi Bay-Ramisi River Estuary Mangrove Rehabilitation Project, Msambweni, Kwale County ( project sites at Kibuyuni and Bodo BMU) | Richard M. Bemaronda, Project Officer - CANCO  Harun Kondo, Project Coordinator  Mwangalo Mohamed Hassan, Chair,Bodo BMU  Hamza Omari  Ali Mchambi Singo, Vice Chairman  Mariam Mshee  Buruhani Hamisi  Majimbo Badi  Subira Kondo  Mitime Molid  Mwanaisha Mtumweni  Saida Fikirini  Omar Ali  Mkan’ga Mwinyikai  Nemani Harimi  Mwanaisha Fikirini  Mwnaisha Mbwana  Sharifa Hamisi  Shaban Asdalla  Mshenga Hamisi  17 other members of BMU  Mzee Rengwa , Fisheries Department  Hamadi Hassan, Assistant Chief, Shirazi | [RICHARD.CANCO@gmail.com](mailto:RICHARD.CANCO@gmail.com)  0718393180 | Shimoni | RK |
| Wed | (2) Raising Community Capacity for sustainable fisheries in Kwale County ( project implemented by East African Wildlife Society) | Richard M. Bemaronda, Project Officer - CANCO  Mr. Matata, Secretary  14 members of BMU | [RICHARD.CANCO@gmail.com](mailto:RICHARD.CANCO@gmail.com)  0718393180 | Msabweni | RK |
| Wednesday June 24 | Naibunga | Drive from Nanyuki to Naibunga (2 hrs)  John ole Keshene, Treasurer, Naibunga  (No Project Coordinator as Beatrice had recently resigned and no replacement found yet.)  Kimani Kuria, Conservation Manger of Oljogi  Antonella Kaparo, Conservancy Ranger/Radio Operator  Paul Keshine,Chairman, Grazing Committee  Chairman, Matayo Monto,umbrella Grazing Committee  Kimani Kuria, Director of Programs for neighboring private ranch | 0725768456 | Naibunga Conservancy Trust | VR  Nancy Chege and NSC Member, Wanjaa accompanied on this trip |
| NSC Member | Dorothy Wanja, Senior Research Scientist  Zoology Department  Ichthyology Section  National Museums of Kenya  , NSC Member |  | Coffee house in Nanyuki | VR |
| Thursday | (1)Clean and off -grid lighting in Kilifi County through sustainable enterprises (project implemented by Youth Banner organization) | Mary Bada, Project Officer  Elizabeth Mwarabu, Katabalos Youth Group Coordinator  10 other members of the Katabalos youth group  Roseline Kanze, Solar lamp end -user  Lasco Lewa Kai, Distributor  Laban Amani, Distributor  Monica Mwaka Kai, Retailer  Mercy Mundu, Retailer | 0720469212  0717015718  0712765427  0705455398  0713319388  0770991343  071450074 | Kilifi Town  Teso town | RK |
| Thursday | (2) Jacqueline Uku, Kenya Coastal Development Project, Project Coordinator | NSC Member | [juku@ksdp.co.ke](mailto:juku@ksdp.co.ke), 0722683935 |  | RK |
| Thursday June 25th | WCSA | Dickson ole Kaelo, CEO, WCSA  Gladys Wairigi, Policy Coordinator, Kenya Wildlife Conservancy Association (KWCA)  Meet with Nancy Chege | 0722467344 | SGP office | VR |
| Friday  June 26th | KDA | Walter Tinega, Program Manager- KDA  Dora Waruiru, Managing Director-KDA | 0728536750 | SGP Office | VR |
| Friday | Wild Living Resources MakaaZingira Eco-Charcoal | Antony Maina, Executive Director  Carolyne Moki, Conservation and livelihoods Officer,  Ruth Kimani, Project Officer  Bernard Yahuma, Finance Manager | 0728608618 | Kilifi | RK |
| Saturday June 27th | ERMIS Africa | Drive Nairobi to Sigona  Peninah Karanja, Programmes Administrator  Florence Kinyua,Project Officer  Paul Maina,Partner  Lawrence Kinoti, CFA rep  Lydia Kiprono, Accountant, ERMIS  Simon Kagongo, Forest Monitoring Tool expert, | 0724550415 | Ermis Africa offices in Sigona | VR |
| “ | KENVO | Drive from Ermis Africa Office to Kereita Forest  David Kuria, Director, KENVO  Leah Mwangi,Project Manager  Samuel Wakango, SGP Project Manager  Stephen Gikonyo, Chair, Project TAC  Paul Wambugu, PIC Member  Simon Kamunde, PIC Member  James Muriuki, Forester, KFS | 0713603251 | KENVO Office in Kereita Forest-Lari Sub-county | VR |
|  | Engaging Community in Environmental Stewardship ( project implemented by Friends of Karura Forest – Karura Community Forest Association | Prof Karanja, Chairman Karura CFA  Boniface Muturi, Finance Accountant | 0729030301, [njokaranja@gmail.com](mailto:njokaranja@gmail.com), rafiki@friendsofkarura.org  mutbonnie@gmail.com | Gigiri, Nairobi | RK |
| Sunday  June 28 |  | Meeting of TET to discuss project visits and to prepare presentation of preliminary findings |  |  | VR, RK |
| Monday  June 29 |  | Presentation of preliminary findings of the TE to the NSC  Discussion between TET  Meeting with Nancy Chege  6:00 pm Departure of Virginia to airport |  | West House Hotel  Nairobi | VR, RK |

**Annex IV: Documents Reviewed by the TET**

|  |
| --- |
|  |
| Project Documents |
| Signed PRODOC |
| PIF for OP5 |
|  |
| Completed log frame showing actual achievement levels of all targets as of the time of the terminal evaluation |
| Project Summaries of all grant projects visited by the TET |
| Project Files |
| NSC |
|  |
| Criteria used by the NSC to select projects (project proposal review template) |
| Minutes of the NSC meetings for the past 4 meetings |
| TOR for the NSC |
| Budget & Financial Information |
| Co-financing tables (up to date as of time of evaluation) |
| Implemented budget in ATLAS format (as of time of terminal evaluation) |
| Implemented budget in GEF format (by outcomes, M&E costs, project mgmt costs, etc..) as of time of terminal evaluation |
| Evaluations & Reviews |
| Mid-Term Review |
| PIRs/APRs for all years |
| Project Publications & Communications |
| Project publications (books, brochures, management plans, etc..) developed during the OP being evaluated |
| Other |
| Project Proposal Template |

