GEF-UNDP Project PIMS No: 4178, Project ID: 00063423

Biodiversity Focal Area SP3 – Strengthening Terrestrial Protected Area Networks

Strengthening the Protected Area Network of the Eastern Montane Forest Hotspot of Kenya

TERMINAL EVALUATION REPORT

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28th April 2016

Project implemented by Nature Kenya and The Ministry of Environment and Natural Resources, Kenya

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EXECUTIVE SUMMARY

Project Summary Table

Project Title:	Strengthening the Protected Area Network of the Eastern Montane Forest Hotspot of Kenya			
GEF Project ID:	3693		*at endorsement (Million US$)*	*at completion (Million US$)*
UNDP Project	00072462	GEF financing:	4.5	4.5
Country:	Kenya	IA/EA own:	1.5 (in kind)	1.50
Region:	Africa	Government:	10.47 (in kind)	12.40
Focal Area:	Biodiversity	Other: (UNDP)	0.5	0.5
FA Objectives, (OP/SP):		Total co-financing:	12.47	14.40
Executing Agency:	Nature Kenya	Total Project Cost:	16.97	18.90
Other Partners involved:	KWS, KFS, KEFRI & MENR	ProDoc Signature (date project began):		24 Sept 2010
		(Operational) Closing Date:	Proposed: 31st Dec 2015	Actual:

Project Description

The "Eastern Afromontane Hotspot" consists of the montane forests in the Cherangani Hills, North and South Nandi and Kakamega in Western Kenya and has been designated as one of three biodiversity hotspots in Kenya. Most of these forests were already in Protected Areas (PAs) classified as Forest Reserves and were managed as production forests by Kenya Forest Service. The project aimed to identify areas of high biodiversity value within these forests and increase their protection status by reclassifying them as National Reserves or Nature Reserves. These PA categories provide higher levels of protection and changes the management objective from production forest to biodiversity conservation. The target area for reclassification to a higher protection category was 65,000 ha.

In addition, the project aimed to reduce threats to the forests by establishing 10,000 ha Community Conservation Areas (CCAs) and 20,000 ha of Joint Forest Management (JFM) areas as buffer zones around existing Forest Reserves.

Management effectiveness was to be improved by strengthening the capacity of the government institutions and communities involved in managing the PAs. This included capacity building support to Community Forest Associations (CFAs) and to Kenya Forest Service (KFS) and Kenya Wildlife Service (KWS) involving training, technical support, development of forest management plans and infrastructure support.

Summary of achievements

The project has made significant progress in reducing pressures on the Protected Areas and increasing capacity of the management authorities responsible for the PA's. The project has improved the protection status of over 73,000 ha of natural forests in the target areas through development of Forest Station and Ecosystem Management Plans in which areas zoned for production were re-zoned to biodiversity conservation. The case for reclassification parts of those forests to Nature Reserves and National Reserves is still being considered by the authorities. Ten Community Conservation Areas and ten Joint Forest Management Areas were established and now have active management committees. The Community Forest Associations have made substantial progress and many have signed forest management agreements that provide for co-management of forests with KFS. Operational capacities of KFS, KWS and the CFAs have been improved by provision of infrastructure and other support. In addition, substantial progress was made on building trust and collaborative working relationships between the key stakeholders, improving institutional coordination in management of PAs,

developing plans, integrating PAs into local development frameworks, and building the capacity of the institutions for PA management and conservation.

Evaluation Rating

Evaluation Ratings*:			
1. Monitoring and Evaluation	Rating	2. IA& EA Execution	Rating
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	U	Quality of Execution - Executing Agency	S
Overall quality of M&E	MU	Overall quality of Implementation /	S
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Relevance	R	Financial resources sustainability:	L
Effectiveness	S	Socio-political sustainability	L
Efficiency	S	Institutional framework and governance:	ML
Overall Project Outcome Rating	S	Environmental sustainability	L
		Overall likelihood of sustainability:	ML
5. Impact: Significant (S), Minimal (M), Negligible (N)	Rating		
Environmental Status Improvement	U/A		
Environmental Stress reduction	Significant		
Progress towards stress/status change	Significant		
OVERALL PROJECT RESULTS	MS (4 out of 6)		

* Rating scale: Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

Sustainability ratings: 4. Likely (L), negligible risks; 3. Moderately Likely (ML), moderate risks; 2. Moderately Unlikely (MU); 1. Unlikely (UL), severe risk.

Relevance ratings: 2. Relevant (R), 1 Not Relevant (NR)

Other: Unable to Assess (U/A)

Summary of conclusions and lessons for project design, implementation, monitoring and evaluation

The participatory project design process helped to build trust and collaboration between the future implementing partners and ensured the project objectives were in line with local priorities. The co-funding requirement also helped to ensure the project was relevant to local needs. The targets for reclassification of PAs to a higher protection status proved to be too ambitious. Most other targets were realistic and achievable but risks and assumptions were weak and the project results framework had some overlaps between components.

This was a complex project requiring collaboration between several government and non-government stakeholders. The strategy of implementing the project through an independent NGO (Nature Kenya) worked very well. The planned implementation arrangements were revised at the beginning of the project but insufficient consideration was given to staffing requirements in the revision especially in relation to M&E. The Site Advisory Committees worked very effectively at the field level and were an effective mechanism for ensuring local ownership of project interventions.

Monitoring and Evaluation on the project was weak and more detailed project progress reports and financial reports would have improved management effectiveness and efficiency and adaptive management.

Summary of recommendations

In total, 26 recommendations are provided covering a) project design, implementation, monitoring and evaluation b) recommended actions to follow up or reinforce initial benefits from the project, and c) recommendations for future directions underlining the main objectives.

The recommendations for improving project design, implementation and M&E are aimed at improving the design and implementation of future projects and are summarized as follows:

i. Reduce the cash component of co-funding requirement and increase the in-kind component as government implementing partners are usually cash poor but have substantial in-kind resources.

ii. The budget breakdown in the project document should include the co-funding component

iii. A more robust consideration of assumptions and risks is required at the planning stage

iv. A clear and unambiguous results framework with no overlaps is needed.

v. Revisions to project targets should be documented and formally approved.

vi. Revisions of project implementing arrangements should be documented and formally approved.

vii. Progress and financial reports should show progress against targets in the format of the results framework and project budget

viii. All projects need a comprehensive M&E plan and provision for staff to implement the plan.

ix. Financial reports should be produced in the format of the budget in the project

x. Budgets and financial reports should include the cash components of co-financing.

xi. A standardized biodiversity monitoring framework is needed for Kenya which all stakeholders involved in Biodiversity monitoring can use.

The recommendations to follow up or reinforce initial benefits from the project are summarized as follows:

xii. Identify and map the biodiversity hotspots within the areas already zoned for conservation in the forest management plans during the project, with a view to potentially reclassifying them to higher PA categories in future.

xiii. Implement the plans developed during the project.

xiv. Landscape and Forest station level plans should be integrated into County Development Plans

xv. County Governments should assume responsibility for supporting continued capacity building of CFAs.

xvi. CFAs require funds. KFS should consider ways of sharing forest revenues as a way of funding CFAs.

xvii. Completion of resource user agreements is an urgent priority to avoid disillusionment of CFA members.

xviii. KFS should take up the coordinating role and capacity building role which Nature Kenya had during implementation. This would include coordinating counties at the ecosystem level, providing capacity building support to Counties and coordinating the various institutions involved in forest management.

xix. The Site Advisory Committees should be reformed at the County level and provide support to the County Governments and act on their behalf, including acting as a mediator between CFAs and Forest Stations

xx. Update State of the Environment Reports annually and integrate any changes into County Development plans.

xxi. Compile and document biodiversity survey data collected during the project.

xxii. Document the low-cost methodology for community based monitoring of biodiversity focusing on threatened species.

xxiii. Lessons learned and project successes should be documented.

The recommendations for future directions underlining the main objectives are summarized as follows:

xxiv.   Areas of high biodiversity within the Community Conservation Areas established during the project should be identified and mapped with the aim of gazetting them as National Monuments.

 xxv.   Project partners should work with KWS to develop a standardized biodiversity monitoring framework for Kenya which is compatible with international (IUCN) standards which can be used for biodiversity monitoring by all organisations in Kenya.

xxvi.   Develop new baselines for the three ecosystems using the agreed biodiversity monitoring framework and the data collected during the project.

Acronyms and abbreviations

CBNRM	Community Based Natural Resources Management
CBO	Community-Based Organisation
CCA	Community Conservation Area
CDTF	Community Development Trust Fund
CHEMUDEP	Cherang'ani Indigenous peoples Organisation
FR	Forest Reserve
GEF	Global Environment Facility
GoK	Government of Kenya
IBA	Important Bird Area
IUCN	International Union for the Conservation of Nature
JFM	Joint Forest Management
KEEP	Kakamega Environment Education Programme
KEFRI	Kenya Forest Research Institute KFS Kenya Forest Service
KWS	Kenya Wildlife Service
MENR	Ministry of Environment and Natural Resources
MTR	Mid-Term Review
NEMA	National Environment Management Agency, Kenya
NGO	Non-Governmental Organisation
NK	Nature Kenya
NMK	National Museums of Kenya
PA	Protected Area
PELIS	Plantation Establishment and Livelihoods Improvement Scheme
PIR	Project Implementation Review
PFMP	Participatory Forest Management Plans
REDD	Reduced Emissions from Deforestation and Forest Degradation
SAC	Site Advisory Committee
SOER	State Of the Environment Report
SSG	Site Support Group (Birdlife)
TAC	Technical Advisory Committee
UNDP	United Nations Development Programme

1 INTRODUCTION

1.1. Purpose of the evaluation

This evaluation was carried out in line with UNDP and GEF Monitoring and Evaluation policies and procedures which require that all full and medium-sized projects undergo a terminal evaluation upon completion of implementation. The purpose of the terminal evaluation as specified in the UNDP guidelines for terminal evaluations are:

- To promote accountability and transparency

- To synthesize lessons that can improve future project planning and implementation

- To provide feedback on issues across the broader UNDP portfolio of projects

- To contribute to assessment of broader GEF strategic objectives

- To assess the extent of convergence with other UN and UNDP priorities

The evaluation covers all project activities supported by UNDP/GEF and implemented by the host institution, Nature Kenya. It also covers the activities that the project collaborating partners were implementing as part of the co-financing of the project.

The objectives of the evaluation, as specified in the consultant's terms of reference 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".

1.1 Scope and Methodology

The evaluation was conducted by an independent international consultant according to the guidance, rules and procedures established by UNDP and GEF as described in the "UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects". It was initially planned to start in early November 2015 and was due for completion by project close out at the end of December but was delayed and eventually started on 1 December and completed on 30 January 2016

The project was evaluated by reference to the criteria of relevance, effectiveness, efficiency, sustainability, and impact and was focused at the level of the project goals, objectives and outcomes rather than at the more detailed output levels. At the inception stage, an evaluation matrix and a set of evaluation questions was developed for each of these criteria and formed the basis of the evaluation (attached in annexes 6 and 7). The findings in Section 3 of this report are presented for each of these criteria and include scores for achievement against each criterion.

The information on which the evaluation is based was generated through a combination of document reviews, field observations and assessments, and interviews with project implementers, partners and beneficiaries.

Resource documents reviewed included Annual Project Implementation Review (PIR) reports, project financial reports, midterm review report, work plans and progress reports, GEF management effectiveness tracking tools, project files, national strategic and legal documents, and other materials. The workplans and progress reports provided the basis for assessing the project achievements against its targets. A full list of documents reviewed is provided in Annex 5.

The consultant undertook field visits to each of the three project focal areas – North and South Nandi,

Kakamega and Cherangani accompanied by the Nature Kenya Project Manager Washington Ayiemba and the respective Nature Kenya field officers Joel Siele, Gibson Kitsao and Julius Kimani. The specific locations visited were selected to provide a good representative sample of the range of activities implemented by the project and the challenges faced in implementation. In each of the three areas, discussions were held with KFS and KWS staff, CFA members, Site Advisory Committee members, demonstration farmers, schools, County officials, NEMA staff and representatives of the Cherang'ani indigenous peoples' association among others. There were no limitations experienced in terms of language constraints as both the evaluator and the project participants spoke either English or Swahili. A report on all the field meetings held is provided in Annex 4.

In addition to interviews held in the field, the consultant interviewed project partners and collaborating agencies in Nairobi, including project steering committee members and staff from KFS, KWS, UNDP and Nature Kenya.

During both the field visits and the interviews in Nairobi, the evaluation matrix and associated list of questions for each of the evaluation criteria, provided the basis for the interviews.

The process was participatory and consultative throughout and involved close consultations with project implementing partners and stakeholders. The evaluator provided his initial findings to project implementing partners for comment and feedback at a consultative workshop before drafting the initial report of findings. Initial drafts of the report were provided to the key partners for review and comment before finalizing.

There were no constraints in terms of time and the draft report was submitted to UNDP on 30 January 2016.

1.2   Structure of the evaluation report

The structure of the evaluation report and accompanying annexes follows the standard layout and sections prescribed by UNDP and as specified in Annex F of the evaluation consultant's terms of reference.

2   PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

2.1   Project start and duration

The idea for the project was originally conceived in 2002 as a follow-on to a UNDP-GEF funded project on community based conservation around Important Bird Areas (IBA's) which was ending at that time. That project (African NGO-Government Partnerships for Sustainable Biodiversity Action RAF/97/G31) was a multi-country project and the Kenya country component was implemented by Nature Kenya in conjunction with Birdlife International. A concept for a follow-on project was developed focusing on community involvement in conservation of IBAs in Kenya but was not implemented due to changes in both Kenyan and GEF priorities. However, the project concept was subsequently modified to focus on high biodiversity hotspots and IBAs in Western Kenya and in 2008 was accepted by GEF-UNDP which provided funding ($150,000) to develop a full scale project proposal in partnership with expected project implementing partners Kenya Wildlife Service (KWS), Kenya Forest Service (KFS), the National Environment Management Authority (NEMA) and Kenya Forest Research Institute (KEFRI). The final project proposal

was submitted to UNDP-GEF and approved in December 2009 and approved by the Government of Kenya (GoK) in Sept 2010.

The project duration was five years with a GEF budget of $4.5 million. Co-funding by UNDP and project implementing partners brought the total project funding to $16.97 million (consisting of GEF $4.5m, UNDP $0.50m, Nature Kenya $1.5m, KFS $5.5, KWS $2.85m, NEMA $0.62m, KEFRI $1.5m). Disbursement of funds and project implementation began on 1 January 2011. By that time, in its role as the Kenyan partner of Birdlife International, Nature Kenya was already carrying out activities in the project area in support of community conservation around IBA's using funding provided by DFID. The DFID funding was accepted as Nature Kenya's co-funding contribution to this project.

2.2   Problems that the project sought to address

The "Eastern Afromontane Hotspot" consists of the montane forests in the Cherangani Hills, North and South Nandi and Kakamega forests in Western Kenya and has been designated as one of three biodiversity hotspots in Kenya. Most of these forests were already in Protected Areas classified as Forest Reserves and managed as production forests by Kenya Forest Service and there were already some smaller areas in Kakamega Forest categorized as National Reserves and Nature Reserves and managed as biodiversity conservation areas by Kenya Wildlife Service. In addition, there were fragmented patches of natural forest, riverine forest and wetlands occurring outside the protected areas that were not being managed or protected. Forest loss and degradation was occurring in all of these areas.

Areas of high biodiversity value were being degraded within Forest Reserves through unsustainable utilization of timber, excisions, illegal harvesting and charcoal burning, forest fires, agricultural encroachment and unsustainable commercial forestry. Areas of high forest biodiversity value outside the Reserves were being degraded and fragmented by unsustainable wild harvesting of natural resources and clearance for agriculture.

The analysis of root causes of biodiversity loss identified a combination of factors at local and national levels. They included absence/inadequacy of management plans and bio-regional conservation strategies, uncoordinated land development planning and a financial and human resources deficit for effective mitigation activities at central and local government levels and in communities. At national level, there was a lack of baseline information on protected areas and lack of participatory forest management plans. Weaknesses in forest management were identified and included lack of coordination, conflicts and inadequate law enforcement.

The main agencies responsible for managing the PA network had weak operational capacity and were under-resourced. There was very little coordination between the agencies (KWS and KFS) and the communities surrounding the PAs. The 2005 Forests Act had made provision for community involvement in forest management and although a number of Community Forest Associations had been set up, they were only beginning to engage with KFS in forest management.

2.3   Immediate and development objectives of the project

The project aimed to identify certain areas of high biodiversity value within the forest ecosystems in Western Kenya (Cherangani Hills, North and South Nandi and Kakamega Forests) and reclassify them to higher conservation categories. The target was 65,000 ha to be put under improved management regimes. 20,000 ha's of forest currently classified as Forest Reserves was to be reclassified as National Reserves and 25,000 ha's reclassified as Nature Reserves. In addition, 20,000 ha of new PA's were to be established in currently unprotected lands. These new PA's were to consist mainly of smaller forest patches, wetlands and

riverine areas that were important for biodiversity but also provided ecosystem services and livelihood support for the communities in the settlement areas. In addition, the project was to establish 10,000 ha Community Conservation Areas (CCAs) and 20,000 ha of Joint Forest Management (JFM) areas. These were buffer zones to be established around existing forest PA's aimed at reducing threats to the forest.

Management effectiveness in these areas was to be improved by strengthening collaboration between the PA management authorities, local communities and other stakeholders. This was to be achieved by strengthening CFAs, encouraging community protection of the resources, providing benefits to communities through resource use agreements between communities and KFS, and creation of buffer zones.

In addition, the project aimed to strengthen management capacity and effectiveness by providing capacity building support to all the institutions involved including planning support, development of systems, providing training and infrastructure support.

2.4   Baseline Indicators Established

Baseline scenario

In discussing the root causes for PA degradation in Western Kenya, the project document identified lack of baseline information as one of the factors contributing to forest loss and degradation. Quantitative baseline information was not available for many attributes at the beginning of the project and although a substantial amount of information was collected during implementation, compilation and documentation is yet to be done and this has made it difficult to assess the impact of the project.