**Annex V: Evaluation Consultant Code of Conduct**



**Annex VI: Project Log Frame**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or** **CPD:**   * Pro-poor policies and programmes for sustainable management of environment and natural resources. * Sustainable clean energy services at all levels promoted. | | | | | |
| **Country Programme Outcome Indicators:**   * No. of environmental pro-poor policies for sustainable natural resources management implemented. * No. of energy efficiency and conservation initiatives implemented. | | | | | |
| **Primary applicable Key Environment and Sustainable Development Key Result Area:** 4. Expanding access to environmental and energy services for the poor. | | | | | |
| **Applicable GEF Strategic Objective and Program:** BD-2, LD-1, LD-2, CCM-3, CD-2, and CD-5 (up to 20% of total funds available may be allocated to IW-3) | | | | | |
| **Applicable GEF Expected Outcomes:** BD 2.1; LD 1.2, 2.1 and 2.3; CCM 3.1 and 3.2; CD 2.2, 2.3 and 5.2 (possible IW outcome 3.2) | | | | | |
| **Applicable GEF Outcome Indicators:** BD: Landscapes and seascapes certified by internationally or nationally recognized environmental standards that incorporate biodiversity considerations measured in hectares; CCM: Extent to which RE policies and regulations are adopted and enforced; Investment in renewable energy technologies increased, and Tons of CO2 equivalent avoided; LD: Increased land area with sustained productivity and reduced vulnerability of communities to climate variability; Forestry policies support smallholder and community tenure security; and Increased quantity and quality of forests in dryland ecosystems; CD: Stakeholders are better informed via workshops and trainings about global challenges and local actions required; Public awareness raised through workshops and other activities (Number); and Capacities for monitoring of projects and programs developed (Number). (Possible IW outcome indicators: Measurable results contributed at demo scale) | | | | | |
| **Goal:** To conserve globally significant ecosystems in Kenya and mitigate climate change by supporting the implementation of national environmental policies that also contribute to communities’ improved livelihoods. | | | | | |
|  | **Indicator** | **Baseline** | **Targets**  **End of Project** | **Source of verification** | **Risks and Assumptions** |
| **Project objective:**  Global environmental benefits secured and livelihoods improved through community based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes | Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation in:  Mt. Kenya Forest Reserve and buffer zone  Laikipia rangelands  Mangroves  Marine areas | 3,385 hectares rehabilitated by communities in Mt Kenya Forest Reserve and buffer zone in the last 10 years[[11]](#footnote-11))  Community-managed Laikipia rangelands conservation areas: 9 group ranches have formed the Naibunga conservancy covering 17,200 ha.  Mangrove forests under community sustainable management practices: 6,600 ha or 12% of total mangrove area.  Community-managed marine conservation areas: 4 LMMAs established[[12]](#footnote-12) covering 1000 ha of which 2 operating and 2 at an inception stage. | 30,000 hectares of forests sustainably managed in accordance with the Forest Act of 2005  20,000 hectares under community conservancies in Laikipia with effective management and securing wildlife corridors  5,000 hectares of mangroves conserved by communities  10,000 hectares under community-managed marine conservation areas | Forest management plans approved by KFS (Mt Kenya forests and mangrove areas)  Adapted METT applied at inception, mid term and end of project in community terrestrial and marine conservation areas  BMU/LMMA registration  Mid-term and final evaluation reports | Environmental management, especially forest management in water towers, continues to be a government priority.  Relevant government institutions will consider community applications for registration, management plan approval and permits in an expeditious manner.  Policies and norms enable community-managed conservation areas in both marine and terrestrial ecosystems to consolidate and new areas to be established. |
| Increase in land area with improved management practices in pastoral and agricultural lands in ASAL  Increased application at community level of legal and regulatory frameworks that integrate SFM principles | Number of hectares under community SLM practices will be determined for specific geographic area of intervention at project inception  Hectares with tree cover in community lands (to be determined at inception stage for specific geographic area)  Zero communities with sustainable charcoal production in accordance with the “Charcoal Rules” of 2009. | 60,000 hectares under SLM practices  100 ha with increased tree cover  At least 50% of participating communities obtain permit from KFS under the Charcoal Rules | Project monitoring reports  Google images if available  KFS permits  Mid-term and final evaluation | Government extension services willing to support community initiatives beyond the life of the SGP project.  Experience gained in implementing the Charcoal Rules will retrofit current guidelines to ensure sustainability of charcoal production and consumption. |
| Increased number of communities earning an income from sustainable land and resource use with due consideration of biodiversity | About 27 communities at the Coast, 30 communities in Mt. Kenya, and 3 in Laikipia/northern rangelands earning an income from sustainable livelihood initiatives. | At least 10 additional communities in Mt. Kenya, 10 in Laikipia northern rangelands and 8 at the coast will earn an income from sustainable livelihood initiatives. | Project monitoring reports  Mid-term and final evaluation reports | With partner support communities are able to access markets for their sustainably produced goods and services. |
| RE policies and regulations adopted  GHG emissions avoided | Zero small-scale RE producers in FIT  Biogas units installed[[13]](#footnote-13) in project area: 202  2,908 CO2 e avoided[[14]](#footnote-14) | 1 demo  700 new units (SGP direct)  6,650 new units (replication)  68,000 tons of CO2e avoided | Project monitoring reports  KNDBP reports | An existing small-scale RE initiative can be upscaled to meet the requirements of the FIT system  Financial institutions operating in project areas are willing to extend credit to rural families and businesses interested in adopting biogas. |
| Increased proportion of CBOs capable of developing eligible SGP projects as a proxy to their ability to diagnose and understand global environmental problems and of developing local solutions | Eligible project proposals received by SGP  Mount Kenya region (40%)  Laikipia region (0%)  Coastal region (30%) | Increase in percentage of eligible proposals:  Mt Kenya region (60%)  Laikipia region (50%)  Coastal region (60%) | NSC minutes  Country Programme reports  Project monitoring reports  Mid-term evaluation  Final evaluation report | SGP team will be able to deliver the training programme in first six months of project in all regions.  Target communities will have an interest in developing relevant proposals for submission to the SGP. |
| **Outcome 1**  Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors | 1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests) | Number of CFAs registered: 15 CFAs established, however, they are not all active, and most are at budding stage.  10 CFAs have Forest Management Plans in Mt. Kenya but do not fully integrate BD  Number of Forest Management Agreements under implementation: 3 in Mt. Kenya | Six new CFAs  Five new Forest Management Plans integrating BD developed  Three new Forest Management Agreements signed between local communities and KFS and under implementation | KFS registry and records  Forest Management Plans and Agreements  Project Monitoring reports | KFS will be willing and able to revise guidance to mainstream BD conservation in forest management plans.  KFS will be willing and able to address challenges related to costs and benefit sharing in joint forest management activities.  Network of civil society organizations working on marine and coastal BD conservation are willing to partner with SGP to document experiences to improve community managed conservation areas policies/regulations.  International legal expert will be identified to advise pro-bono local organizations on issues related to LMMAs and other types of community conservation areas. |
| 1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area | Score of adapted METT (to be applied once specific conservancies have been selected for SGP grants) | At least 20% increase in METT scores | Adapted METT applied at inception of grants, mid-term and end of project  Mid-term and final evaluation reports |
| 1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity | 85 BMUs established [[15]](#footnote-15) of which some 17 operating  Four LMMAs established of which 2 operating  LMMA policy and regulatory framework unclear | 4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation  LMMA policies reviewed and proposal for regulatory framework developed | Adapted METT applied at inception of grants, mid-term and end of project  Mid-term and final evaluation reports  Minutes of consultation workshops for LMMA policy review |
| **Outcome 2**  Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods | Increased number of communities contributing to identify and prevent the spread of IAS in rangelands | Zero communities contributing to detect and/or control IAS in rangelands. | At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS | Training participation lists and workshop reports  IAS grant reports | Communities are aware of the negative impacts of IAS on rangelands and on their livelihoods, and willing to address them. |
| Increased number of communities produce charcoal sustainably and legally | Zero communities in the project area with KFS permits under the Charcoal Rules of 2009 | At least 100 communities aware of the new charcoal rules  At least 10 communities producing and selling charcoal sustainably and legally | Training event reports  KFS registry and charcoal permits | Techniques exist to produce charcoal sustainably in the targeted ecosystems, and communities are willing to adopt them. |