As the baseline scenario, the project document described the situation regarding status of the PA network in the areas covered by the project. KFS and KWS had good map data on forest extent in the three ecosystems compiled from various sources in the years prior to the project. Provision was made to collect more specific information during implementation including mapping globally threatened biodiversity within the key biodiversity area and mapping buffer zones.

Baseline Information on threats was available from the annual IBA status and trends reports going back to the early 2000's using the state-pressure-response methodology and information is available for all three landscapes. There is also good information on bird populations available from the IBA monitoring programme. Additional information on the biodiversity status of the PAs was available from a report compiled by Nature Kenya from a literature review and rapid field visits.

In regard to the baseline scenario for community management of forests, the nature and extent of community involvement prior to the project was described, including the specific community groups and associations involved, along with some analysis of gaps and constraints.

With regard to operational capacity, the status and capacity of the institutions KWS and KFD are described, along with the legal and policy frameworks and collaboration mechanisms between the two institutions. The baseline descriptions for these three aspects provide the basis for assessing the impact of project interventions if compared to the situation at the end of the project.

Baseline data for goal, objectives, outcomes, and outputs.

As regards baseline data and indicators for the project goal, objective, outcomes and outputs, 13 baselines are provided in the project document results framework. At the objective level, the targets and indicators relating to reclassification are clear and easily measureable. Those relating to improved management and

reduction of threat levels are less easy to measure because of lack of quantifiable information on threats. The target for reduction of threats to forest is described in the results framework as "threats to forests markedly reduced". This is too open to subjective interpretation and a more objective measure is required. The targets on biodiversity loss and forest degradation or improvement are also more difficult to measure and quantify as the baselines and targets are not clear.

Under **Component 1** (institutional capacities and rationalized estate), three indicators, baselines and targets are provided. The project target of 20% increase in financial score card for the 65,000 ha targeted for reclassification to higher status. As the 65,000 ha was not yet identified it was not possible to provide a baseline scorecard figure.

A target of increased METT scores by 20% for the 3 ecosystems was set and a baseline level was provided in the 2012 Project Implementation Review (PIR) report. A target for establishment of 10 Joint Forest Management areas is clear and measureable

The description of the financial indicators/baselines/targets for Component 1 in the results framework are to increase the PA budget to >50% of the baseline figure of >$5m p.a. which is clear and measureable.

Under **Component 2,** four indicators/baselines/targets are provided. The end-of-project target and baselines for community capacity in Community Conservation and JFM are quite general and subjective at the outcome (or component) level (although if elaborated at the output level they could be much more specific and objective). The baseline is described as "limited or no community capacity…" which is too general.

The results framework target for JFM area is 20,000 ha's and the baseline is described as continued encroachment and "forest degradation and deforestation levels maintained…". There is no coherence between the indicator, baseline and target (the indicator is described as incentivizing community participation which is more like a target than an indicator).

The target of reducing cost of management due to community involvement is not specific (no figure is provided) and the baseline (e.g. cost before the project started) is not specified.

The target for development of business plans is not specific. Presumably the intention is that each CCA and JFM area should have a business plan and the baseline at project start is zero business plans. The baseline in the results framework simply states "forest remains under threat due to lack of alternative livelihood options".

Under **Component 3**, which focuses on capacity to manage the PA network the target is described in terms of METT scores. The target of 20% improvement is clear. The baseline simple says "METT scores remain at status quo levels or decline". The results framework also includes under Component 3 a reference to targets for reduction of forest loss and degradation to be measured in terms of species diversity, but no targets are provided and no baselines are provided as information was not available. This would have been a task for M&E staff in the initial stage of implementation to collect this baseline data.

The project plan recognized that there was a lack of baseline information and made provision for identifying key indicators and baseline information needs during the initial stages of project implementation (Output 5.1.3)

2.5   Main Stakeholders

The project implementing partners at national level are the Ministry of Environment and Natural Resources

(formerly Ministry of Environment and Mineral Resources), Nature Kenya, Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), Kenya Forestry Research Institute (KEFRI), National Museums of Kenya (NMK), National Environment Management Authority (NEMA).

At the field level, in addition to the above partners, there are Community Forest Associations, and many local community organisations, CBOs and NGOs involved in biodiversity conservation activities.

The main project stakeholders are:

- **Nature Kenya**, a long established and respected Kenya conservation NGO (formerly the East African Natural History Society). It is the UNDP/GEF implementing partner on the project. Its role is to manage the project, coordinate other implementing partners and manage the funds from UNDP/GEF.

- **Kenya Forest Service** (KFS) is a government parastatal organization under the Ministry of Environment and Natural Resources (MENR), responsible for management of Forest Reserves including natural forests and plantations. As most project activities are implemented in and around Forest Reserves, KFS is the main implementing partner on the project.

- **Kenya Forest Research Institute** (KEFRI) is a parastatal organization under the MENR. Its role was to carry out research activities on the project and to train local communities in seed and seedling production.

- **Kenya Wildlife Service** (KWS) is a parastatal organization under the MENR. Its role is to manage biodiversity conservation in National Parks and Reserves and other PAs conserved for biodiversity. Compared to KFS it has few PAs and a low level of presence in Western Kenya. However, its role was expected to increase in line with the expansion of the PA network in Western Kenya and the reclassification of certain areas within Forest Reserves to higher categories of protected areas.

- The **National Environment Management Authority** (NEMA) is responsible for coordinating environment management and protection. It is an autonomous body but has a role in assisting County Governments in ensuring development is environmentally sustainable.

- **County Governments**, were newly created mid-way through project implementation as part of the devolution policy. They assumed an important role in the second half of the project and will tin future have a key role in supporting CFAs.

- **Community Forest Associations** (CFAs) represent communities around Forest Reserves. They have a legal basis and are increasingly important as partners with KFS in forest management.

- Others, including conservation NGOs and community groups. In Cherangani landscape the **Cherang'ani Multipurpose Development Programme** (CHEMUDEP) is an important stakeholder representing the indigenous forest dwellers.

2.6 Expected Results

The project objective hierarchy consisted of the goal, objective, components, outcomes, outputs and sub-outputs. The overall goal is "*The Montane Forest Biodiversity and Ecosystem Values are Conserved and Provide Sustainable Benefit Flows at Local, National and Global Level*" and the immediate project objective is "*The biodiversity of the Eastern Montane Forests is adequately represented and managed*

within Kenya's Protected Area network"[1].

The components and outcomes were as follows:

Component 1: Systemic and institutional capacities for managing an expanded and rationalized PA estate expanded

- New PAs established: 20,000 ha; threatened forest reserves forests reclassified to higher management category: National Reserve (20,000 ha.)/Nature Reserve (25,000 ha): a total of 65,000 ha under improved PA management regimes.

- Of the 20,000 ha, reclassified, the majority will be the smaller forest patches currently unprotected. Of the 45,000 ha to be reclassified, these will be divided between the three focal landscapes of the Cherangani Hills, Kakamega Forest and the North and South Nandi Forests, proportionally.

- Governance systems provide for the effective administration of the PA system as part of the regional development agenda by effective mainstreaming into local planning (measured by the PA Systems Scorecard).

- Increase in PA budget of >50 % over baseline of USD >5 mill$ p.a. covers recurrent costs of forest protected area system (PA Finance Score Card).

Component 2: Community management of PAs (JFM/CBNRM) established.

- Reduction in forest loss in small unprotected forest blocks. CCAs established covering a target area of 10,000 ha. These will be likely be on average 1,000ha in size each if 10 area created.

- Reduction in forest degradation at the forest edge through the creation of JFM buffer zones in Forest Pas in the three landscapes (20,000 ha of existing forest, focusing on the buffer zones and likely to be divided proportionally between the three landscapes according to area – to be confirmed at project inception)

- Cost drivers for PAs are reduced as community acceptance of PAs leads to a reduction of PA incursions

- PA management system effectively integrates conservation needs and local livelihoods.

Component 3: Operational capacities for PA site management improved.

- Protected Areas are managed to generate effective global and national and local environmental benefits, by agencies with functional capacity (measured by site level Management Effectiveness Tracking Tool).

- Reduction in forest loss and degradation in forest blocks covering an area of 175,000 ha. in western Kenya.

A series of outputs and sub-outputs as described for each outcome in the project results framework.

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[1] Note this is the wording in the results framework

3 FINDINGS

3.1 Project Design / Formulation

3.1.1 Analysis of LFA/Results Framework (Project logic /strategy; Indicators)

Clarity and feasibility of project objectives and components and feasibility within the project timeframe

The goal in the Project Results Framework is clear but the objective is confusing as it is worded differently in the project document text and the results framework. In the text (Project Document p.45) it is worded as "the spatial coverage and management effectiveness of the Montane Forest PA subsystem is expanded and strengthened". In the results framework it is "the biodiversity of the Eastern Montane Forests is adequately represented and managed within Kenya's PA network".

The three project components are fairly clear although there is some overlap in the targets in the results framework with targets for Community Conservation Areas and Joint Forest Management appearing in both components 1 and 2. The results framework included indicators and baselines for the outcomes but not for the outputs and sub outputs, but it would have been expected that they would be developed as part of the M&E planning process at an early stage in implementation.

Overall the project objective and components are clear and feasible within the project timescale.

Parts of the results framework are confusing. In the first section describing the Goal, Objective and Components, the indicator column does not list indicators but lists the outcomes as described in the text, so there may have been confusion between outcomes and indicators. Also, at the objective level in the project results framework, the three indicators listed are not key performance indicators but summaries of the targets for the three components, so there is overlap between that column and the "Target by End of Project" column.

Are planned outcomes "SMART"?

An important point to consider in assessing the project formulation is whether the planned outcomes are SMART (specific, measureable, achievable, relevant and time bound). There are 10 project outcomes listed under the three project components in section 2.6 above. The outcomes are considered highly *specific*, mostly *measureable* although measuring reduction in forest loss and forest degradation are challenging, *achievable* and within the capacity of the partners to achieve although the reclassification of forest areas to higher conservation status was ambitious, highly *relevant* to local, national and GEF priorities, and are *time-bound* within the time frame of the project.

Partnership arrangements, roles and responsibilities

Due to the multi-party planning process, the partnership arrangements were discussed and agreed during the planning stage and were clear.

Counterpart capacities and resources at project entry

The capacities of the implementing partners were fully taken into consideration during the project design stage as the all the partners were fully involved in planning the project. All partners already had an active presence in the project focal areas and had staffing and infrastructure resources and management capacity

in place at project entry. The enabling legislation for participatory forest management was also in place having been provided in the new Forests Act in 2005.

3.1.2 Assumptions and Risks

The risks and assumptions were not well articulated in the project document. A number of risk factors were identified but assumptions were not identified and discussed, yet there were important assumptions underlying the project design.

The risks were listed and rated in the project document and mitigation measures were provided. In all five risks were listed – 3 rated low risk, one medium and one high risk. The high and medium risk factors were both related to pressures on the forest - "land pressures short term gain seekers reduce attempts for rational landscape level conservation", and "significant increases in externally driven pressure on forest Pas leading to increased forest loss and fragmentation". During project implementation these pressures were mitigated by involving communities in management and protection of the forests. CFAs are now supporting KFS on forest protection and law enforcement.

The risk of the KFS-KWS partnership not functioning well was identified but rated as low risk although in practice this turned out to be a major obstacle at the beginning of implementation. The specific issue of disagreement over reclassification of forest reserves to a higher status and transfer of control of those areas from KFS to KWS was not foreseen.

The other low risk factors identified were: that KFS as a new institution would receive little official support and funding; and that climate change would lead to changes in biodiversity components and changes in community and private sector demands on the forests. Neither of these risks materialized.

There were other risks that could have been considered at the planning stage such as risks associated with devolution of control to county governments, other institutional changes, risks relating to capacities of CFAs to fulfill their mandates, risks around negotiation of forest use agreements between CFAs and KFS and reluctance of KFS to empower CFAs, governance risks with CFAs and the other participating institutions, and others.

3.1.3 Lessons from other relevant projects incorporated into project design

Prior to the project, all of the implementing partners had already been working on forest conservation issues and implementing projects in the focal areas using multi stakeholder planning processes and brought lessons from that experience into the design of the project. Nature Kenya and KFS were implementing partners on the DFID funded conservation and livelihoods project in South Nandi from 2008-2012 which included support to establishment of CFAs, livelihoods activities, energy saving stoves etc. When that project ended, most of the project staff on that project transferred to the new project. Similarly, in Cherangani a World Bank funded NRM project implemented by KFS ended in 2011/12 and the KFS staff on that project participated in the design of the GEF/UNDP project.

Nature Kenya has been implementing biodiversity conservation projects in the three focal landscapes particular in IBAs for many years and brought that experience to the project design. Nature Kenya has also been championing Participatory Forest Management with the Miti Mingi Maisha Bora project since 2007/8 and brought lessons from that experience into the project design.

3.1.4 Planned stakeholder participation

A participatory approach to project planning and implementation was a necessary for this project as several

government institutions and local organizations have mandates and functions that are relating to the project objectives.

The multi stakeholder collaborative approach started at the project planning stage and was carried on through implementation. The project document included a stakeholder involvement plan that included roles and responsibilities of various stakeholders, stakeholder participation principles and a plan for long term stakeholder participation. During implementation, at the ecosystem levels and field levels the Site Advisory Committees provided a key forum for stakeholder participation and helped to increase ownership of project activities, while the project Technical Advisory Committee/Steering Committee achieved the same at the national level.

The County Governments were established mid-way through the project and have become important project partners in the last two years of implementation. They became members of the Site Advisory Committees and are expected to assume a key role in supporting the CFAs after the withdrawal of Nature Kenya and UNDP.

3.1.5   Replication approach

The project design was in line with the best biodiversity management practices internationally and incorporated relevant lessons from past experience with similar projects in Kenya. It was expected to demonstrate a biodiversity conservation model involving participation by different stakeholders at different levels that could be replicated in other parts of Kenya. As all the key institutions involved in biodiversity conservation in Kenya were implementing partners, the project provided an ideal environment for learning and capacity building and encouraging replication of the model in other parts of the country.

The project document included a replication strategy and action plan that made provision for: feeding back lessons to participating institutions and GoK systems; enabling lessons learned at field level to inform development of national strategies and policies; capturing, documenting and disseminating lessons learned in technical papers; sharing lessons and experience at local and international meetings.

3.1.6   UNDP comparative advantage

UNDP has a Country Office in Kenya staffed mainly by Kenyans which ensures the context is well understood and its development plans will be practical and achievable. UNDP has a history of engagement with biodiversity conservation in Kenya and has worked with Nature Kenya in the past implementing an earlier project on community based conservation around IBA's (African NGO-Government Partnerships for Sustainable Biodiversity Action RAF/97/G31) which was implemented in 10 countries in Africa and ended in 2002. This background and experience means UNDP is well placed to design relevant, practical and achievable biodiversity projects in Kenya.

3.1.7   Linkages between project and other interventions within the sector

During implementation, linkages were established with other projects supporting community conservation and establishment and capacity building of CFA's including Community Development Trust funded (CDTF) funded activities and some GoK NRM initiatives. Exchange visits to other parts of Kenya where community conservation is working well (such as Mt Kenya and the northern rangelands) have helped to build capacity of CFAs by exchanging experiences and learning lessons.

In addition, the project has established links with the Water Resources Management Authority and with Water Resource Users' Associations and jointly carried out tree planting in riparian areas along river courses. The project is providing information to the team designing the proposed EU funded water towers

project which is in the final stages of preparation.

As the project was closing, links were established in Nandi Ecosystem with the Lake Victoria Environment Management Project (LVEMP) which is expected to assist implementation of plans for Community Conservation Areas after the current project ends.

3.1.8 Management arrangements

The management arrangements described in the project document consists of a Project Steering Committee (co-chaired by UNDP and MEMR), a Project Coordination Unit (PCU, headed by a Policy Specialist), the UNDP/GEF implementing partner Nature Kenya coordinating field activities with field staff and three landscape based Site Advisory Committees (SACs). The functions and functional relationships of each are described in the project document.

The project implementation modality described in the project document is a complex arrangement involving the Ministry, Nature Kenya, UNDP, the PCU and Steering Committee which the evaluator struggled to understand. This arrangement was revised at the beginning of the project implementation (see discussion in the section 3.2.1 below).

3.2 Project Implementation

3.2.1 Adaptive management (changes to the project design and project outputs during implementation)

Changes to project objectives and targets

There were no formal changes to the project objectives and targets during implementation but there were some modifications which were accepted by the partners although not formally documented and approved.

The most notable modification was to the target in Component 1 to create new PAs and reclassify areas in Forest Reserves to higher protection categories. The original target was: 20,000 ha's of new PAs established; 20,000 ha of threatened Forest Reserve lands reclassified to National Reserves; and 25,000 ha's of threatened Forest Reserves reclassified to Nature Reserves. It was quickly realized that creation of new PA's and reclassification and gazetting PAs is a difficult and slow process in Kenya requiring government approval and that this objective may have been too ambitious. In addition, at the project outset the KFS disagreed with the plan to reclassify Forest Reserve lands as this would result in transfer of management responsibility for these areas to KWS (the institutional mandates dictated that Forest Reserves were under KFS but Nature Reserves and National Reserves were the responsibility of KWS). The compromise was that these areas would remain as Forest Reserves but would be zoned as conservation areas in forest management plans at Forest Station and Ecosystem levels. This changes the management objective from production forest to biodiversity conservation and thereby raises their protection status. A total of 73,581 ha's was reported as zoned in this way in the PIR report of 30 June 2013.

The original target would have provided stronger protection including legal protection but the rezoning compromise is a step in the right direction. The Kakamega ecosystem plan map shows the core conservation zone and the potential utilization zone, while the North and South Nandi plan map shows natural forests but the biodiversity management zone is not shown. The Cherang'ani strategic ecosystem management plan zonation map shows all of the natural forest area in the conservation zone.

The next step is to identify specific areas of high biodiversity value within the conservation zones using information generated by the biodiversity surveys carried out during the project. Those hotspots should be mapped with the aim of providing additional protection and potentially reclassifying them to a higher protection category sometime in the future as originally planned.