| Increased percentage of families/community groups implementing SLM practices in ASAL target areas  Increased or diversified investment in SLM at the local level | Baseline value of families/groups implementing conservation agriculture, zero-grazing and other SLM practices in ASAL target areas to be determined at project inception for specific geographic areas  Types of SLM investments include: production and marketing of dryland products, e.g. livestock and livestock products, honey, dryland crops, e.g. aloe, eco-tourism and handicrafts. Also, water conservation and management, and small-scale eco-farming. | 20% increase of families/groups implementing SLM practices  Four investment types for SLM at community level introduced or strengthened. | Project reports  Evaluation reports | Government agricultural extension teams willing to continue providing technical assistance beyond SGP project completion to improve likelihood of sustainability and for replication beyond SGP targeted communities.  Partner NGOs and communities will be willing to pilot activities and serve as demonstration sites.  Donor community in project areas will be willing to further contribute funds to expand successful SLM investments to other communities. |
| Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments. | The baseline for the number of sustainable income generating activities in the target area will be determined once the project begins. | At least 5 new or strengthened sustainable income generating activities | Project reports  Evaluation reports | Local markets can absorb increased production from communities.  National markets are an option for at least some community-produced goods. |
| **Outcome 3**  Local communities implement low carbon technologies that address their energy needs and mitigate climate change | Increase in credit availability for rural families and business that want to adopt RE  Increased number of trained personnel able to build and maintain biogas digesters  Number of small-scale RE project meeting FIT requirements | Credit for small scale RE investments available from 2 cooperatives but for cooperative members only, e.g. Kathuna Dairy cooperative  No. of trained individuals in project area: 17  Zero small-scale RE projects meet FIT requirement | At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments  An additional 10 people able to construct and provide maintenance to biogas units  FIT demonstration meets FIT requirements | Financial institutions lending reports  Training records  Report with assessment of potential small-scale RE operations that could be up-scaled to meet FIT requirements | Financial institutions are willing to develop a lending package suitable for households wishing to install biogas units.  Households are aware of the loan and are willing to apply for it.  Able to identify a small-scale RE project that has the capacity to meet the FIT requirements and is willing to work with SGP and KENGEN towards this goal. |
| **Outcome 4**  Communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced. | Percentage of grantees that achieve their project outcomes  Increased public awareness of global environmental issues in target areas  Increased number of grantees applying adaptive management to their grants | 90%  To be determined through a survey to be carried in the first year of project implementation  50% of grantees apply adaptive management | 90%  20% increase over baseline value  80% of grantees applying adaptive management | Project M&E reports  Survey results  Mid-term and final project evaluation reports | SGP identifies a sufficient number of qualified partners to assist in the implementation of its capacity development strategy and is able to assess change resulting from its implementation. |
| **Outcome 1 would be achieved through the following outputs:**  1.1.1 Communities awareness program on the Forest Act of 2005 - opportunities, legal and practical implications (>35 communities)  1.1.2 Community Forest Associations established (>6)  1.1.3 Community forest management plans integrating BD and Forest Management Agreements signed with the Kenya Forest Service (>5)  1.1.4 Forest management plans implemented by local communities (>15 initiatives)  1.1.5 Community-adapted forest monitoring techniques and guidelines developed and disseminated  1.2.1 Conservancy management plans developed or improved by Group Ranches (>6)  1.2.2 Training program on sustainable rangeland management practices, alternative sustainable livelihood activities, and biodiversity conservation (>120 Group Ranch members)  1.2.3 Financing secured for implementation of the Conservancies' management plans (>10 initiatives)  1.2.4 Partnerships developed for conservation and sustainable rangeland management between private ranches/ foundations and communities (>2)  1.2.5 Set of common indicators for monitoring performance of communities' Conservancies  1.3.1 Barriers to community-managed marine areas identified and plan to overcome them prepared  1.3.2 LMMA management plans implemented through BMUs and other local organizations (>3)  1.3.3 Marine conservation activities implemented with BMUs and other community groups (>10 initiatives)  1.3.4 Publication codifying lessons from LMMA establishment and operations prepared and made available to the relevant national authorities and other coastal communities and their networks | | | | | |
| **Outcome 2 would be achieved through the following outputs:**  2.1.1 Training program in SLM practices and approaches, including control of rangeland invasive species, for pastoral and farmer communities (>20 groups)  2.1.2 Pilot projects to establish financial incentives for community-based SLM (>5)  2.1.3 Pilot initiatives to demonstrate innovative means to improve resilience to CC of pastoral and farmer communities (e.g., insurance schemes) (>3)  2.1.4 Demonstration of conservation agriculture targeting high value crops and under-utilized crops and improving value-added to existing crops and access to markets (>10 initiatives)  2.2.1 Awareness program for community groups about the Kenya Forest (Charcoal) Rules of 2009 (>100 communities)  2.2.2. Community production and sales of charcoal in line with the Kenya Forest (Charcoal) Rules of 2009 (>10 groups) | | | | | |
| **Outcome 3 would be achieved through the following outputs:**  3.1.1 Awareness program for farmers, rural institutions, and micro and small businesses about multiple benefits of biogas  3.1.2 Briefings to local financial institutions to sensitize them about the financial viability of biogas investments  3.1.3 Lending package for upfront costs of biogas installations developed and applied by partner financial institution(s)  3.1.4 Biogas installations in partnership with the National Biogas Program (>700 direct installations and some 6,650 units through replication)  3.1.5 Off-grid communities with access to different types of renewable energy to meet domestic and production energy needs (>6)  3.2.1 Awareness raising and capacity building programme delivered on how small scale RE producers can effectively participate in and take advantage of the FIT policy to generate energy and sell any excess power to the central grid > 8 communities  3.2.2 Community-based renewable energy demo project -- using biogas, hydro or wind energy -- with FIT participation potential, in partnership with Ministry of Energy | | | | | |
| **Outcome 4 would be achieved through the following outputs:**  4.1.1 Eight national and sub-national training workshops on project development and management, and focus group discussions on global environmental issues and the role of local communities in addressing them  4.2.1 SGP knowledge products developed and disseminated (> 3 publications), and SGP communications strategy implemented (>10 media events, i.e., TV/radio spots, journalist project visits, newspaper articles, etc.)  4.3.1 Training programme on identification and tracking of indicators, and project participatory monitoring (>6 workshops covering >80 community groups) | | | | | |

**Annex VII: Evaluation Criteria Matrix**

| **Evaluative Criteria** | **Questions** | **Indicators** | **Sources** | **Methodology** |
| --- | --- | --- | --- | --- |
| **Relevance**: How does the project relate to the main objectives of the UNCBD and to the GEF Biodiversity focal area, and to the environment and development priorities at the local, regional and national levels for indigenous crop and livestock diversity conservation in Ecuador? | | | | |
| Is the project relevant to the UNCBD objectives? | * How does the project support the objectives of the UNCBD? | * UNCBD priorities and areas of work incorporated in project design * Extent to which the project is implemented in line with incremental cost argument | * Project documents * National policies and strategies to implement the UNCBD, other international conventions, or related to environment more generally * UNCBD and other international convention web sites | * Documents analyses * Interviews with project team, UNDP and other partners |
| Is the project relevant the GEF biodiversity focal area? | * How does the project support the GEF biodiversity focal area and strategic priorities related to agro-biodiversity conservation | * Existence of a clear relationship between the project objectives and GEF biodiversity focal area | * Project documents * GEF focal areas strategies and documents | * Documents analyses * GEF website * Interviews with UNDP and project team |
| Is the project relevant to Ecuador’s environment and sustainable development objectives? | * How does the project support the environment and sustainable development objectives of Ecuador? * Is the project country-driven? * What was the level of stakeholder participation in project design? * What was the level of stakeholder ownership in implementation? * Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation? | * Degree to which the project supports national environmental objectives * Degree of coherence between the project and nationals priorities, policies and strategies * Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities * Level of involvement of government officials and other partners in the project design process * Coherence between needs expressed by national stakeholders and UNDP-GEF criteria | * Project documents * National policies and strategies * Key project partners | * Documents analyses * Interviews with UNDP and project partners |
| Is the project addressing the needs of target beneficiaries at the local and regional levels? | * How does the project support the needs of relevant stakeholders? * Has the implementation of the project been inclusive of all relevant stakeholders? * Were local beneficiaries and stakeholders adequately involved in project design and implementation? | * Strength of the link between expected results from the project and the needs of relevant stakeholders * Degree of involvement and inclusiveness of stakeholders in project design and implementation | * Project partners and stakeholders * Needs assessment studies * Project documents | * Document analysis * Interviews with relevant stakeholders |
| Is the project internally coherent in its design? | * Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)? * Is the length of the project sufficient to achieve project outcomes? | * Level of coherence between project expected results and project design internal logic * Level of coherence between project design and project implementation approach | * Program and project documents * Key project stakeholders | * Document analysis * Key interviews |