Additional risks and assumptions identified during project implementation

The Annual Reports did not specifically mention risks but there is a provision in the PIR reports for new risks identified during implementation. 2015 PIR report identified a risk to forest rehabilitation caused by communities living within Embotut forest. The risk was mitigated through consultations and dialogue which resulted in evacuation of communities from the forest.

Institutional changes during implementation

The implementation arrangements described in the project document were revised at the initial Steering Committee meeting. The revised arrangement consisted of a Steering Committee, a Technical Advisory Committee (a subcommittee of the Steering Committee), Nature Kenya as the project coordinator and implementer with staff in Nairobi and at each of the three landscape sites, and three Site Advisory Committees (one for each of the landscapes).

The proposed Project Coordinating Unit (PCU) was not formed and instead its functions were assumed by Nature Kenya. The role envisaged for the PCU included day-to-day oversight and coordination on implementation of project activities, reporting, supervision of consultants, provision of periodic audit reports, documenting lessons. The staff planned for the PCU included a Policy Specialist, a Site Support Specialist, an M&E Specialist, an Administrator /Accountant and Site Policy Officers. Although Nature Kenya assumed these functions, the planned staff positions were not filled resulting in understaffing. In particular, the M&E function was left unfilled and this resulted in under-achievement on the M&E tasks.

The steering committee was formed as planned but aiming to be inclusive and participatory, ended up with too many members and became unwieldy. It became difficult to get meaningful participation of the members who had less direct involvement in the project and a more focused steering committee was proposed by MENR consisting of just the core project partners (Nature Kenya, KFS, KWS, NEMA, and KEFRI). This committee came to be known as the Technical Advisory Committee and during implementation became synonymous with, and fulfilled the role of the Steering Committee. This committee met 6 times during the project implementation and reviewed plans and progress, while the larger steering committee met just 3 times to consider major issues such as decisions such as the no-cost extension.

The Site Advisory Committees (SAC's) were established at field level but with elected chairs rather than the District Commissioners chairing as planned. They met quarterly throughout the project and implemented their mandate of guiding and coordinating site activities effectively. The SAC's were an effective mechanism for promoting ensuring local ownership of project interventions and worked very effectively.

The revised management arrangements were a pragmatic response to the complicated and unwieldy arrangements originally devised. The process of revision was informal. The discussions that led to this revision were not documented or formally approved by the Steering Committee and UNDP. A more formal process for revision of these arrangements would have highlighted potential gaps arising from the changes (such as the need for additional staff including a full time M&E staff member) and mitigating measures could have been agreed and put in place.

There were also changes to the institutional environment during implementation involving the change in Ministerial portfolios which brought KFS and KWS under the same Ministry and the devolution process which resulted in the formation of counties midway through the project. The project effectively engaged with the counties as it had done with the districts before then. The MTE made some recommendations in that regard which were implemented.

The formation of Counties and devolution of powers provides an improved institutional environment for mainstreaming environment and biodiversity conservation into development planning and made it easier for the project to achieve its capacity building and mainstreaming objectives. Unfortunately, this change came midway through the project implementation which limited the time available for capacity building and mainstreaming.

Feedback from M&E activities used for adaptive management

The Steering Committee (or in practice the Technical Advisory Committee) through its role in overseeing and guiding project progress, is the main organ through which adaptive management is achieved. The reports available to the Committee did not have sufficient detail for informed decision-making and this limited their potential to discuss and advise on adaptations to overcome constraints and to capitalize on successes. Ideally, the Committee would have had available periodic reports on progress showing targets and achievements in the format of the full results framework and associated financial information showing planned and actual expenditures in the same format.

The quarterly and annual progress reports showed achievements by component and outcomes but did not include the targets and this makes it difficult to assess progress against targets. The financial information in those reports was limited to total amounts budgeted and spent during the period, total spent to date and total amount remaining and this information was limited to the GEF/UNDP component and did not include the co-financing components.

The annual Project Implementation Review (PIR) reports were compiled by Nature Kenya and submitted to UNDP. They were discussed at Project Steering Committee meetings and provided useful information for adaptive management covering progress against targets, changes in the operating environment, adjustments to the project implementation strategy, emerging risks and risk management strategies, financial information, adaptive management practices implemented during the year and lessons learned. The PIR reports included an assessment of implementation towards reaching the project goals and objectives which varied from moderately satisfactory (2012) to highly satisfactory (2014). The information on achievement of project targets was limited to the outcome level and the more detailed output level was not included. This was a limiting factor for adaptive management as the Steering Committee requires a more detailed progress report in the format of the project results framework to get a full understanding of achievement against targets. The PIR reports show no adjustments to the project strategy were made during implementation. Adaptive management practices were reported in the 2013 and 2014 PIR reports and they refer to adaptations made due to election disturbances and to the devolution of authorities from national to local governments.

At the ecosystem level, more detailed progress reports were being produced in the format of the results framework and were being used by the Site Advisory Committees. These detailed reports provided the full picture of targets and achievements to date at the ecosystem level and enabled the Committees to guide implementation at that level. Had the ecosystem progress reports been consolidated at the National level, and included the results framework targets, they would have provided the level of detail required by the project steering committee for adaptive management.

3.2.2 Partnership arrangements (with relevant stakeholders involved in the country)

The partnership arrangements were strong throughout the planning and implementation stages. The importance of multi stakeholder participation was recognized at planning phase and all the key stakeholders were involved. Nature Kenya, KFS, KWS, NEMA and KEFRI designed the project along with the technical advisor from UNDP. Nature Kenya acted as coordinator and succeeded in building relationships and generating synergies between those institutions both at national and field levels.

All the key project implementing partner organisations were members of the Steering Committee in addition to UNDP and MENR. Had the County Governments been in existence at the project planning stage it would have been appropriate to include county representatives as members of the Committee.

The three ecosystem level Site Advisory Committees (SAC's) had a broader based representation comprising the project implementing partners as well as representatives from relevant Ministries (wildlife and forestry, water, lands, local government, etc), regional bodies (such as Kerio Valley Development Authority), Universities, communities, and local NGOs. The SAC's met frequently to oversee project implementation and were an important means through which the project built support for the project objectives and built capacity for future management of PAs. However, a disadvantage of such large committees is that they are expensive and therefore not sustainable in the long run.

At the Forest Station level, the project assisted in establishment of the CFAs, building their capacity and fostering the working relationships between them and the KFS station level staff which are needed for successful negotiation and implementation of user agreements and community protection of the forest.

In the Cherangani ecosystem, the indigenous people were an important stakeholder group as they include traditional forest dwellers who were impacted by the forest policy which prohibits settlements in PAs. They felt marginalized at the project planning stage as they were not involved but during implementation Nature Kenya has made a special effort to ensure they are fully involved. The project facilitated consultations between CHEMUDEP (the PBO representing the Cherangani Indigenous Peoples) and County and National officials as well as KFS which led to the peaceful evacuation of communities from Embotut Forest Station in Cherangani. The project also assisted the PBO to strengthen its capacity, including facilitating the 5 year strategic plan "The Cherangani Multipurpose Development Programme" which aimed to promote indigenous peoples rights and well-being in education, livelihoods and sustainable use of natural resources.

The development of successful partnership arrangements between the stakeholders was very effective and is a significant achievement of the project.

3.2.3 Project Finance.

The extent of co-financing planned and realized.

The total project budget was $16.97m of which GEF financing is $4.5m and UNDP $0.5m. The remaining $11.97m consisting of co – financing as follows: KFS $5.5m, KWS $2.85m, KEFRI $1.5m, NEMA $0.62m and Nature Kenya $1.5m. The extent of co-financing planned and realized is shown in table 1 below.

According to the project document, co-financing was to be provided in the form of cash contributions (80%) and in-kind (20%). During implementation, Nature Kenya managed and reported on the UNDP/GEF financial component ($5m) while each partner organisation managed its own co-financing contribution.

During implementation, the budgets and financial reports were confined to the GEF/UNDP budget component. The co-financing elements were not budgeted or accounted for separately and so partner agencies were not in a position to provide relevant financial information to the evaluator to establish total annual or end of project co-financing or to determine the proportion of cash and in-kind contributions. The data provided in table 1 are estimates provided by the project implementing partners.

During implementation, each implementing partner provided staff time according to the agreed annual workplans and disbursed their operating funds as needed through their own systems directly to their staff with supplementary funds from the UNDP/GEF component being disbursed through Nature Kenya. The co-financing contribution mainly consisted of staff time, use of the institutions vehicles and other resources. The levels of co-financing were not monetized and reported by the partners or audited at any point during implementation.

It is recommended that in future, the partners should track the cash elements of co-financing contributions and include the information in annual financial reports

Table 1Co-funding planned and achieved

Co-financing (type/Source)	UNDP own financing. (Mill USD)		Government (KFS $5.5m, KWS $2.85m, KEFRI $1.5m, NEMA $0.62m and Nature Kenya $1.5m.)		Partner Agency Nature Kenya (Million USD)		Total (Million USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	.5	.5	8.376	1.4	1.5	1.126134	10.376	3.026134
Loans/Concessions								
• In-kind support			2.094	10.997			2.094	10.997
• Other						.37647		.37647
Totals	.5	.5	10.47	12.397	1.5	1.502604	12.47	14.399604

Project cost and funding data, including annual expenditures and variances between planned and actual expenditures.

The financial planning and reporting systems were not in the same format and this makes it difficult to determine if expenditure was on track or deviating from the plan.

The project document provides a budget for the $5m GEF/UNDP funds showing amounts by each of the three project components with several budget lines under each component and subdivided into the five years of the duration of the project. The project document also contains detailed budget notes under each of the project components. The financial reporting did not use this budget framework and reports were being done according to a different set of budget lines making it difficult to compare actual and planned expenditures apart from total bottom line figures. Planned and actual total expenditures are shown in table 2 below.

Annual expenditure was lower than expected in the first year due to delays in the project implementation. Nature Kenya requested a one-year no-cost extension in 2014 and this was granted.

Table 2 Project funding data (UNDP/GEF component)

Year	Total Project Budget		Nature Kenya Expenditure	
	US$	Ksh	US$*	Expended (Ksh)
2011	1,199,000	101,915,000	392,418	33,355,532
2012	1,296,000	110,160,000	1,150,770	97,815,456
2013	1,340,000	113,900,000	1,114,058	94,694,969
2014	1,165,000	99,025,000	1,156,106	98,269,031
2015	-	-	1,159,634	98,568,941
Total	5,000,000	425,000,000	4,972,987	422,703,929

*Annual expenditures were in Kenya Shillings and converted to USD using a conversion rate of 85.

Resources the project has leveraged.

Initial expectations of leveraging additional funding from payments for ecosystem services or from carbon trading have not materialized. However, additional funds have been leveraged due to the activities and impacts of the project. For example, CFA's have increased income in the course of the project (the 2015 progress report shows income from nature based enterprises in Kakamega was Ksh 20,362,910 and in Nandi was Ksh 5,638,000 and in Cherang'ani was Ksh 3,500,000).

The County Governments have also started to provide funding for CFAs and have indicated that they intend to provide financial support to the CFA's when the Nature Kenya support ends. Eldoret County Government has already started to fund CFA's at Kaptagat and Penon Forest Stations.

Effectiveness of financial planning

As already mentioned the project financial reports were not done in the same format as the budget in the project document making it difficult to compare progress against the budget plan. During implementation, activities were planned on at the output level on a quarterly with associated budgets and on that basis disbursements were made by UNDP to Nature Kenya. Summaries of expenditures were included in the quarterly and annual reports and more detailed financial reports were made to UNDP.

Those systems provided good controls on utilization of funds but it was not possible to compare expenditures with the budget in the project document. The Steering Committee needed this information to ensure the expenditure was on track and to make informed decisions about financial efficiency of implementation. Project plans and budgets and project progress and associated financial reports should be available at least at the outcome level but preferably at the output/sub-output levels.

An annual audit was done on behalf of UNDP/GEF on their $5m funding component managed by Nature Kenya. The most recent audit done in 2015 was satisfactory with no recommendations or audit queries. All recommendations from previous audits were implemented satisfactorily. This demonstrates due diligence in the management of the UNDP/GEF funding component by Nature Kenya.

3.2.4 Monitoring and evaluation: design at entry and implementation

M&E plan

The project document contains an outline of the M&E plan and provides for development of a more detailed plan as one of the initial outputs of the project. The process of developing the plan was to begin at the inception workshop. The M&E requirements were discussed at that meeting and the weakness of the baselines and indicators listed in the results framework was noted. The meeting proposed setting up a sub-group to develop the M&E plan, identify appropriate performance indicators and identify baseline data requirements but this was not followed up.

The detailed M&E plan was not developed and the project continued to use the baselines and indicators in the project document for the duration of the project. The lack of an M&E plan was a constraint to effective management. The plan would have provided the means to improve baseline information, identify appropriate indicators at all levels of the results framework, describe data requirements and how the data was to be analyzed, specify the reports to be produced and formats, describe the financial monitoring data and reports, and ensure there was adequate provision for M&E staff time and funding.

Compliance with the progress and financial reporting requirements

All of the work progress and financial reports listed in the project document and required by UNDP were being produced throughout implementation to the required schedules. These reports were in the required UNDP format and designed to provide information for UNDP-GEF.

The value and effectiveness of the monitoring reports

The reports produced served the purposes of UNDP in monitoring project implementation but as already discussed, they lacked the more detailed information in the results framework format required by project management and the Steering Committee to ensure project implementation was on track and for adaptive management. This weakness was also noted in the midterm evaluation which recommended reports be produced in the format of the results framework (Recommendation 21).

Biodiversity monitoring

There was some good baseline information available particularly on bird populations (from the IBA monitoring programme) but also on other biodiversity from various sources at the beginning of the project but there were gaps and additional information was needed to provide a baseline for assessing changes resulting from project interventions. Additional biodiversity information was also required to identify biodiversity hotspots deserving of increased protection.

The project expended substantial time and resources on biodiversity surveys and data collection and significant amounts of data were collected. These data have helped identify biodiversity hotspots within the forests where additional protection is justified (e.g. Kobujoi area of Nandi Forest where *Prunus africana*, butterflies and small mammals abound compared to other sites in the same forest). The information should be compiled and written up in a form that can be used by forest managers for inclusion in forest management plans and by others involved in monitoring biodiversity. Data and distribution maps of key threatened species should be developed and integrated into forest planning maps as well as into environment plans and county development plans.

The midterm evaluation gave detailed consideration to the issue of biodiversity monitoring,

identifying gaps and weaknesses and making valuable recommendations for improvement (six of the 21 recommendations of the MTE were on biodiversity monitoring). The recommendations were implemented to varying degrees and the project should now have valuable information and lessons on biodiversity monitoring to share.

One of those recommendations was to establish permanent sample plots in the core conservation zones in the forests to monitor biodiversity. These plots were established and data collected but not yet written up and made available. This should now be done.

The midterm evaluation noted that plant biodiversity monitoring needed to be radically re-thought as the system in use would yield little information of managerial or scientific value. It is not clear what framework is now being used and this should be documented with discussion and recommendations for future monitoring. This can make a valuable contribution to a broader discussion that is going on at present on a biodiversity monitoring framework that is compatible with broader level biodiversity monitoring needs in Kenya and internationally.

Much of the biodiversity information collected is yet to be compiled and documented and was not available for review during the terminal evaluation. The information available at present does not provide a basis for determining the biodiversity impact of the project.

M&E capacity on the project

The M&E capacity was constrained by the lack of a full time M&E staff person on the project. The implementation arrangements described in the project document made provision for an M&E staff member to be located in the Project Coordination Unit but as these arrangements were revised this position was not filled and so this function (along with other PCU functions) was absorbed by Nature Kenya staff who had other functions to perform.

A full time M&E staff member was required to lead the development and implementation of the M&E plan. The role included taking the lead on detailed work progress and financial planning and reporting, highlighting potential areas for adaptive management, and coordinating the whole process of biodiversity monitoring, ensuring overall achievement of results and identifying and documenting lessons and success stories from project implementation.

As regards biodiversity monitoring, the project had good technical capacity in the partner organisations NMK, KFS, KWS and KEFRI. The role of the M&E staff would have been to coordinate monitoring activities between the partners and with other institutions and programmes as necessary, identify gaps and weaknesses, and ensure data was compiled and made available to subsequent users.

MTE recommendations and follow-up

The midterm evaluation made seven recommendations related to M&E, summarized as follows:

- Develop a mapped baseline figure for the extent of less-disturbed forest in Cherang'ani. Some work was done on this on gathering data on specific taxa. The report now needs to be compiled.

- Analyse and write up existing IBA monitoring data which is already available for many forest sites but not currently available to managers in a form that can be used for monitoring. Reports are yet to be compiled.

- The project should set up a series of Permanent Sample Plots in representative parts of closed canopy forest to measure forest structure, composition, forest integrity and regeneration on a long term basis. This was done by KFS in Cherang'ani and KEFRI in Kakamega. The information has already been written up and should be made available for future use.

- Species level monitoring should be based on standard repeatable techniques. Reported as done.

- Species level monitoring by communities to be supervised by specialists. Reported as done.

- Record quantified data on threats in order the measure the level of reduction of threats due to the project interventions. This was reported as done. The information now should be made available to others.

- Reporting against stated targets as given in the results framework. Success stories need to be highlighted. This was not done.

M&E Ratings

The ratings for M&E are shown in the table below. The M&E design at entry was rudimentary. There was insufficient information available at that stage to specify baselines and indicators. The project planners could have elaborated more on these aspects as part of the design process but in the absence of this information they made provision in the plan to develop the indicators and collect baseline data as part of project implementation. The Prodoc made provision for developing the M&E plan at the start of the project (refer to Prodoc page 80 activity 5.1.3 which states: "Develop and implement a detailed project M&E Plan, based on the shortened version articulated in this Prodoc"). Although the M&E design at entry was rudimentary, it is rated satisfactory because the Project Document made provision for developing and implementing a detailed M&E Plan as one of the initial implementation activities.

The M&E plan implementation is rated U (Unsatisfactory) because (i) the M&E Plan was not developed as envisaged in the project document (ii) although all the required reports were being produced for UNDP and were also available to the Steering Committee/TAC, there was inadequate information for adaptive management (iii) the Mid-Term Evaluation pointed out the need for progress reports in the form of the results framework outputs but they were not produced (iv) much of the biodiversity information produced remains to be compiled and documented (v) lessons and success stories have not been documented.