| How is the project relevant with respect to other donor-supported activities? | * Does the GEF funding support activities and objectives not addressed by other donors? * How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? * Is there coordination and complementarily between donors? | * Degree to which program was coherent and complementary to other donor programming nationally and regionally | * Documents from other donor supported activities * Other donor representatives * Project documents | * Documents analyses * Interviews with project partners and relevant stakeholders |
| Does the project provide relevant lessons and experiences for other similar projects in the future? | * Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives? |  | * Data collected throughout evaluation | * Data analysis |
| **Effectiveness:** To what extent have the expected outcomes and objectives of the project been/be achieved? | | | | | |
| Has the project been effective in achieving the expected outcomes and objectives? | * Has the project been effective in achieving its expected outcomes? | * See indicators in project document results framework and logframe | * Project documents * Project team and relevant stakeholders * Data reported in project annual and quarterly reports | * Documents analysis * Interviews with project team * Interviews with relevant stakeholders | |
| How is risk and risk mitigation being managed? | * How well are risks, assumptions and impact drivers being managed? * What was the quality of risk mitigation strategies developed? Were these sufficient? * Are there clear strategies for risk mitigation related with long-term sustainability of the project? | * Completeness of risk identification and assumptions during project planning and design * Quality of existing information systems in place to identify emerging risks and other issues * Quality of risk mitigations strategies developed and followed | * Project documents * UNDP, project team, and relevant stakeholders | * Document analysis * Interviews | |
| What lessons can be drawn regarding effectiveness for other similar projects in the future? | * What lessons have been learned from the project regarding achievement of outcomes? * What changes could have been made (if any) to the design of the project in order to improve the achievement of the project’s expected results? |  | * Data collected throughout evaluation | * Data analysis | |
| **Efficiency**: Was the project implemented efficiently, in-line with international and national norms and standards? | | | | | |
| Was project support provided in an efficient way? | * Was adaptive management used or needed to ensure efficient resource use? * Did the project logical framework and work plans and any changes made to them use as management tools during implementation? * Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? * Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? * Was project implementation as cost effective as originally proposed (planned vs. actual) * Did the leveraging of funds (co-financing) happen as planned? * Were financial resources utilized efficiently? Could financial resources have been used more efficiently? * Was procurement carried out in a manner making efficient use of project resources? * How was results-based management used during project implementation? | * Availability and quality of financial and progress reports * Timeliness and adequacy of reporting provided * Level of discrepancy between planned and utilized financial expenditures * Planned vs. actual funds leveraged * Cost in view of results achieved compared to costs of similar projects from other organizations * Adequacy of project choices in view of existing context, infrastructure and cost * Quality of results-based management reporting (progress reporting, monitoring and evaluation) * Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency * Cost associated with delivery mechanism and management structure compare to alternatives | * Project documents and evaluations * UNDP * Project team | * Document analysis * Key interviews | |
| How efficient are partnership arrangements for the project? | * To what extent partnerships/linkages between institutions/ organizations were encouraged and supported? * Which partnerships/linkages were facilitated? * What was the level of efficiency of cooperation and collaboration arrangements? * Which methods were successful or not and why? | * Specific activities conducted to support the development of cooperative arrangements between partners, * Examples of supported partnerships * Evidence that particular partnerships/linkages will be sustained * Types/quality of partnership cooperation methods utilized | * Project documents and evaluations * Project partners and relevant stakeholders | * Document analysis * Interviews | |
| Did the project efficiently utilize local capacity in implementation? | * Was an appropriate balance struck between utilization of international expertise as well as local capacity? * Did the project take into account local capacity in design and implementation of the project? * Was there an effective collaboration between institutions responsible for implementing the project? | * Proportion of expertise utilized from international experts compared to national experts * Number/quality of analyses done to assess local capacity potential and absorptive capacity | * Project documents and evaluations * UNDP * Beneficiaries | * Document analysis * Interviews | |
| What lessons can be drawn regarding efficiency for other similar projects in the future? | * What lessons can be learnt from the project regarding efficiency? * How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc…)? * What changes could have been made (if any) to the project in order to improve its efficiency? |  | * Data collected throughout evaluation | * Data analysis | |
| **Results**: What are the current actual, and potential long-term, results of activities supported by the project? | | | | | |
| How is the project effective in achieving its long-term objectives? | * Will the project achieve its overall objective ? * Is the globally significant biodiversity of the target area likely to be conserved? * What barriers remain to achieving long-term objectives, or what necessary steps remain to be taken by stakeholders to achieve sustained impacts and Global Environmental Benefits? * Are there unanticipated results achieved or contributed to by the project? | * Change in capacity:   + To pool/mobilize resources   + For related policy making and strategic planning   + For implementation of related laws and strategies through adequate institutional frameworks and their maintenance * Change in use and implementation of sustainable livelihoods * Change in the number and strength of barriers such as:   + Knowledge about biodiversity conservation and sustainable use of biodiversity resources, and economic incentives in these areas   + Cross-institutional coordination and inter-sectoral dialogue   + Knowledge of biodiversity conservation and sustainable use practices by end users   + Coordination of policy and legal instruments incorporating biodiversity conservation and agro-environmental strategies   + Agro-environmental economic incentives for stakeholders | * Project documents * Key stakeholders * Monitoring data | * Documents analysis * Meetings with UNDP, project team and project partners * Interviews with project beneficiaries and other stakeholders | |
| How is the project effective in achieving the objectives of the UNCBD? | * What are the impacts or likely impacts of the project?   + On the local environment;   + On economic well-being;   + On other socio-economic issues. | * Provide specific examples of impacts at species, ecosystem or genetic levels, as relevant | * Project documents * UNCDB documents * Key Stakeholders * Monitoring data | * Data analysis * Interviews with key stakeholders | |
| Future directions for results | * How can the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives? |  | * Data collected throughout evaluation | * Data analysis | |
| **Sustainability**: Are the conditions in place for project-related benefits and results to be sustained? | | | | | |
| Are sustainability issues adequately integrated in project design? | * Were sustainability issues integrated into the design and implementation of the project? | * Evidence / quality of sustainability strategy * Evidence / quality of steps taken to ensure sustainability | * Project documents and evaluations * UNDP and project personnel and project partners * Beneficiaries | * Document analysis * Interviews | |
| Financial sustainability | * Did the project adequately address financial and economic sustainability issues? * Are the recurrent costs after project completion sustainable? * What are the main institutions/organizations in country that will take the project efforts forward after project end and what is the budget they have assigned to this? | * Level and source of future financial support to be provided to relevant sectors and activities after project ends * Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end * Level of recurrent costs after completion of project and funding sources for those recurrent costs | * Project documents and evaluations * UNDP and project personnel and project partners * Beneficiaries | * Document analysis * Interviews | |
| Institutional and governance sustainability | * Were the results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? * Is there evidence that project partners will continue their activities beyond project support? * What degree is there of local ownership of initiatives and results? * Were laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? * What is the level of political commitment to build on the results of the project? * Are there policies or practices in place that create perverse incentives that would negatively affect long-term benefits? | * Degree to which project activities and results have been taken over by local counterparts or institutions/organizations * Level of financial support to be provided to relevant sectors and activities by in-country actors after project end * Efforts to support the development of relevant laws and policies * State of enforcement and law making capacity * Evidences of commitment by government enactment of laws and resource allocation to priorities | * Project documents and evaluations * UNDP and project personnel and project partners * Beneficiaries | * Document analysis * Interviews | |
| Social-economic sustainability | * Are there adequate incentives to ensure sustained benefits achieved through the project? |  | * Project documents and evaluations * UNDP, project personnel and project partners * Beneficiaries | * Interviews * Documentation review | |