Overall quality of M&E is rated as Moderately Unsatisfactory. It should be noted however that all the periodic monitoring reports and plans as required by UNDP were produced.

Table 3 Rating of Monitoring and Evaluation

1. Monitoring and Evaluation	Rating
M&E design at entry	5 Satisfactory (S)
M&E Plan Implementation	2 Unsatisfactory (U)
Overall quality of M&E	3 Moderately Unsatisfactory (MU)

Rating scale: 6 Highly Satisfactory (HS), 5 Satisfactory (S), 4 Moderately Satisfactory (MS), 3 Moderately Unsatisfactory (MU), 2 Unsatisfactory (U), 1 Highly Unsatisfactory (HU)

3.2.5 UNDP and Implementing Partner implementation/execution, coordination, and operational issues

UNDP execution

UNDP was fully involved in project oversight, co-chairing Steering/TAC Committee Meetings, receiving the required plans and progress reports from Nature Kenya and disbursing funds to Nature Kenya on the basis of detailed quarterly budgets for the forthcoming quarter and budget reconciliations for the past quarter and providing general oversight and back up support.

Implementing Partner (Nature Kenya) execution

Nature Kenya fulfilled all of the standard project management and reporting requirements of UNDP including: quarterly budgets and workplans and quarterly reports; annual reports and budgets; Project Implementation Review reports; annual Management Effectiveness Tracking Tool reports;

Nature Kenya was overburdened from the start by taking over the functions of the PCU without making adequate provision for the additional staff required. In particular, the M&E staff position would have helped greatly to reduce the burden on the Project Coordinator and would have overcome the weakness in M&E on the project.

The implementing partner was required to coordinate the diverse range of institutions, organization and stakeholders involved in or affected by management of the PA and to develop good working relations between them. In this regard, Nature Kenya did an exemplary job. As stated in 3.2.2 above, the development of successful partnership arrangements between the stakeholders was very effective and is a significant achievement of the project..5 above

The quality of the Nature Kenya's execution of the project is considered satisfactory within the constraints imposed the additional functions it assumed when the PCU was not formed. The rating on the quality of execution of the project shown in table 4 below are based on the findings discussed in the foregoing sections 3.2.1 to 3.2.5.

Table 4 Rating of IA &EA execution

IA& EA Execution	Rating
Quality of UNDP Implementation	S
Quality of Execution - Executing Agency	S
Overall quality of Implementation / Execution	S

*Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

3.3 Project Results

3.3.1 Overall results (attainment of objectives)

Assessment of overall results is focused at the outcome level rather than on the more detailed output and sub outputs levels. The results framework n the project document lists three outcomes at the Objective level and a further 10 outcomes under the three project components.

The following matrices were used to rate the level of achievement of the project's outcomes using a rating scale of 1 to 6 where 1 is Highly Unsatisfactory and 6 is Highly Satisfactory. The matrices are

based on the project results framework with two additional columns to show Achievements/Comments and a rating for the level of achievement. The ratings are then summarized to derive an overall rating for achievement of results.

Table 5 Rating of achievement of results at the objective level

Project Objective: The biodiversity of the Eastern Montane Forests is adequately represented and managed within Kenya's PA network.					
Planned Outcomes	**2011 Baseline**	**Target by End of Project 2015**	**Performance Indicators**	**Achievements and Terminal evaluation comments**	**Rating (1-6)**
65,000 ha of forests gazetted or reclassified to higher status and with improved governance systems and financial scoring allowing for effective management	145,000 ha of forests in Western Kenya focus landscapes under inadequate form of protected area status	65,000 ha of forests in Western Kenya under new or improved PA status; by EOP a marked increase by over in financial scorecards results: total with the 30,000 ha below is 95,000ha under improved management	Gazettement Notices, Ministry and Departmental Reports, and Project Docs. Landscape plans, maps and GIS files, MTE and Terminal Evaluation (TE) National Reports to CBD	73,581 ha of the forests have been zoned as core conservation areas, in 10 forest stations. These areas are documented in the participatory management plans of the respective forest areas. The original target of reclassification would have provided stronger protection.	3
Marked reduction in threats to deforestation and forest degradation as 10,000 ha of forest area put under CCA and 20,000 ha under JFM	Forest cover continues to be depleted by threats as communities living adjacent to and within forests remain isolated from sustainable co management structures	Threats to forests markedly reduced, especially buffers and small patches; a combination of JFM and CCA areas have established up to 30,000 ha of protected areas	Remote sensing data, ground thruthing, Project Docs, landscape plans, co management agreements, plans, mid and terminal evaluation	18,000 Ha put under CCA; Threats to PAs reduced by joint community-KFS protection activities, fuel wood demand reduced by ; installing 500 energy saving devices and establishing 2,025 ha on-farm woodlots	6
Improved systems level operations capacity has ensured a reduced level of threats to forest cover and species composition; Landscapes maintain global biodiversity values; METT scores are improved in target landscapes	Forest management practices continue, leading to stable or ongoing loss to forest cover and species composition and coverage, measured by declining METT scores	An increase in METT scores across the four landscapes by over 20% on average; monitoring indicates species diversity either unaffected or increased	Avifauna Monitoring procedures, Biodiversity resources assessments, Ministry and Departmental Reports, and Project Docs. Landscape plans, maps and GIS files, MTE and Terminal Evaluation (TE)	Increase in METT scores from 2013 to 2015 for the three PAs. Note METT scores are unreliable because of staff inexperience in using the tool.	5

The first outcome in **Component 1** was focused on identifying high biodiversity areas, creation of new PAs and reclassification of areas within the Forest Reserves to higher protection categories.

There was some progress in that natural forest areas within Forest Reserves were zoned as core conservation areas thereby changing the management objectives from production to biodiversity conservation. But more needs to be done to achieve the planned higher PA classification status. Progress was made on mainstreaming biodiversity issues into local level planning through support to development of State of the Environment Reports and associated Environment Action Plans. These now need to be integrated into County Development Plans. Little progress was made on the third outcome in component 1 - increasing PA budgets of 50% over baseline.

Table 6. Rating of achievement of results under Component 1

Component 1: Systemic and Institutional Capacities for Managing an Expanded and Rationalized PA Estate					
Planned Outcomes	**2011 Baseline**	**Target by EOP 2015**	**Performance Indicators**	**Achievement and Terminal Evaluation comments**	**Rating (1-6)**
New PAs established: 20,000 ha; threatened forest reserves forests reclassified to higher management category: National Reserve (20,000 ha.)/Nature Reserve(25,000 ha)	PA status in Western Kenya remains under inadequate levels of protection throughout	65,000ha of threatened forests given higher protection status, of which 20,000 are newly protected areas and 45,000 ha under enhanced protected status	Gazettement Notices, Ministry and Departmental Reports, and Project Docs. Landscape plans, maps and GIS files, MTE and Terminal Evaluation (TE) National Reports to CBD	Biodiversity conservation areas designated in Forest Station plans but no new PAs established	3
Governance systems provide for the effective administration of the PA system as part of the regional development agenda by effective mainstreaming into local planning	Forest management practices continue, with threats not contained, owing in large part to a lack of community level engagement in management	>10 Community Conservation Areas established as new PAs >10 Joint Forest Management systems established in the buffer areas	Gazettement Notices, Project Docs, landscape plans, co management agreements, plans, GIS, maps and mid and terminal evaluation reports	Outcome refers to mainstreaming PA management and issues in County Development Plans. State of Environment reports produced but yet to integrate into County Development plans	3
Increase in PA budget of >50 % over baseline of US$ >5 mill$ p.a. covers recurrent costs of forest protected area system (PA Financial Score	Kenya's forests remain underfunded leading to habitat encroachment and reduction in species biodiversity	Financial scorecard shows significantly improved results, with PAs receiving sufficient funds to be managed effectively	Financial scorecards, Ministry and Departmental Reports, and Project Docs. Landscape plans, maps and GIS files, MTE and Terminal Evaluation (TE)	Not achieved	0

Progress on **Component 2** (Community management of PAs) was good on all the four outcomes in component 2 with establishment of CCAs and JFM zones on forest buffer zones and communities engaged in activities aimed at reducing pressures on the forest.

Table 7 Rating of achievement of results under Component 2

Component 2: Community management of PAs (JFM/CBNRM)					
Expected Outcomes	2011 Baseline	Target by EOP 2015	Performance Indicators	Achievement and Terminal Evaluation comments	Rating (1-6)
Reduction in forest loss in unprotected forest blocks. CCAs established covering a target area of up to 10,000 ha.	Connectivity between forest protected areas and unprotected forest blocks remains under threat or continues to be lost	CCAs have established an additional area of up to 10,000 ha on formerly unprotected forest blocks	Local and district government plans, CCA management documentation, midterm and terminal evaluations	18,000 Ha put under CCA; 3 management plans - Kingwʾal and Kibirong .	6
Reduction in forest degradation at the forest edge through the creation of JFM buffer zones in Forest PAs (target area up to 20,000 ha)	Forest degradation and deforestation levels maintained at increased as buffer zones continue to be threatened by encroachment activity	Up to 20,000ha of existing forest protected areas have been allocated to JFM	Gazettement notices, local government plans, JFM management documentation, midterm and terminal evaluations	80% reduction on forest incidences in buffer zone from community scouts and KFS rangers protection routines	5
Cost drivers for PAs are reduced as community acceptance of PAs leads to a reduction of PA incursions	Forest management remains a costly process, with management resources unable to meet the challenges to forest integrity	Cost of managing forest systems reduced as community support adds, rather than depletes, management resources	Financial scorecards, Ministry and Departmental Reports and Budgets	16 CFAs fully engaged in forest protection, management plan development and implementation of initiatives.	5
PA management system effectively integrates conservation needs and local livelihoods.	Forests remain under threat due a lack of alternative livelihood options	Business plans define income generation opportunities from sustainable use of forests.	Existence of business plans, community level consultations on business activities pursued and impacts	17 PFM plans,; 3 nature based enterprise and value chain positioning plans - 5 enterprises per landscape; CBO enterprise training manual and trainings; 5 CFAs engaged in PELIS. Business plans not developed.	4

Progress on **Component 3** (Operational Capacities for PA site management) was also good with new and rehabilitated infrastructure, systems and other capacity building activities. METT scores reported are unreliable and fluctuated due in part due to inexperienced staff. Increased forest cover was reported but monitoring systems are still weak.

Table 8 Rating of achievement of results under Component 3

Component 3. Operational Capacities for PA Site Management					
Expected Outcomes	2011 Baseline	Target by EOP 2015	Performance Indicators	Achievement and Terminal Evaluation comments	Ratin g (1-6)
Protected Areas are managed to generate effective global and national and local environmental benefits, by agencies with functional capacity (measured by site level Management Effectiveness Tracking Tool).	METT scores remain at status quo levels or decline as operational capacities for PA management do not increase at a sufficient rate	An increase in METT scores across the three landscapes by over 20% on average; monitoring indicates species diversity either unaffected or increased	Avifauna Monitoring procedures, Biodiversity resources assessments, Ministry and Departmental Reports, and Project Docs. Landscape plans, maps and GIS files, MTE and Terminal Evaluation (TE)	Modest increase in METT scores (section 2.9.3 below). Note METT scores unreliable due to inexperience in using the tool.	5
Reduction in forest loss and degradation in forest blocks covering an area of 175,000 ha in western Kenya.	Deforestation and forest degradation remains static or increases in forest PA estate of Western Kenya			No records of forest loss; 549 Ha of rehabilitated. Assume no forest loss is occurring.	6

Using a scoring scale of 1-6, the total scores for achievement of results at the outcome level for the project objective and the three project components is 51 out of a possible 72. This equates to an overall score of 4 for project results on a scale of 6.

Table 9 Rating of overall achievement of project results.

Overall project results	4 (out of a possible 6) Moderately Satisfactory

Rating scale: 6 Highly Satisfactory, 5 Satisfactory, 4 Moderately Satisfactory, 3 Moderately Unsatisfactory, 2 Unsatisfactory, 1 Highly Unsatisfactory.

3.3.2   Relevance

Assessment using the criterion "*relevance*", focuses on the degree to which the project activities were in line with the priorities of the Government and institutions working in the sector and the stakeholders in the sector. It is also concerned with how well the project adapted to any changes in context or priorities in the sector and if the project's goals, objectives and activities are still agreeable to its key stakeholders and relevant to the needs of the sector.

The findings in this regard are that project objectives, components and outputs are highly relevant and remain in line with Kenyan policies, plans and programmes. The project adapted appropriately to changes in the operating environment (formation of County Governments, changes in the Ministry)

and continued to contribute to achievement of the priority objectives of the stakeholders.

Table 10 Rating of relevance of project outcomes

Assessment of Outcomes	Rating
Relevance	2. Relevant (R)

Relevance ratings: 2. Relevant (R), 1 Not Relevant (NR)

3.3.3 Effectiveness & Efficiency

Effectiveness is the degree to which the project is achieving its mission and goals and the objectives set out for the in the project document. The Management Effectiveness Tracking Tool (METT) provides a methodology for assessing progress towards achieving those goals and objectives, but the project had difficulties in utilizing this tool and the METT scores need to be interpreted cautiously.

METT scores were compiled for the three ecosystems in 2003 at the end of the previous project and again in 2009 during planning for the current project. The 2009 scores were taken as the baseline scores for the project although they were compiled by KFS staff who did not have experience in using the tool and therefore should be regarded as unreliable. The METT scores compiled in 2003 and those compiled in 2012 in the first year of project implementation are better indicators than the 2009 scores and should be regarded as more accurate baselines.

METT scores were compiled annually during project implementation and are shown in Table 11. The PIR reports refer to unexpected fluctuations in METT scores and attribute these to the lack of skills and experience of the staff that were doing the scoring especially in the early years of the project. Clearly, the project staff would have benefited from training in the use of the METT tool at an early stage of project implementation and from external technical assistance in using the tool as this would have provided more reliable scores.

Table 11 METT scores for contribution to catalyzing sustainability of PA systems

Ecosystem	2003	Baselines (2009)	2012	MTE 2013	2014	TE 2015
Kakamega	59	96	60	71	76	74
N&S Nandi	44	96	66	81	82	85
Cherangani	40	96	26	39	108	56

The financial score card results at the baseline (2009), midterm evaluation and terminal evaluation indicate modest improvement over the period 2013 to 2015 as shown in table 12.

Table 12 Management Effectiveness Tracking Tool. Financial Scorecard results at project start, midterm and end of project.

	Baselines (2009)	MTE 2013	TE 2015
Kakamega			
Total score of the PA system	?	105	125
Total possible score	196	225	225
Actual score as a percentage of the possible score	33%	47%	56%
Percentage scored in previous year or previous time the scorecard was applied	N/A	33%	47%
North and South Nandi			
Total score of the PA system	66	89	106
Total possible score	204	225	225
Actual score as a percentage of the possible score	33%	40%	47%
Percentage scored in previous year or previous time the scorecard was applied	N/A	32%	40%
Cherangani			
Total score of the PA system	64	89	89
Total possible score	207	225	225
Actual score as a percentage of the possible score	31%	40%	40%
Percentage scored in previous year or previous time the scorecard was applied	N/A	31%	40%

Efficiency of project implementation focusses on cost effectiveness, or ability to provide good value for money in both qualitative and quantitative terms and comparisons with alternative strategies for achieving the same outcomes. Financial reports were not produced in the format of the project budget as described in the Prodoc, or in the format of the project results framework, and therefore it has not been possible to compare planned and actual expenditures to assess overall financial efficiency in implementing the project.

The quarterly workplans which were the basis for funds disbursements from UNDP, do show detailed budgets for planned expenditures on an output and sub-output basis. It would have been a simple task to extend this to annual budgets and expenditure reports in the format of the results framework, but this was not done. Without this information, it is difficult to assess the financial efficiency of many of the project activities.

In the case of the infrastructure expenditures, it is easier as the cost of individual developments are known. During the field visit, the evaluator visited a number of infrastructure developments funded by the project including KFS forest station offices, Community Forest Association offices, outposts for KFS and KWS staff, and others. Considering the amounts spent (typically between Ksh2m to Ksh4 m per unit), these developments represent very good value for money although in the case of one of the

developments (Cheptongei Forest Station office block costing Ksh3.5m) the quality some of the workmanship was sub-standard. Other developments observed were of a high quality and very competitively priced.

The review of the quarterly workplans/budgets and the field observations of the infrastructure developments both indicate detailed financial planning and a high degree of financial efficiency in utilization of funds. Other observations by the evaluator on Nature Kenya's implementation of the project also indicate efficiency in the use of funds. It is likely that a Highly Satisfactory (HS) rating for efficiency is warranted but without the financial reports to justify this, it is rated as Satisfactory.

Table 13 Ratings for effectiveness and efficiency of project outcomes

Assessment of Outcomes	Rating
Effectiveness	S
Efficiency	S

Rating scale: *Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

3.3.4 Country ownership

Country ownership of project implementation was high because the projects objectives were in line with Kenya's policies and plans and those of the participating implementing institutions and stakeholders. The government partners were providing co-financing in the form of staff time and resources and the project was assisting them to implement their own policies and plans.

The Forest Policy and Forests Act place strong emphasis on the importance of conserving forest biodiversity and involving communities in management of forests. The responsible body KFS was one of the key members of the project planning team and was one of the implementing partners with a co-financing share of $5.5m. KFS sits on the Steering Committee/TAC and its staff in the field are fully involved in implementation of activities as the co-financing share was being provided mostly in the form of in-kind contributions of KFS staff time and resources. This level of engagement with KFS as one of the implementing partners ensures a high level of ownership on the part of KFS.

The Forests Act (2005) provides for the formation of CFAs and for provision of user rights to be vested in local communities and for participation by CFAs in management and conservation forests. The project has been assisting KFS to establish these structures and institutions as intended in the 2005 Act and assisting with associated activities such as capacity building, assisting with planning and developing user agreements.

The level of ownership on the part of the other key GoK institutions is high due to their level of engagement on project implementation. KEFRI, KWS and NEMA were involved in planning the project, were implementing activities and were represented on the Steering Committee/TAC.