| Environmental sustainability | * Are there risks to the environmental benefits that were created or that are expected to occur? * Are there long-term environmental threats that have not been addressed by the project? * Have any new environmental threats emerged in the project’s lifetime? | * Evidence of potential threats such as infrastructure development * Assessment of unaddressed or emerging threats | * Project documents and evaluations * Threat assessments * Government documents or other external published information * UNDP, project personnel and project partners * Beneficiaries | * Interviews * Documentation review | |
| Individual, institutional and systemic capacity development | * Is the capacity in place at the regional, national and local levels adequate to ensure sustainability of the results achieved to date? | * Elements in place in those different management functions, at the appropriate levels (regional, national and local) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors | * Project documents * UNDP, project personnel and project partners * Beneficiaries * Capacity assessments available, if any | * Interviews * Documentation review | |
| Replication | * Is there potential to scale up or replicate project activities? * Did the project’s Exit Strategy actively promote replication? | * Number/quality of replicated initiatives * Number/quality of replicated innovative initiatives * Scale of additional investment leveraged | * Project Exit Strategy * UNDP, project personnel and project partners | * Document analysis * Interviews | |
| Challenges to sustainability of the project | * What are the main challenges that may hinder sustainability of efforts? * Have any of these been addressed through project management? * What could be the possible measures to further contribute to the sustainability of efforts achieved with the project? | * Challenges in view of building blocks of sustainability as presented above * Recent changes which may present new challenges to the project * Education strategy and partnership with school, education institutions etc. | * Project documents and evaluations * Beneficiaries * UNDP, project personnel and project partners | * Document analysis * Interviews | |
| Future directions for sustainability and catalytic role | * Which areas/arrangements under the project show the strongest potential for lasting long-term results? * What are the key challenges and obstacles to the sustainability of results of the project initiatives that must be directly and quickly addressed? |  | * Data collected throughout evaluation | * Data analysis | |

**Annex VIII: Evaluation Report Clearance Form**

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

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

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

UNDP GEF RTA

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

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

1. It was never specified how much was to be cash and how much in-kind [↑](#footnote-ref-1)
2. SGPP refers to the Kenya SGP Full Size Project for OP5 [↑](#footnote-ref-2)
3. Over the last 10 years, the following have contributed to the rehabilitation of Mt. Kenya forest; SGP + green belt movement = 520 ha; SGP + local CBOs = 400 ha, GEF-MKEPP Mt. Kenya East project = 1,965 ha and 230 ha of plantation, KFS-PELIS and Green Zones = 500ha. [↑](#footnote-ref-3)
4. Kiweni LMMA in Lamu, Wasini (Kwale), Mkokoni (Kiunga) and Kuruwitu LMMA in Kilifi [↑](#footnote-ref-4)
5. In the last 3 years, 162 units installed by SGP and 40 installed by GTZ and the National Biogas Programme. [↑](#footnote-ref-5)
6. An 8 cubic meters biogas plant offsets 4.8 tons/yr. The biogas units have been installed in the last 3 years. [↑](#footnote-ref-6)
7. These are BMUs that have simply elected executive committee members. Only about 17 BMUs have developed by-laws, have been trained on BMU operations, and have developed management plans. [↑](#footnote-ref-7)
8. Most county governments have developed 5-year Integrated County Development Plans (ICDPs) and the SGP could work with those that have defined priorities in common with those of the SGP. [↑](#footnote-ref-8)
9. For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undp.org/evaluation/handbook), Chapter 7, pg. 163 [↑](#footnote-ref-9)
10. A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office:  [ROTI Handbook 2009](http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf) [↑](#footnote-ref-10)
11. Over the last 10 years, the following have contributed to the rehabilitation of Mt. Kenya forest; SGP + green belt movement = 520 ha; SGP + local CBOs = 400 ha, GEF-MKEPP Mt. Kenya East project = 1,965 ha and 230 ha of plantation, KFS-PELIS and Green Zones = 500ha. [↑](#footnote-ref-11)
12. Kiweni LMMA in Lamu, Wasini (Kwale), Mkokoni (Kiunga) and Kuruwitu LMMA in Kilifi [↑](#footnote-ref-12)
13. In the last 3 years, 162 units installed by SGP and 40 installed by GTZ and the National Biogas Programme. [↑](#footnote-ref-13)
14. An 8 cubic meters biogas plant offsets 4.8 tons/yr. The biogas units have been installed in the last 3 years. [↑](#footnote-ref-14)
15. These are BMUs that have simply elected executive committee members. Only about 17 BMUs have developed by-laws, have been trained on BMU operations, and have developed management plans. [↑](#footnote-ref-15)