The project objectives are also in line with the National Biodiversity Strategy and Action Plan which aims to identify and fill gaps in the PA network, strengthen conservation measures in PAs, strengthen the GoK decentralization process, foster partnerships for conservation between GoK, NGOs, private and public sectors. The project was assisting to fulfill these objectives.

Local government became important partners of the project once the Counties were formed midway through the project. The County Governments have become strong supporters of the project activities

and were fully involved in the ecosystem level Site Advisory Committees. They have demonstrated their ownership of the project through their commitment to provide funding to CFA's which has already begun.

The evaluator found strong support for the project among GoK partners, local government and CFA's for the project and for Nature Kenya leadership of the project. This indicates a high level of country ownership.

3.3.5 Mainstreaming (Contribution to UNDP Country Programme and UNDAF outcome/indicators)

The UN Development Assistance Framework (UNDAF) for Kenya 2010-2014 provided the broader framework for UN programmes in Kenya including the UNDP country programme which is an integral part of UNDAF. The project initially contributed to the 2010-2014 UNDAF and since 2014 has been contributing to the current 2014-2018 UNDAF.

The project was contributing to the following outcomes and outputs in the 2010-2014 UNDAF:

- Outcome 3.2 "Enhance environment management for economic growth and equitable access to energy services and response to climate change"

- Outcome 3.2. 1 "Support to sustainable management of natural resources. Policies and capacities for sustainable management of environment and natural resources improved"

The updated (2014-18) UNDAF has four strategic result areas. The UNDP project contributes Strategic Result 4 "Environmental sustainability, land management & human security". The target for this result area is that "by 2030, Kenya is prosperous, underpinned by efficient management of natural resources and equitable access to development assets, including land and other renewable resources, and achievement and sustainability of national cohesion and resilience that guarantees long-term peace and prosperity".

The two outcomes under this strategic result area are:

- Outcomes 4.1 Policy and legal framework: "By 2016, Kenya has robust policies and legal frameworks linking issues of environmental sustainability, climate change and sustainable land management to human security and resilience therefore requiring an integrated and coordinated response to all phases".

- Outcome 4.2 Systems for community security and resilience: "By 2018, counties and communities are able to anticipate, prevent and respond effectively to disasters and emergencies".

The UNDP Country Programme has four strategic priority areas (1) devolution and accountability; (2) productive sectors and trade; (3) environmental sustainability, renewable energy and sustainable land management; and (4) community security, cohesion and resilience. The project is contributing primarily to priority area 3 and specifically to the indicative programme output 3.1 listed in the plan "3.1 GoK has adequate capacity to develop evidence-based and coherent policy responses to the inter-linked challenges of environmental sustainability, land and natural resource management and human security". The project also contributes to a lesser extent to strategic priority areas 1 and 4.

3.3.6 Sustainability

The likelihood of continued benefits after the project ends was assessed in terms of financial risks, socio-economic risks, institutional and governance risks and environmental risks.

Risks and assumptions identified in the annual Project Implementation Reviews/PIRs

The high and medium risks identified in the project plan were both related to pressures on the forests for expansion of agriculture and from other sources. These pressures have reduced during implementation due to the increasing involvement of communities in forest management and forest protection. CFAs are now supporting KFS on forest protection and law enforcement.

The risk of the KFS-KWS partnership not functioning well was identified but rated as low risk although in practice this turned out to be a major obstacle at the beginning of implementation. The specific issue of disagreement over reclassification of forest reserves to a higher status and transfer of control of those areas from KFS to KWS was not foreseen.

The other low risk factors identified were: that KFS as a new institution would receive little official support and funding; and that climate change would lead to changes in biodiversity components and changes in community and private sector demands on the forests. Neither of these risks materialized.

The Annual reports did not specifically mention risks but the 2015 PIR report identified an additional risk to forest rehabilitation caused by communities living within the forest. The risk was mitigated through consultations and dialogue which resulted in evacuation of communities from the forest.

Financial risks

The total project cost was $16.97m of which UNDP/GEF contributed $5.0 in grants and the remainder came from the project implementing partners in the form of staff time and resources. During project implementation the partners relied on the GEF/UNDP funding for variable costs such as fuel, allowances, consultation costs, capacity building costs etc so there will be a funding vacuum when UNDP/GEF funds are no longer available. However, as the activities being undertaken were central to the institutional mandates of the partners (KFS, KWS, NEMA, KEFRI) and as those institutions will remain on the ground, they will continue to implement the project activities using their own core institutional funding.

In the original project plan, the expectation was that partners would contribute co-funding both in cash and kind whereas in practice the co-funding was provided in-kind. The inclusion of a cash co-funding component is more financially sustainability as the partners' budgets would then have a project budget line which would continue after project closure. This would reduce the shock of withdrawal of UNDP/GEF funding when the project closes.

The original plan was for partner contributions of 80% cash and 20% in-kind. The cash component was unrealistically high given the cash shortage in GoK institutions but a modest cash component (say 20%) would have reduced the financial risk to sustainability after the GEF/UNDP withdrawal. During the evaluation KFS informed the evaluator that this risk has already been recognized and they are planning to make a specific budget line for this and other projects as a matter of policy in future in the interests of strengthening financial sustainability of project interventions.

Socio economic risks

Socio-economic risks to sustainability are low because of the high level of ownership and support that the project interventions have at all levels both within the stakeholder institutions, local communities and all who are impacted by the project. The advocacy and awareness activities during implementation have built public support for the projects activities. The Participatory Forest Management approach brings benefits to both communities and KFS and further reduces the socio economic risks to sustainability of the projects achievements.

Institutional framework and governance risks

The legal frameworks, policies, and governance structures and processes within which the project has been operating have been fully supportive of the project interventions and the institutional framework therefore does not pose any risks to sustainability.

There are governance risks however in relation to the Participatory Forest Management component. Firstly, the power relationship between CFAs and KFS is heavily skewed in favour of KFS which is not a good basis for collaboration or for negotiation of the details of forest user agreements. In most cases, negotiation between CFAs and KFS on benefits and levels of resources off-take in buffer zones has not yet started. There is a danger of communities losing interest and conflict arising over these negotiations. The county governments will have an important role in mitigating this by providing support to CFAs and acting as arbitrator if needed between CFAs and KFS.

Another governance risk arises in regard to management of funds both by CFAs and KFS as systems for accountability and transparency are weak. For example, KFS rangers collecting firewood fees along access trails or CFA's charging fees for collection of resources, has potential for destroying the relationship between KFS and CFAs, and causing conflict within CFAs and between CFA members and other community members. This risk can be mitigated by minimizing cash elements in the user agreements until standards and systems can cope.

The governance risks to sustainability are significant and it is important that the County Government and KFS recognize the risks and implement mitigating measures. The risk has two elements a) negotiating levels of forest resource which can be mitigated by involvement of the County Government as arbitrator, and b) the governance risk of handling cash which can be mitigated by omitting cash transactions until transparent systems and governance standards are good enough reduce the risk.

Environmental risks

There are no obvious environmental risks to sustainability of the project interventions.

All the dimensions of risks to sustainability are critical and the overall rating for sustainability cannot be higher than the lowest rated dimension. Governance risks are the most significant but as the County Governments and KFS have the ability and willingness to mitigate those risks, the overall rating of sustainability is ranked as "likely" i.e. key outcomes are expected to continue into the foreseeable future.

Overall risk rating

As all the risk dimensions of sustainability are critical, the overall risk rating is rated at the level of the highest risk component. The overall rating for sustainability is therefore rated as Moderately Likely.

Project Sustainability Risks	Sustainability Rating
Financial resources:	4. Likely(L): negligible risks to sustainability
Socio-political:	4. Likely(L): negligible risks to sustainability
Institutional framework and governance:	3. Moderately Likely (ML), moderate risks, but expectations that at least some outcomes will be sustained
Environmental :	4. Likely(L): negligible risks to sustainability
Overall likelihood of sustainability:	3. Moderately Likely (ML), moderate risks, but expectations that at least some outcomes will be sustained

Sustainability ratings:
4. Likely (L), negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future.
3. Moderately Likely (ML), moderate risks, but expectations that at least some outcomes will be sustained
2. Moderately Unlikely (MU), substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
1. Unlikely (UL), severe risk that project outcomes as well as key outputs will not be sustained

3.3.7   Impact

The assessment of project impacts focusses on the goal and objective levels. Assessing impacts is difficult because of lack of verifiable information on current ecological status and baseline ecological information at the start of the project. To demonstrate impact, baseline and current information on ecological status is required as well as information on the status of threats at the beginning and end of the project. However, ecological change can be a slow process so even if information is available it may not indicate change during the lifetime of a project. Changes in threat levels are easier to determine if indicator data on threat levels are available.

Impact on ecological status.

As this is a foundation project which was setting the scene for improved management of PAs and reducing stress on the forests, most of the project efforts were focused on establishing working relationships between various stakeholders, building capacity in young institutions (CFAs and County Governments), developing plans, coordinating stakeholder groups etc, The impacts on ecological status are unlikely to be seen until the plans are implemented and these institutions and systems are functioning. A lot of work has been done on ecological monitoring during the project doing various survey etc but much of these data are not yet available and therefore it is not possible to assess if the ecological status has improved or not as a result of the project.

Impact on environmental stress reduction.

The advocacy work that has been done and the work on capacity building of KFS, CFAs and KWS is having an impact on attitudes to conservation of the forest. During field discussions with CFAs and KFS staff, all reported that threats had reduced since the project started because of project interventions resulting in improved attitudes to forest conservation and protection, joint patrols and protection activities implemented by CFA's and KFS staff, and other reasons.

Nature Kenya and Birdlife International have been monitoring the status of the three landscape sites since 2004 in conjunction with NMK, KWS, KFS, NEMA and local organisations. The state-pressure-response methodology is being used and information is available up to 2014. The information is not sufficient to draw conclusions on whether the project activities have reduced stress levels.

The Mid-Term Evaluation recommended that quantified data is collected to on threat levels to enable assessment of reductions due to project interventions using indicators such as numbers of people apprehended for illegal firewood collection, or numbers of trees cut, or numbers of snares found per kilometer of patrol. This is reported to have been implemented but the information was not available to the evaluator for review.

In rating the impact of the project on stress reductions, verifiable indicator data was not available but drawing on field observations and reports from stakeholders, the impact was rated significant. As there was insufficient information available to rate impact on ecological status, no rating was done.

Table 15 Ratings for Impact of the project

Impact: Significant (S), Minimal (M), Negligible (N)	Rating
Environmental Status Improvement	Unable to assess (U/A)
Environmental Stress reduction	3. Significant (S)
Progress towards Stress/Status change	3. Significant (S)

Rating scale: 3. Significant (S), 2. Minimal (M), 1. Negligible (N)

4   CONCLUSIONS RECOMMENDATIONS AND LESSONS

4.1   Conclusions and lessons for project design, implementation, monitoring and evaluation

Project design

I. The project design process was excellent. Involving all the key stakeholders and future project implementers ensured the project was responding to stakeholder needs and priorities as well as ensuring stakeholder commitment from the start and it also helped to build trust and collaboration between the future implementing partners.

II. The requirement for co-funding is also a mechanism to ensure the project is in line with stakeholder needs and priorities and strengthens ownership on the part of implementing partners.

III. The assessment of risks and assumptions in the plan design was weak. Assumptions were not considered and risks were inadequately considered.

IV. There were some inconsistencies in the project results framework and some overlaps between the components.

V. The target for creation of new Protected Areas and reclassification and gazettment of areas in Forest Reserves was over optimistic.

Implementation

VI. This was a complex project requiring collaboration between several government and non-government stakeholders. The strategy of implementing the project through an independent NGO (Nature Kenya) which had the respect and confidence of all the participating agencies worked very well. Had the project been implemented through one of the main government partners (say KFS or KWS) it is unlikely to have been as successful due to institutional rivalries and unwieldy government bureaucracies.

VII. The planned implementation arrangements were revised at the beginning of the project aimed at streamlining implementation. The functions of the Project Coordination Unit were incorporated into Nature Kenya's mandate but insufficient consideration was given to staffing requirements especially in relation to M&E.

VIII. The Steering committee delegated its functions to a subcommittee - the Technical Advisory Committee which consisted of members from the main implementing partners (KFS, KWS, NEMA, KEFRI and Nature Kenya). It effectively took over the role of the Steering Committee and only three meetings of the full Steering Committee were held during the project. While this was a practical move aimed at increasing efficiency, it was still necessary to have a full Steering Committee meeting annually. This would have had beneficial effects in creating linkages, increasing country ownership and extending lessons from project implementation.

IX. The project progress reports and financial reports provided to the Steering Committee and Technical Advisory Committee meetings did not have sufficient detail to fulfill their functions in overseeing project implementation.

X. The TAC functioned in place of the Steering Committee but it did not meet at regular intervals. A strict schedule of quarterly meetings was required, at which detailed work progress and associated financial reports were available for discussion. This would have

facilitated more timely flow of funds and adaptive management.

XI. The Site Advisory Committees worked very effectively at the field level and were an effective mechanism for ensuring local ownership of project interventions.

Monitoring and evaluation

XII. The projected needed a comprehensive M&E plan that included a specification for baseline information requirements, indicators, data analysis systems, reporting requirements, details of proposed project reviews and evaluations, financial monitoring requirements, a budget and dedicated M&E staff member to implement the plan.

4.2 Recommendations for project design, implementation, monitoring and evaluation

As the project has already been completed, the recommendations for project design, implementation and M&E do not require follow-up actions but rather are aimed at improving the design and implementation of future projects. They draw on lessons from implementation of the project and are aimed primarily at UNDP/GEF.

Project design.

1) The planned co-funding was specified by UNDP/GEF as 80% cash and 20% in-kind. Typically, government partners are cash poor but have significant staff, resources, infrastructure and operating capacity on the ground, so it is more practical for partners to provide co-funding in kind rather than in cash. A more reasonable breakdown, would be 10 to 20% cash and the remainder in-kind.

2) The budget breakdown in the project document showed only the GEF/UNDP funding amounting to $5m while the co-financing component which amounted to $11.97 million was not included. Including the cash elements of co-funding in the budget would assist partners to understand their co-funding commitments and include them in their own institutional budgets.

3) A more robust consideration of assumptions and risks is required at the planning stage so that mitigating measures can be included in the project design.

4) Any overlaps in the results framework cause confusion during implementation. A clear and unambiguous results framework with no overlaps is needed.

5) When key project targets are over-optimistic and need revising, the revised targets should be documented and formally approved by the steering committee and UNDP. The annual reviews and midterm evaluation provide opportunities for formal revision of project targets. After approval, the project should then be assessed against the revised targets instead of the original project plan targets.

Implementation

6) When project implementation arrangements are revised, they should be formally discussed and approved by the project Steering Committee and UNDP and fully documented.

7) Comprehensive progress and financial reports showing progress against the targets and budgets in the project document are needed for informed management decision making, project steering, adaptive management and learning lessons from project implementation.

Monitoring and evaluation

8) All projects need a comprehensive M&E plan that includes a specification for baseline information requirements, indicators, data analysis systems, reporting requirements, details of proposed project reviews and evaluations, financial monitoring requirements, a budget and dedicated M&E staff member to implement the plan. The M&E plan should make it clear how the various elements relate to each other, what information is being collected and why, and how to interpret the results.

9) Financial reports should be produced in the format of the budget in the project document so that actual expenditures can be compared with planned expenditures. They should also be produced in the format of the annual workplan budget showing planned and actual expenditures at the output/sub output levels.

10) If partners are providing co-financing in cash, the cash component should be included in budgets, work plans and financial progress reports and annual financial reports in the same way as UNDP/GEF funding.

11) A standardized biodiversity monitoring framework is needed for Kenya which all stakeholders involved in Biodiversity monitoring can use. It should be compatible with international system including the IUCN systems. KWS is currently working on a system and is about to share this with partners. (Follow up action by KWS)

4.3 Recommended actions to follow up or reinforce initial benefits from the project

The following are recommended as actions to follow up to reinforce the initial benefits of the project and maintain the momentum that has been established.

Component 1 Systemic capacities for PA management

12) Most of the less disturbed natural forest in the Forest Reserves have been rezoned as conservation areas changing their management objectives from production to biodiversity conservation. The biodiversity hotspots within those areas still need to be identified and mapped to ensure adequate protection and also with a view to potentially reclassifying them to higher conservation categories in future. The biodiversity survey work done on the project provides the basis for mapping those areas. KFS should map those areas and include the data and biodiversity maps in the Forest Stations management plans. (Action KFS)

13) The project facilitated development of plans – Forest Station plans, Participatory Forest Management Plans, Ecosystem Strategic Plans. Those plans now need to be implemented by KFS. (Action: KFS)

14) Landscape and Forest station level plans should be integrated into County Development Plans. (Action KFS in conjunction with County planners).

Component 2 Community management of PAs

15) CFAs are at various stages of development but most are still in need of capacity building support. KFS is in the best position to provide that support but increasingly the County Governments should assume this role, providing support both in funding and as a mediator when required between CFAs and KFS. (Action KFS and County).

16) CFAs require funds. Alternative funding mechanisms other than collecting funds for use of forest resources should be explored by the County Governments and KFS. KFS could consider provision of a proportion of revenues from plantations to Counties for that purpose.

(Action KFS).

17) Completion of resource user agreements is an urgent priority to avoid disillusionment of CFA members. The resource use agreements already done do not specify yet the harvesting levels. This will require negotiation between CFAs and KFS Forest Station managers. The process could cause disagreement and conflict. As a matter of policy, KFS should try to ensure that sustainable benefits that accrue to CFAs are maximized as a way of incentivizing community cooperation and support for forest conservation. The systems of small cash payments for firewood harvesting etc currently being proposed look set to fail and should be avoided as the governance systems are not in place to ensure transparency and proper management of funds both on the part of CFAs and KFS. Alternative means of funding CFAs can be found. (Action: KFS and CFAs)

18) KFS should take up the coordinating role and capacity building role which Nature Kenya had during implementation. This would include coordinating Counties at the ecosystem level, providing capacity building support to Counties and coordinating the various institutions involved in forest management. (Action KFS).

19) The Site Advisory Committees should be reformed at the County level and provide support to the County Governments and act on their behalf, including acting as a mediator between CFAs and Forest Stations when issues of conflict or disagreements over user rights arise, or when interventions are required to resolve governance problems. (Action: SAC Chair persons in conjunction with County staff).

Component 3. Operational capacities for PA management

20) State of Environment Reports have been developed. These should be reviewed and updated annually by means of a concise annex to the existing reports showing any relevant changes during the previous year. The entire report should be updated periodically as needed (say every 5 years). The associated action plans should be revised annually and integrated into County Development Plans. (Action: NEMA).

Other follow up actions

21) Much of the biodiversity survey data collected is yet to be compiled and documented. It is important that this information is fully documented and made available to KFS and KWS. Nature Kenya is best placed to do this but would require a modest amount of additional funding to cover staff time which should be made available by UNDP or the implementing partners (Action: Nature Kenya in conjunction with KFS/ KWS/UNDP).

22) The project developed and utilized a low-cost methodology for community involvement in biodiversity monitoring focusing on threatened species. This should be documented by Nature Kenya but needs additional funding as above. (Action: Nature Kenya in conjunction with KFS/ KWS/UNDP).

23) Lessons learned and project successes should be documented. The extent of documentation of project lessons and success stories has been less than planned and this has limited the potential to disseminate project success and lessons and replication of the model. However, Nature Kenya has indicated its intention to write up experiences and lessons in the months following project closure but requires additional funding as above. This would be a greatly reinforce the initial benefits of the project. (Action: Nature Kenya in conjunction with KFS/ KWS/UNDP).

4.4 Recommendations for future directions underlining the main objectives

24) Substantial areas of CCAs have been established during the project. Those areas contain patches of forest which have a high biodiversity value, wetlands and riverine forests that provide important ecosystem services, hilltops that are vulnerable to erosion and other areas deserving additional protection. Selected forest areas within CCAs should be identified and mapped with the aim of gazetting them as National Monuments (as for example has been done successfully with Kaya forest patches in the other forest biodiversity "hot spot" in Kenya's coastal region). This category is likely to be more acceptable to communities than National Reserves or Nature Reserves and provides a higher level of protection than CCAs. (Action: KWS).

25) A standardized biodiversity monitoring framework for Kenya is needed which is compatible with international (IUCN) standards which can be used for biodiversity monitoring by all organisations in Kenya. KWS has already produced a draft and plans the share it with other bodies so that a harmonized system can be agreed. This would overcome many current problems with diverse biodiversity monitoring systems in use which do not facilitate comparison of sites. The experience of biodiversity monitoring and the lessons learned during project implementation can contribute to development of this monitoring framework. (Action: KWS in collaboration with Nature Kenya and KFS).

26) Once the new biodiversity monitoring framework is agreed, the biodiversity data collected during the project should be used to develop new baselines for the three ecosystems. It is likely that much of the biodiversity information collected during the implementation of the project can be fed into the new system. (Action: KWS in collaboration with Nature Kenya and KFS).

4.5 Best and worst practices in addressing issues relating to relevance, performance and success

Best practices

- The strategy of using an independent NGO with a strong reputation to build trust and develop good working relationships between a diverse group of stakeholders
- The multi-stakeholder approach to project planning worked well

Worst practices on the project

- M&E systems and practices and inadequate provision of M&E staff.

5 Annexes

Annex 1. The Evaluation Terms of Reference
Annex 2. The Evaluator's itinerary
Annex 3. List of persons interviewed
Annex 4. Summary of field visits
Annex 5. List of documents reviewed
Annex 6. Evaluation question matrix
Annex 7. Questionnaire used
Annex 8. Evaluation audit trail
Annex 9. Evaluation Consultant Agreement Form

5.1 Annex 1. The Evaluation Terms of Reference

Terminal Evaluation Terms of Reference - Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya

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 Strengthening the Protected Area Network of the Eastern Montane Forest Hotspot of Kenya Project (PIMS #4178.)

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

PROJECT SUMMARY TABLE

Project Title:	Strengthening the Protected Area Network of the Eastern Montane Forest Hotspot of Kenya			
GEF Project ID:	3693		*at endorsement (Million US$)*	*at completion (Million US$)*
UNDP Project	00072462	GEF financing:	4,500,000	
Country:	Kenya	IA/EA own:	1,500,000 (in kind)	
Region:	Africa	Government:	10,470,000 (in kind)	
Focal Area:	Biodiversity	Other:	500,000 (UNDP)	
FA Objectives,		Total co-financing:	12,470,000	
Executing Agency:	Nature Kenya	Total Project Cost:	16,970,000	
Other Partners involved:	KWS, KFS, KEFRI & MEWNR	ProDoc Signature (date project began):		24/09/2010
		(Operational) Closing Date:	Proposed: 31st Dec 2015	Actual:

OBJECTIVE AND SCOPE

The project was designed to lift the barriers to establishment of a representative and well managed Protected Area (PA) system in the western part of the Eastern Afro Montane Hotspot, specifically constituted for the purpose of biodiversity conservation. The project aimed to increase coverage and strengthen management effectiveness for forests in western and North Rift Kenya. The targeted areas include the Kakamega Forest, North and South Nandi Forests and the Cherang'ani Hills Forests. The project will directly bring an additional 95,000 ha of land into PA categories designed to conserve biodiversity, including unprotected forest lands and reserve forests being managed for production.

The evaluation will cover all activities supported by UNDP/GEF and, where appropriate, activities supported by the host institution, NATURE KENYA. It will also cover activities that other

collaborating partners are supporting as part of the co-finance to the project.

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[1] 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 <u>UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects</u>. A set of questions covering each of these criteria have been drafted and are included with this 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 T e c h n i c a l Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to the Western Montane forests, including the following project sites: Cherang'ani, Kakamega and South and North Nandi Landscape. Interviews will be held with the following organizations and individuals at a minimum: Ministry of Environment and Natural Resources (MENR), National Museums of Kenya (NMK), National Environment Management Authority (NEMA), Kenya Wildlife Service (KWS), Kenya Forest Service (KFS) and East African Wildlife Society (EAWLS).

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 <u>Annex B</u> 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), 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.

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:	
5. Impact: Significant (S), Minimal (M), Negligible (N)	**rating**		
Environmental Status Improvement			
Environmental Stress reduction			
Progress towards stress/status change			
OVERALL PROJECT RESULTS			

*Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

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 a n d 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. In addition, the evaluation will be included in the country office evaluation plan.

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.[2]

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 Evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME

The total duration of the evaluation will be 30 days according to the following plan: Start date 10th Oct. 2015

Activity	Timing	Completion Date
Preparation	3 days	13th Oct
Evaluation Mission	15 days	28th Oct
Draft Evaluation Report	10 days	8th Dec
Final Report	2 days	10th

EVALUATION DELIVERABLES

The international consultant 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.

5.2 Annex 2. The Evaluator's itinerary

Field visit itinerary for PAs End-term Evaluation

Day	Time	ACTIVITY	VENUE
Day 1: Wednesday 02/12/2015		Travel to Kapsabet (Nandi Landscape)	Kapsabet
Day 2 Thursday 03/12/2015 (North Nandi Forest landscape)		Brief on the GEF Project activities in the Nandi Landscape	Nature Kenya, Kapsabet office
		Meet key stakeholders of Nandi Landscape – County Forest Conservator; County Warden; County NEMA Director; County Environment Executive	Kapsabet
		Field visits: Community Forest Association (CFA) - Kimondi Community Conservation Area (CCA) – King'wal Community woodlots (North Nandi) Community energy saving devices (North Nandi) Forest Outpost (North Nandi)	North Nandi landscape
Day 3 Friday 04/12/2015 (South Nandi Forest landscape)		Field visits: Site Support Group (South Nandi Biodiversity - SONABIC) Community resource centre Community bandas Kobujoi Forest Station (CFA and KFS) Community woodlots Schools energy saving devices	South Nandi landscape
		Travel to Kakamega Landscape	
Day 4 Saturday 05/12/2015		Brief on the GEF Project activities in the Kakamega Landscape	Nature Kenya, Kakamega office
		Meet key stakeholders of Kakamega Landscape – County Forest Conservator; County Warden; County Environment Executive; Site Advisory Committee Chair	
		Community Forest Association (CFA) - Malava Community woodlots (Malava) Community energy saving devices (Malava) Kenya Wildlife Service outpost (Kisere Forest)	Northern Kakamega Forest adjacent area
Day 5 Sunday 06/12/2015		Rest on Sunday	
Day 6 Monday 07/12/2015		Meet Kakamega/Vihiga County Environment Executives; County NEMA Director	
		Forest Outpost (Iloro) Site Support Group (Kakamega Environment Education Program- KEEP) Community Forest Association - Muileshi Community Conservation Area (CCA) – Tiriki Cultural Association	Southern Kakamega Forest adjacent area
		Travel to Kitale	
Day 7 Tuesday 08/12/2015		Meet West Pokot County Environment Executives; County NEMA Director; County Forest Conservator	
		Community Forest Association (CFA) –Kapkanyar and Lelan	

		Indigenous People – Cherang'any Multipurpose Development Programme (CHEMUDEP) Community woodlots (Lelan) Kenya Forest Service and Lelan CFA Station (Kibichbich)	
Day 8 Wednesday 09/12/2015		Community Forest Association (CFA) – Cherang'ani Forest rehabilitation and biodiversity monitoring Koisingur Dairies	
Day 9 Thursday 10/12/2015		Meet Elgeyo Marakwet County Environment Executives; County NEMA Director; County Forest Conservator	
		Community Forest Association (CFA) – Elgeyo Community woodlots Cheptongei Forest station infrastructure	
Day 10 Friday 11/12/2015		Meet Head of Conservancy North Rift	
		Travel to Nairobi	

5.3 Annex 3. List of persons interviewed

Nairobi
  Paul Matiku, Executive Director, Nature Kenya, Nairobi
Washington Ayiemba, Site Support Specialist/Project Manager, Nature Kenya, Nairobi [sykpe conversation]
David Githaiga, Programme Officer, UNDP Country Office, Nairobi
James Mwang'ombe Mwamodenyi, Senior Assistant Director (Biodiversity Management), Kenya Forest Service, Nairobi
Erastus Kanga, Assistant Director & Head, Ecosystems Conservation & Management, Kenya Wildlife Service (KWS), Nairobi
Wilson Busienei, National Environmental Management Authority (NEMA), Nairobi Joseph Masinde, National Environmental Management Authority (NEMA), Nairobi
William Omondi, Seed Programme Coordinator, Kenya Forest Research Institute (KEFRI), Nairobi Itambo Malombe, Head, National Herbarium, National Museums of Kenya (NMK), Nairobi Patrick Malonza, Senior Research Scientist/Herpetologist, National Museums of Kenya, Nairobi

South & North Nandi
Gibson Kitsao, Site Project Officer, Nature Kenya
Lena Chebiche
Enock Kilima, Ecosystem Conservator, Nandi County (KFS employee)
Koskei David, Chief Officer, Min Water, Lands and Environment. Nandi County.
Mr. Wawire, County Director of Environment (County Environment officer), NEMA
Maureen Aloo, KFS Forester, North Nandi Forest Station
Emmanuel Kimei, Forest Ranger, North Nandi Forest Station
Jacob Kurgat, Farmer, North Nandi Forest Station (demonstration Euc woodlots)
Enock Kilimo, County Forest Conservator, KFS, Nandi
?, Burser, Kimondi Secondary School
John Lelei Jonah, Secretary Muruguyiet Self Help Group, and six group members
Augustin Kisorio (Chair), Paul Amai (Treasurer), Wilson Langat (Secretary),Eunice letei (Office Asst) ,Kimondi rural CFA
Joel Kando, KWS, Nandi County
Kesogon Primary School. Head teacher, David Kenboi.
??, Member of CFA grazing cows in the South Nandi forest
Kobujoi Community Forest Association. Paul Sangat (Chairman), Biligan Abubakar (Secretary), David Kijuan (Scout)

Kakamega
Joel Siele, Site Project Officer, Nature Kenya
Leonard Likhotio, Extension Officer, Nature Kenya, Kakamega
Prof H.M. Tsingalia, Chair, Site Advisory Committee, Kakamega Forest Landscape
Saul Shamala, (Chair) Kakamega Forest Conservation Arm (KAFCOA)
Paul Lumadi, (Chair) Kakamega Northern Conservation Conservancy (KAFCCO)
Aggrey Congo, (Chair) Kakamega Environment Education Program (KEEP), Kisere Branch
Joyce Shiyonga, (Sec) KAFCCO
Oliver Mungai, KWS Ranger, Kisere Ranger Post
James Shihuma, (Chair) Malava Community Forest Association, and 5 members of the CFA including the Secretary (Stanley Chiveti), Treasurer (Marcilla Levi), Vice Treasurer, and an executive member.
John Vukaya Wadutsa, Farmer and woodlot owner.
Ojuang F. Nyibule, KWS Warden in Charge, Western Conservation Region (includes Kakamega, Vihiga and Busia)

Kakamega County - Alfred Malando (Ag Dir of NRM), Collins Luta (Private Sec to Minister for MWLE Kakamega County)
KFS Extension unit Kakamega – Boaz C Mung'aya (Forester Kakamega North), Alice Anyona (Forester Kakamega Central.
Kakamega County - Shamala Jacob (Acting Dir of Environment and NRM), Peter Mathia (in charge of NRM in the Min of Water and Environment in Kakamega)

NEMA Kakamega – Stella Ngangi (County Director of Environment), Duncan Osale (Environment Officer Kakamega)

Mambili Mutiali, (Chair) MUILESHI CFA – Nguja Janet (Treasurer), Silvester Mulwa (Secreatry), Peter Lukongo, and over 20 members.

G.O.Aimo, KFS Kakamega Forest Station Manager

KEEP Kakamega Environment Education Program – Wilberforce Okeka (founding chair), Nixon Sajita (Chair), Eunice Nziami (Bandas Manager)

Cherang'ani

Julius Kimani, Site Project Officer, Cherang'ani Landscape, Nature Kenya.

Alfred Tulen, KFS West Pokot

Gabriel Kariuki, KFS Asst Coordinator for West Pokot

Pere Kienze, Asst to the Ecosystem Conservator

Chemdep Indigenous Peoples Organisation – Elias Kimei (Chair), Solomon Cherungus (Coordinator), Mr Botich (Member)

Wycliffe Obayo, KFS Station Forester, Lelan Forest Station.

Lelan CFA- Samuel Kenyatta (Chair), Simon Loal (Scouts chair), Benjamin Korii (Sec), Wycliffe Obayo

Harun Mburu, KFS Deputy Forester, Cherang'ani Forest Station.

Charangani CFA - Carrington Kibet (chair), Vincent Cheruyot (Member), John Chesengon (Secretary), Jackaline Mweno (Treasurer), Paul Kanio (Cheborwa Sekemet group)

Charles Chilemo Suter, County Director of Environment and NRM, Elgeyo Marakwet.

Mercy Kimosop, Nature Kenya site eco-agriculture intern, Elgeyo Marakwet

Alfred Kurgat, Ecosystem Conservator, Elgeyo Forest Station, Elgeyo Marakwet County

Charles Ware, Station Forester, Elgeyo Forest Station

David Kuto, CFA Chairman

Isaac Simiyu, Station Forester, KFS, Cheptongei

Solomon Mibey, KFS Head of Conservancy, Eldoret.

5.4   Annex 4. Summary of field visits

2 Dec 2015. Meeting with, Project Officer, Nature Kenya and staff.

The project officer for the North and South Nandi provided a briefing on activities and progress to date for each of the three project components in the N&S Nandi project areas.

Points to note from the discussion.

- The project's main short term achievements are in building capacity of CFA's (and KFS), reducing conflict between communities and authorities, bringing NRM benefits to communities, improving awareness of environment. Other achievements are more long term.

- Participatory Forest Management Plans (PFMPs) have been done but implementation has not started and further support is required to begin implementation. Resource use agreements are in various stages of completion.

2 Dec 2015. KFS Ecosystem Conservator, Nandi County.

Nandi County has 62,300 of gazette forest in six forest stations.

Points to note from the discussion:

- The support provided by the project including infrastructure, development of management plans, protection through 70 scouts from CFA's facilitated by the project. Nandi County is now the most advanced county in the country in forest management planning.

- PELIS is operating in plantation areas (currently 300 ha) and this provides a major incentive for CFA members to participate in the CFAs.

- CFAs scouts are assisting with protection but are not paid at present. This issue must be resolved before they lose interest.

- The 2015-40 Strategic Ecosystem Management Plan for north and south Nandi forests 5 year forests has been done with project support and now needs a forests bill at county level to implement it.

- Grazing remains a major menace in the county and they

- The CFAs need better coordination.

- There is strong support for the project and it is considered to have helped to make very good progress in improving conservation.

3 Dec 2015. KWS Coordinator, Nandi County.

Points to note from the discussion:

- KWS has been fully involved in project implementation and the project has contributed greatly to improving relationships between the community and KWS. Attitudes to conservation of sitatunga have changed. Poaching has stopped. Management plans have been developed for two wetlands. The project assisted the establishment of CCAs (Community

Conservation Areas), building capacity through training and study tours, uniforms, offices and equipment.

- Unlike CFA's which have an incentive through resources harvesting and PELIS, the CCAs cannot harvest any resources from conservation areas. The members are driven by their interest in and "passion" for wildlife conservation and the environment.

- Regarding sustainability of activities, KWS will steer activities after the project ends and continue to mentor and support community conservation and the CCAs. They are also looking to LVEMP project and others including the Counties to support CCAs activities and plans.

- Regarding impacts of the project on the PAs, the vegetation is improving, wildlife numbers are increasing and the forest is improving.

- Monitoring is done in an ad hoc way e.g. a 6-man monitoring team inspects the areas before advisory committee meetings and reports on the condition of the PA. Also there are ad hoc reports of vegetation improvement from KWS helicopter fly-overs.

Lessons: There were some delays in getting funding from UNDP. The project was delayed by one year (but got a one year extension to compensate). The watchtower which was supposed to be constructed has not been done due to delays. Some delays were on the KWS side – e.g. the EIA process for buildings is very tedious. (Note UNDP has restructured its processes to overcome delays at the beginning of the year and now workplans can start implementation in January each year)

3 Dec 2015. Nandi County Government. Chief Officer, MWE and County Dir of Environment, Nandi County, (NEMA employee)

Points to note from the discussion:

- County staff are fully involved in project implementation from the inception workshop at the beginning of the project. Staff regard the project as very successful and expressed gratitude to UNDP/Nature Kenya for the work done. The project assisted the CCAs at Kinwale and Kibirung, two wetlands under the County government. Boundary demarcation was done. The project also assisted KFS in rehabilitation of forests. The greening of schools program has been very successful.

- One officer from the County is on the project Site Advisory Committee. Nature Kenya has assisted in developing bills at county level - environment policy and bill, the water bill and the forests bill. Nature Kenya has also been involved in developing the County Integrated Development Plan and the County State of the Environment Report

- As regards the impact of the project closing, the Governor sees the project is having a very good impact on the ground and would like to see the project continue as many aspects are at "at an infant stage" e.g. the CCAs, especially the wetland CCAs. The County Govt came into being half way through the project and is still young and in need of capacity building support. Also the CCAs need more capacity building support.

- As regards sustainability, the County will take up the role of Nature Kenya. They say that the County will pay the scouts salaries from the County casuals budget.

3 Dec 2015. Kinondi Rural CFA .

Points to note from the discussion:

- The CFA was started in 2007. Membership is still small – less than 5% of households. The benefits of membership are not obvious to local people so they are reluctant to pay the Ksh 100 per year membership fee.

- The project has been providing capacity building support to the CFA (training, workshops, scouts uniforms, office equipment 2 motorcycles, tree nursery).

- The CFA's main problem is funding. A local arrangement whereby the KFS is to provide 10% of harvesting revenue has not been honoured by KFS. The KFS forester says the CFA members should claim the revenue from the sawmiller. The CFA has requested the County Govt to provide funding and they were told this will be provided in the 2017 budget.

- The CFA does not yet have a resource use agreement with the KFS. Grazing will be the main benefit but they are still discussing this with KFS. They say KFS is a reluctant partner.

3 December 2015. Kimondi Secondary School. Bursar.

Visit to a school supported by the project in the tea buffer zone surrounding the forest reserve. The objective is to provide demonstrations for education and training purposes. The school has a one-acre woodlot, improved stoves and nursery.

Firewood requirement has reduced by half since the improved stoves were installed.

3 December 2015. Muruguyiet Self Help Group.

Points to note from the discussion:

This self-help group has 600 members and has been receiving capacity building support from the project. Its environment activities include tree nurseries, farm woodlots, distribution of tree seedlings to schools, community water projects, honey production, environment education, fish farming, ecotourism.

Nature Kenya trained some members in monitoring biodiversity.

3 December. Kapsamoite. Demonstration farmer.

Points to note from the discussion:

- A good demo plot of Euc woodlot/poles. The project provided seedlings on condition that site could be used for training and demo purposes.

- Farmers have unrealistic expectations from Euc plantations – Kenya Power will buy poles etc. Its not clear what profits will be. The approach is to plant trees and figure out later who to sell them to and what profits will accrue.

- A better approach would be to develop guidelines/leaflets or a training manual describing the process and giving good information on potential returns.

3 December 2015. KFS North Nandi Forest Station.

Points to note from the discussion:

- The forest station consists of 11,600 ha, with 84 km of forest boundary (divided into 6 beats) and includes 300 ha of plantations. The local CFA is Chesumei CFA. Members have to pay for firewood harvested from the forest. A ranger is in charge of each beat and takes the money in payment for firewood. Asked if this system is open to abuse and if it really works, the ranger said yes it is open to abuse and it is not possible for the ranger to ensure everybody pays. The option of allowing free access to firewood (i.e. no payment) was discussed as a means of reducing the potential for abuse.

- Currently quantities of resources to be extracted are not specified apart from the rule of one headload per day. It was agreed that KFS needs to agree quantities with the CFA for firewood and other commodities for regulation purposes.

- CFA leadership is still weak and needs on-going capacity building. KFS says it must take the lead in this now that Nature Kenya/UNDP is withdrawing.

4th December, 2015. King'wal Wetland. King'wal Community Conservation Area (CCA).

Points to note from the discussion:

- CCA is located in a settlement area outside the forest but adjoining forest on one section. 80% is privately owned while 20% is in public land. The area has been designated a CCA which raises its conservation status. The boundary is 17.5 km long. There are 18 rangers protecting the CCA. Its is managed by a committee.

- The project helped set up the CCA, provided infrastructure support (building, furniture, electricity connection, uniforms etc). Project planned a watch tower but ran out of time so this has not been done. The committee provided a very positive report of the assistance provided by the project.

- Relationship with KWS was very bad in the past with community killing Sitatunga, crop destruction by sitatunga etc. The relationship is good now. KWS is now relying on scouts from the CCA for protection of the swamp. A compensation committee deals with compensation for crop raiding.

- KWS and the County should now take up where Nature Kenya leaves off. To date the county has not been very supportive.

- As the project ends, LVEMP funding is coming on stream – providing Ksh 2.5m over 3 years.

4th December. Kobujoi Community Forest Association (Chairman, Secretary, Scout)

Points to note from the discussion:

- Support provided by the project included awareness training, development of the CFA agreement with KFS, training and equipping of scouts (uniforms, equipment), construction and equipping of the resource centre, provision of office equipment, construction of 2 tourist bandas, construction of nature trails, connection of power to the site and buildings (including KFS), refurbishment of the KFS Foresters house, establishment of an arboretum with over 40 species of trees found in the South Nandi forest as a training facility.

- The CFA carried out other developments without project support – provision of water, establishing a tree nursery, connecting power to the bandas. The CFA has 1600 members and generates some funds through membership fees and rent of the resource centre facility. Staff are all voluntary including 20 scouts that support the KFS in protection activities. The project support was highly valued and the community wants it to continue as the CFA is still a young institution and needs Nature Kenya support.

- The CFA has a signed agreement with the KFS. Members have access to resources in the forest but are required to pay – Ksh 100 per month for a headload of firewood per day and pay for grazing. KFS makes substantial fees from grazing.

- CFA leadership are motivated by their interest in conserving the environment. A relatively small proportion of community are members as others don't see the advantage of membership. Even as members they are required to pay for firewood to the KFS Beat Ranger.

- A big incentive for membership is the opportunity to participate in PELLIS (shamba system of plantation establishment) as this is restricted to members of the CFA.

- The CFA members said they need continuing support from Nature Kenya as a mediator and facilitator between the CFA and KFS

Evaluator's recommendations:

- Consider allowing all community members to be members of the CFA. Currently membership to too small.

- Consider allowing collection of firewood for free – cash payments introduce governance challenges which could destroy the CFA. Firewood is a subsistence requirement and has no value in the forest but has a high value for community members. The fees are so small that collection costs do not justify the collection. Eliminate the system of paying the KFS Beat Warden for firewood access as this inevitably leads to misappropriation of funds and undermines community trust.

- Focus awareness training on KFS to change the culture to support community conservation partnerships

- Sensitise County level on their role in support of CFAs

4th December 2015. Kesogon Primary School demo woodlot. Head teacher.

Points to note from the discussion:

- Tree planting in the school compound was done as part of the project's schools environmental education program. The Euc pole plot was planted in 2012 and is now well established and 20+ ft tall. The school hopes to generate significant funds from tree sales in future. The main

aim is to make pupils aware of the ecological and financial benefits of trees. Similar initiatives were undertaken by the project in 35 schools across the project area.

- The project encouraged schools to set up environment clubs and for those clubs to be affiliated to the Wildlife Clubs of Kenya. The teachers responsible for the clubs are linked to the project. The initiative included facilitating a study tour for teachers (from several schools) to a model school supported by Wildlife Clubs of Kenya.

- The school highly appreciates the project support.

- It was noted that pupils were encouraged to plant trees at home and encourage their families to do likewise and that revenue from tree growing could contribute to payment of school fees.

(Evaluator's recommendation: the Nature Kenya team could document a case study of a pupil who planted trees at the beginning of the school career and paid for school fees through revenues from the trees.)

5 December. Kakamega Project Office. Site Project Officer, Nature Kenya, Extension Officer, Nature Kenya, Kakamega Site Advisory Committee members.

Points to note from the discussion:

The Site Advisory Committee was set up by Nature Kenya and includes 22 members from all the participating stakeholders – KFS, KWS, KEFRI, NEMA, CFA's, County Govt, private sector and tourism sectors.

The project is considered as very inclusive and very responsive and adaptive. After the project ends the activities are likely to continue with financial support from the County government.

5 December. KWS Warden, Kakamega Forest National Reserve.

Points to note from the discussion:

- The project support focused on provision of a ranger post in Kisere forest block north of the main block of Kakamega forest. The area had suffered serious destruction due to its remoteness from the main block and the absence of a permanent station there. The project provided Ksh 3 million for construction of the accommodation for 3 rangers and office block (including a community resource centre) in 2014 and has resulted in a major improvement in security in the block since then.

- KWS strongly supports the idea of community based PA management. There can be as expected local wrangles and in-fighting between CFA members which hinders progress. CFAs around Forest Reserves improves community relations and reduces forest destruction. The incentives of access to resources is key to success of CFAs and KFS here has a huge advantage over KWS which does not allow access to resources such as firewood.

- Merging KFS and KWS is a good idea and would result in better management. Currently KFS manages most of the forest and KWS the remainder. The two organisations have different policies in the same forest and people cannot understand why. One organization would be more efficient.

5 Dec Kisere Ranger post. Members of community conservation organisations. Saul Shumala, (Chair) Kakamega Forest Conservation Arm (KAFCOA), Kakamega Northern Conservation Conservancy (KAFCCO), Kakamega Environment Education Program (KEEP).

Points to note from the discussion:

- Inspected the Ranger Post facilities built by the project at a cost of Ksh 3 million. Three accommodation houses built along with a three roomed office/meeting room unit. Buildings done to a good standard and at a very competitive cost.

- Kisere is a block of forest north of Kakamega Forest managed as a Nature Reserve by KWS and therefore does not have a utilization zone so the incentives for conservation are less than for CFA's bordering Forest Reserves. The members of these groups are motivated by interest in the environment and conservation. Nature Kenya and KWS has been supporting these organisations through training and other capacity building activities.

- In terms of sustainability, the organisations do not rely on Nature Kenya support so withdrawal of the project will not unduly affect them. The County has been quite supportive of these organisations and is providing funding for their activities.

5 Dec Kisere Ranger post. Interview with KWS Ranger

Noted that there has been a major reduction in poaching in Kisere since the ranger post was established through funding.

5 Dec 2015. Visit to Malava Community Forest Association office in Malava town.

Points to note from the discussion:

- Malava is a small forest Station of approx. 718 ha. The CFA was formed in 2008 and received its registration certificate in 2011. The CFA has 500 members and partners with KFS in managing the forest although the CFA agreement is not yet signed by KFS (but is ready for signing). The members described the relationship with the KFS station management as very positive.

- Membership was initially slow and reluctant but as participation in PELLIS is confined to CFA members and many people want to participate, this has resulted in a surge in membership of the CFA.

- Assistance provided by the project, including capacity building training, office furniture, motorcycle, uniforms and scouts training, assistance in boosting nursery sales, assistance with livelihood activities (beekeeping etc). The CFA carried out enrichment planting in the forest reserve with assistance of Nature Kenya which purchased the seedlings from the CFA nursery and paid for the casuals to do the planting.

- The CFA is in a good financial position. PELIS is a major contributor as it is highly valued by the community as a proportion of the charge goes to the CFA. Sales tree seedlings generate substantial revenue. The CFA also has a commercial firewood extraction license from KFS

and generates some funds through firewood sales. Overall the CFA seems to be financially sound.

- Members will feel the impact of the project closing but the capacity building training has helped them to progress on their own and the project has helped them to become financially secure.

- Many donor projects have been implemented in the area over the years but according to community members this project has been the best in his experience and delivered the best results.

- Nature Kenya has played a facilitating role which will be missed.when the project closes The County should in future play that role but despite promises from the county Minister for Environment. The Minister promised to employ the CFA scouts (currently working on a voluntary basis) and to buy seedlings from the CFA nursery but failed to deliver. They later found that the County had imported seedlings from another district and were quite disillusioned by this.

5 Dec 2015. Visit to demonstration wood lot. Farmer

The site is one of many demo sites used for training people on woodlot establishment. Approx 1 acre is planted with Eucalyptus and Grevillea which are appropriate and in good condition. The site also has two efficient wood burning stoves installed (one large, one small) in the house kitchen aimed at reducing the quantity of fuelwood used. The owner says fuel wood requirement has reduced by about half since the stoves were installed.

5 Dec 2015. Malava Forest Station. KFS staff.

Points to note from the discussion:

- Assistance to KFS Kakamega, including enrichment planting of 33 ha natural forest and development of the 5-yr participatory forest management plan for Malava FS involving intensive community consultation.

- Relations between communities and KFS are good – they have improved due to increased community engagement during the project e.g. during the 5-year plan process.

- Sustainability of project activities is good. The enrichment planting and 5-year plans were discreet activities which are now completed. Other support such as trainings and capacity building will be missed when the project closes. The forester asked that project support continues as the assistance provided was highly valued and addressed pressing needs.

- Other related projects working in the area include CDTF funded activities and some GoK NRM initiatives. The forester did not see any noteworthy gaps or overlaps. Interventions are coordinated through occasional meetings with County Government but there is scope for a better coordination mechanism at County level, for example including the project supported development activities in County plans with separate columns showing project budgets (or donor contributions).

7 Dec 2015. Kakamega County Government. Minister wished to meet but apologized as he was called away. Met with Ag Dir of Natural Resources and Ministers Private Secretary.

Points to note from the discussion:

The County staff felt fully involved in the project and was represented on the project Site Advisory Committee and attended its quarterly meetings. The county wants to reach the GoK target of 10% forest cover. After project ends the County recognizes its responsibility to take up the role of Nature Kenya in supporting CFAs. The county is willing to provide finance for CFA activities.

7 Dec 2015. Kakamega KFS Extension Staff. Forester Kakamega North and Forester Kakamega central.

KFS has extension staff at subcounty level and works with CFA and others on fuel wood programmes and agroforestry, tree seedlings and bee keeping. Staff think Nature Kenya has done a commendable job in supporting this work and when they leave the KFS and County will have to take up where Nature Kenya left off.

7 Dec Kakamega County Government. Ag Dir of Env) and staff in charge of NRM in MWE

Points to note from the discussion:

The project as the "most active, transparent and effective project that his office has ever worked with". Greening the county is a priority for Kakamega county government and the project has been very helpful in achieving that goal. Nature Kenya added a lot of value in developing the SOER and County Environment Action Plan. Also the training and capacity building activities were highly valued and appreciated by the County Government. Going forward, the priority for the MWE is water but after that they will be looking for funding for implementation of the Environment Action Plan. The county envisages providing funding to support activities of the CFAs in the county.

Waste management and sewerage is also a priority for the MWE.

7 Dec 2015 NEMA Kakamega. County Dir of Environment and Environment Officer.

Points to note from the discussion:

- The project assisted in developing the State of Environment Report 2012 (launched in 2014) and the associated Environment Action Plan which is almost complete. The plan must now be implemented. The project has also supported the running of the County Environment Action Forum which is a very effective forum.

- Information generated with project support enables office to make informed decisions. The project created an opportunity for learning which the NEMA office says was a valuable contribution. They requested the project to continue supporting the office.

7 Dec 2015. MUILESHI CFA. Met with over 20 members of the CFA.

Points to note from the discussion:

- Project has helped greatly to build capacity of the CFA with training, exchange visits, woodlots and tree nurseries, provision of equipment and construction of an office building. Also Nature Kenya has created a harmonious relationship between the CFA, KFS, KWS and the County.

- Members appreciated the project support and asked for it to be sustained and renewed.

- The County has promised funds for supporting the CFA activities but to date no funds have been received.

7 Dec 2015. Kakamega Forest. KFS Forester

Points to note from the discussion:

The partnership with Nature Kenya has really assisted the station including training scouts, monitoring biodiversity, building capacity, building a new outpost at Iloro for KFS staff and provision of office equipment.

7 Dec 2015. Kakamega Environment Education Programme (KEEP).

Points to note from the discussion:

- Nature Kenya has a long history of work in Kakamega Forest on training, education and monitoring biodiversity. Nature Kenya works with KEEP on monitoring IBAs.

- Members showed strong support for Nature Kenya and the project and expressed their gratitude. Current priority activity supported by the project is outreach training to schools.

8 Dec 2015. Kapenguria, West Pokot. Nature Kenya Field Project Officer.

Points to note from the discussion:

The Cherang'ani Forest Ecosystem area which comprises 95,600 ha of forest in Trans Nzoia, Cherang'ani, West Pokot, Marakwet. There are 9 CFAs in the rea. 8 Management plans (PFMPs) have been produced with project support. The plans now need to be implemented.

8 Dec 2015. Kapenguria, West Pokot. KFS staff.

Points to note from the discussion:

- KFS is currently resurveying forest boundaries. This is supposed to involve the 3 CFAs in the rea but CFAs are not very strong here. There is considerable potential for conflict over boundaries in these areas.

- There are substantial areas of forest under County control (not KFS). These trustlands need management. There is an opportunity here to develop a project proposal focusing on trustlands.

- Nature Kenya is the only conservation/development body working in this area. The project has had a strong positive impact in building capacity of CFAs and KFS. When the project closes the Counties and government agencies will have to take over. The Forester expects extension function to be devolved to counties in 2016. This would be a positive development. However he does not see the counties providing any funds directly to the CFAs to support their activities.

- The project Site Advisory Committee is functioning well but he is not sure what will happen when the project closes. It will be difficult to keep the committee going.

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8 Dec 2015. Kapenguria. KFS Asst Conservator for West Pokot and Asst to the Ecosystem Conservator.

Points to note from the discussion:

- KFS values the capacity building efforts of the project especially with the CFA. The project support to the CFA included provision of a motorcycle, office equipment and furniture, tree nursery etc. The CFA is now a strong institution and able to function effectively in future without project support.

- The project has helped build a good relationship between CFA, KFS and the county.

- The project assisted the development of the PFMP which was done by a consultant working with the local stakeholders. The plan now has to be implemented.

8 Dec 2015. CHEMDEP Cherang'ani Indigenous Peoples Organisation – members

Points to note from the discussion:

- The original Cherang'ani indigenous people are being pressed on all sides by neighbouring tribes moving into their traditional territory. They are now divided between four counties which divides the tribe and marginalizes them in both counties.

- At the time of the project design, the Cherang'ani Indigenous people were marginalized and their issues were not included in the project but towards the end of the project they were included in livelihood activities. Initially the Cherang'ani objected to the project as they were not involved in the planning.

- During implementation Nature Kenya has made specific efforts to ensure the Cherangani people are fully included as a project stakeholder group. The project has helped them produce their 5 year strategic plan for the development of the Cherang'ani indigenous people.

- After the visit, CHEMUDEP provided a written submission to the evaluator detailing the issues of concern related to the project's failure to give due recognition to the Cherang'ani Indigenous peoples role.

8 Dec 2015. Lelan CFA -

Points to note from the discussion:

- Two CFAs merged to form Lelan CFA. Many activities were supported by the project including the tree nursery (200,000 seedlings this year). Project support included construction of a new building now shared by both the CFA and KFS.

- The station has no plantations and therefore no PELIS which is a drawback as cultivation in the forest plantation provides the greatest benefit and incentive to the community

8 Dec. Cherang'ani Forest Station. KFS and the CFA

Points to note from the discussion:

- The KFS station has benefited from the project through office furniture and equipment including computer, a new building and a 10,000 l water tank.

- There were previously 5 CFA's registered around this station but these have now been merged under this umbrella CFA in compliance with the law that there should be just one CFA per Forest Station. Membership is 1,280 which is a small proportion of the total population. The CFA is very active with many activities – nurseries, woodlots, beekeeping, agroforestry. They benefited from the project e.g. through capacity building trainings, exchange visits, office equipment, motorcycle. Community scouts now protect the forest on a voluntary basis but need funding for this soon to avoid disillusionment.

- The big challenges are encroachment (no clear boundary and conflicts over this issue between KFS and CFA) and over grazing (KFS wants to limit livestock grazing whereas livestock owners want the status quo to continue).

- The CFA is about to sign its user rights agreement but levels of harvesting firewood and other products and levels of grazing are not part of that agreement and have still to be worked out. The agreement therefore is not very useful as it just specifies what products can be harvested but not the quantities. Agreeing quantities is likely to be contentious and will have to be done without support of the project.

9 Dec 2015. Elgeyo Marakwet County Govt.

Points to note from the discussion:

- The County is grateful for the project and has a very positive view of the project. Planning on the project took an integrated approach and the County felt fully involved.

- Going forward, funding is still required for implementing the plans and for monitoring progress in achieving the project aims of improving conservation.

- Encroachment is a big challenge in this area. There are lessons from the Ombobut settlement exercise that should be learned – compensation was not adequate and the wrong people were compensated.

- The PFMP has been done but now needs to be implemented.

9 Dec 2015. Elgeyo Forest Station Singone Block. KFS staff.

Points to note from the discussion:

- activities supported by the project include capacity building for CFAs and KFS, scouts, PFMPs, infrastructure, transport. He felt KFS was fully involved in planning and implementation, thought the project contributed greatly to conservation and hoped the project support would continue.

- the county has followed the project lead and decided to fund two CFA's outside the project area – Kaptagat and Penon.

- Going forward without project support will difficult – Nature Kenya will leave a vacuum that should be filled by the County and KFS.

9 Dec 2015. Elgeyo Forest Station and CFA. KFS and CFA staff.

Points to note from the discussion:

- The project has assisted KFS to renovate buildings, contributing Ksh 500,000 to renovate the Foresters house and some repairs to the CFA office at the station. Both agreed the project has assisted greatly by building capacity and creating a good relationship between KFS and the CFA. The PFMP is completed but not yet signed and now needs to be implemented. The forest use agreement is not done yet.

- Negotiation of the user agreement may be contentious as the KFS and CFA have not yet discussed sustainable levels of of harvesting or sustainable grazing levels. Without Nature Kenya as a mediator it could be difficult to reach agreement. This mediator role could be performed by the County.

- Major tasks ahead are implementation of the PFMPs and agreement on user harvesting levels.

- It is an advantage to have the CFA office near the KFS office or to co-locate.

- It is not clear what will become of the site advisory committee after the project ends. Their meetings cost about Ksh120,000 to 150,000 per meeting as some members have to travel and spend overnights.

9 Dec. Visit to a field site where a farmer has planted trees. CFA Chair. The farmer was not available at the time of the visit.

Points to note from the discussion:

- Farmer planted about one acre with Euc from seed supplied by KEFRI. The trees are about 3 years old and the objective is to reduce pressure on the forest for firewood, timber and poles. The trees are doing well and will help to reduce the farmers' dependence on the adjacent forest for poles.

- The adjacent forest is heavily degraded with recent cutting of cedar and other trees and sheep

freely grazing in the forest. The question arising is what if any impact such project support activities can have in achieving the main aim of the project if not accompanied by protection of the forest and regulation of use.

- A further issue is the inability of the project to demonstrate success in achieving this aim if good baseline information on the status of the PAs is not available for use in assessing improvement if any in conservation status.

9 Dec 2015. Cheptongei Forest Station. Station Forester.

Points to note from the discussion:

- The station manages 23,500 ha of natural forest and 90 ha of plantations.

- The PFMP was developed with the support of the WB-NRM project and the UNDP/Nature Kenya supported development of the resource user agreement. This agreement has not been signed yet due to internal wrangles within the CFA. The main contentious issue is disagreement between members regarding grazing. Some members consider that grazing should not be restricted and that it should continue unrestricted as it has always been.

- The levels of resource use are not specified in the agreement and that has yet to be agreed. This is likely to be a contentious issue especially in regard to sustainable grazing levels.

- The project funded construction of a new office building for the Station at a cost of Ksh3.5 m. KFS provided the design and intends that this will be a standard station office design going forward. The design is appropriate but the building has not been finished to an acceptable standard. The plastering and painting are very poor quality. Some doors are seriously warped and do not close and should be replaced. The project provided the funds while the KFS managed the building process including inspections before final payments were made. The KFS officer responsible for buildings has already approved the building. Nature Kenya provided the funds but had no say on the construction as that was KFS responsibility.

9 Dec 2015. Eldoret. HOC. KFS Head of Conservancy.

Points to note from the discussion:

- Thes project was a highly appreciated and achieved a lot. The HOC office and KFS at all levels were fully involved in planning and implementing the project.

- The most important achievement of the project was the capacity building of the CFAs and the KFS. The suspicion and conflicts that existed between the two parties before the project started has now disappeared and they are working well together.

- The county governments have funded two CFA's which indicates the project is having an impact outside the project area.

- The HOC office may be able to take over the role of the project Site Implementation Committee after the project ends.

5.5   Annex 5. List of documents reviewed

Project Document, PIMS No. 4178, Project ID 00063423. Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya.
Mid term review report. October 2013. Jonathan Timberlake.
Project Implementation Review (PIR) of PIMS 4178. 2013,2014,2015.
UNDP Kenya. Management response to key recommendations: Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya. Washington Ayiemba with PMU inputs.
Summary of Pressure-Stat-Response for four Afromontane IBA sites in Kenya.
Minutes of Technical Advisory Committee meetings
Minutes of Steering Committee meetings
Quarterly workplans and reports
Project inception workshop report
UNDP strategic plan 2014-2017
UNDAF Kenya 2014-2018
GEF tracking tool for biodiversity projects GEF3, GEF4, GEF5.
Kenya's important bird areas. Status and trends 2012-2013
Annual progress reports 2012, 2013, 2014, 2015
Annual Framework Reports 2014 Kakamega, N&S Nandi and Cherang'ani
North and South Nandi. Strategic Ecosystem Management Plan 2015-2040.
Cherang'ani. Strategic Ecosystem Management Plan 2015-2040.
Kakamega. Strategic Ecosystem Management Plan 2015-2040.
Cherang'ani Indigenous Peoples Strategic Development Plan 2015-2040.
Forest Station Participatory Forest Management Plans
Community forest resource use agreements
Project financial reports
Annual audit reports
Annual Workplan & Budget

5.6　Annex 6. Evaluation question matrix

The following table indicates how the project was assessed against the 5 criteria (relevance, effectiveness, efficiency, sustainability and impact).

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?				
Does the project support the objectives of GEF in the region	Was the project designed within the framework of a higher level GEF plan? How does the project support GEF priorities for Kenya? Does the project support other multilateral plans (UNCBD, Other?)?	GEF plans priorities reflected in the project design. Other multilateral plans reflected in the design	GEF Plan documents Other Multilateral plan docs Project plan document.	Document analyses. Interviews with project staff
Is the project in line with national environment and development plans and objectives?	How does the project support Kenya's environment and development priorities? To what extent were national authorities (KWS, KFS, NMK, MENR, NEMA, EAWLS, Counties) involved in planning (and implementing) the project? What is the level of stakeholder ownership of the project interventions? To what extent does the project design take into account the local operating environment (institutions/policy/governance etc)?	The degree of coherence between the project plan and national environment and development plans. The level of involvement of stakeholders at very level in the project planning process. The degree of support for the project at various levels in project planning and on-going project implementation and monitoring.	Project plans and documents. National and local level environment and development plans and documents. Key informants in partner institutions at national level	Document analyses Interviews

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Is the project in line with County level plans and objectives	What level of involvement did county level authorities have in planning (and implementing) the project? What is he level of stakeholder ownership at the county level? Does the implementation plan and strategy take into account the local operating environment?	Degree of coherence between project plans and county level plans. The level of county level stakeholder involvement in project planning and on-going implementation and monitoring of progress	County level plans. Key informants at county level	Document analyses. Interviews
Does the project address needs and priorities at the local (village) level	Was there stakeholder participation in planning? Is there local support or opposition to the project? Does the implementation plan and strategy take into account the local operating environment?	The degree of stakeholder participation in planning. Level of local support for or opposition to the project.	Key informant interviews at village level Field observations, Project plans, Project progress reports	Document analyses Interviews
Is the project relevant with respect to other donor supported projects	Does it compliment other projects or overlap with other projects and how? Is there a coordination to achieve synergies and eliminate overlaps? Are there gaps not being addressed?	The degree to which the project compliments or overlaps over projects.	Project documents. Documents from other projects Key informant interviews	Document analyses Interviews Field observations
Is the project is adapting to the changing context and capacities in the sector.	Have there been changes in the sector or operating environment since the project started that impact on the project? Are activities still agreeable to its key stakeholders and relevant to the needs of the sector?	The degree to which support for the project has changed at local/county/national levels	Informant interviews National policies, plans etc	Interviews, Review of national policies and plans

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?				
Has the project been effective in achieving the expected outcomes and objectives?	The biodiversity of the Eastern Montane Forests is adequately represented and managed within Kenya's PA network.	65,000 ha of forests gazetted or reclassified to higher status and with improved governance systems and financial scoring allowing for effective management	Project progress reports (quarterly, annual, end of project). Project team and stake holders. METT scores	Document analysis, Interviews, Field observations METT scores
		Marked reduction in threats to deforestation and forest degradation as 10,000 ha of forest area put under CCA and 20,000 ha under JFM	Progress reports	Document analysis, Interviews, Field observations METT scores
		Improved systems level operations capacity has ensured a reduced level of threats to forest cover and species composition; Landscapes maintain global biodiversity values; METT scores are improved in target landscapes	Progress reports	Document analysis, Interviews, Field observations METT scores
	Component 1: Systemic and Institutional Capacities for Managing an Expanded and Rationalized PA Estate	New PAs established: 20,000 ha; threatened forest reserves forests reclassified to higher management category: National Reserve (20,000 ha.)/Nature Reserve(25,000 ha)	Progress reports	Document analysis, Interviews Field observations METT scores
		Governance systems provide for the effective administration of the PA system as part of the regional development agenda by effective mainstreaming into local planning	Progress reports	Document analysis, Interviews Field observations METT scores
		Increase in PA budget of >50 % over baseline of US$ >5 mill$ p.a. covers recurrent costs of forest protected area system (PA Financial Score	Progress reports	Document analysis, Interviews, Field observations METT scores
	Component 2: Community management of PAs (JFM/CBNRM)	Reduction in forest loss in unprotected forest blocks. CCAs established covering a target area of up to 10,000 ha.	Progress reports	Document analysis, Interviews, Field observations METT scores
		Reduction in forest degradation at the forest edge through the creation of JFM buffer zones in Forest PAs (target area up to 20,000 ha)	Progress reports	Document analysis, Interviews, Field observations METT scores

Evaluative Criteria	Questions	Indicators	Sources	Methodology
		Cost drivers for PAs are reduced as community acceptance of PAs leads to a reduction of PA incursions	Progress reports	Document analysis, Interviews, Field observations METT scores
		PA management system effectively integrates conservation needs and local livelihoods.	Progress reports	Document analysis, Interviews, Field observations METT scores
	Component 3: Operational Capacities for PA Site Management	Protected Areas are managed to generate effective global and national and local environmental benefits, by agencies with functional capacity (measured by site level Management Effectiveness Tracking Tool).	Progress reports	Document analysis, Interviews, Field observations METT scores
		Reduction in forest loss and degradation in forest blocks covering an area of 175,000 ha in western Kenya.	Progress reports	Document analysis, Interviews Field observations
Are the strategies working or are there alternative strategies that would make the project more effective?	Are strategies accepted by stakeholders at local, County, and National levels?	Level of support for project strategies	Interviews	Interviews

Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?				
Evaluative Criteria	Questions	Indicators	Sources	Methodology
Was the project implemented in a cost effective way?	Was project expenditure on target? Were financial systems and controls in place from the start? Were adequate financial reports produced? Did management use reports to adapt implementation to increase efficiency? Was procurement efficient and cost effective? Could financial resources have been used more efficiently?	Availability of project progress reports and financial reports. Variation between planned and utilized funds. Cost comparisons with similar projects. Extent of adaptation in response to financial reports and progress reports.	Project financial reports Audits MTE	Interviews, Document analysis
How efficient are partnership arrangements on the project	Did partnership arrangements hinder or improve delivery of results? Were the partnership arrangements efficient or could they be improved? Were partnership arrangements sustainable and cost-effective?	Types and quality of partnerships on the project Cost of partnership arrangements and evidence that partnerships are sustainable.	Interviews	Interviews, Document analysis
How efficiently did the project utilise local capacity available?	Is there an appropriate balance between international and Kenyan expertise on the project? Is there an appropriate level of local involvement in implementing the project? Was the collaboration between institutions involved in the project efficient?	Proportion of international, Kenyan and local involvement on the project. Evidence of cooperation or conflict between partners.	Interviews Field Observations	Interviews, Document analysis
Was the project managed efficiently	Were project plans and progress reports produced accurately and on time? Was adaptive management used to increase efficiency? Did leveraged funding happen as planned?	Availability and quality of financial and work progress reports. Levels of discrepancy between planned and actual achievements and expenditures. Planned versus actual funds leveraged.	Project plans and progress reports. MTE Evaluation report	Document analyses Financial analyses Interviews

5.7   Annex 7. Questionnaire used

  The following is a list of questions used to evaluate the project using the criteria of relevance, effectiveness, efficiency, sustainability and impact.

Relevance questions

How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?

Does the project support the objectives of GEF in the region?

Was the project designed within the framework of a higher level GEF plan?

How does the project support GEF priorities for Kenya?

Does the project support other multilateral plans (UNCBD, Other?)?

Is the project in line with national environment and development plans and objectives?

How does the project support Kenya's environment and development priorities?

To what extent were national authorities (KWS, KFS, NMK, MENR, NEMA, EAWLS, Counties) involved in planning (and implementing) the project?

What is the level of stakeholder ownership of the project interventions?

To what extent does the project design take into account the local operating environment (institutions/policy/governance etc)?

Is the project in line with County level plans and objectives

What level of involvement did county level authorities have in planning (and implementing) the project?

What is the level of stakeholder ownership at the county level?

Does the implementation plan and strategy take into account the local operating environment?

Does the project address needs and priorities at the local (village) level   Was there stakeholder participation in planning?

Is there local support or opposition to the project?

Does the implementation plan and strategy take into account the local operating environment?

Is the project relevant with respect to other donor supported projects   Does it compliment other projects or overlap with other projects and how?

Is there a coordination to achieve synergies and eliminate overlaps?

Are there gaps not being addressed?

Is the project is adapting to the changing context and capacities in the sector?

Have there been changes in the sector or operating environment since the project started that impact on the project?

Are activities still agreeable to its key stakeholders and relevant to the needs of the sector?

Effectiveness questions

To what extent have the expected outcomes and objectives of the project been achieved? (Note: use progress reports to assess achievement against targets)

Has the project been effective in achieving the expected outcomes and objectives?

(Note: Management Effectiveness Tracking Tool also used for assessment of effectiveness)

Efficiency questions

Was the project implemented efficiently, in-line with international and national norms and standards?

Was the project implemented in a cost effective way?

How efficient are partnership arrangements on the project

How efficiently did the project utilise local capacity available?

Was the project managed efficiently?

Sustainability questions

How is risk and mitigation being managed?

How well are risks and assumptions being managed?

Were the risks and assumptions well identified at the project planning stage?

Are there clear strategies for identification of emerging risks/

Are there clear strategies for risk mitigation related to long term sustainability of project interventions?

Impact questions

To what extent are the project higher level objectives and goals being achieved?

What do METT scores indicate in relation for PA management capacities and threat levels?

Are threats and stresses on the PAs being reduced?

What are the levels of encroachment into Pas?

Has the ecological status of Pas improved?

Have there been increases in livelihood goods and services from PAs?

Are community attitudes to PAs improving?

5.8 Annex 8. UNDP-GEF TE Report Audit Trail

To the comments received in March 2016 from the Terminal Evaluation of the project titled, Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya (UNDP-GEF Project ID-*PIMS #4178)*

The following comments were provided in track changes to the draft Terminal Evaluation report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
Washington Ayiembe, project Manager, Nature Kenya. WA.	8 Feb 2016.	Draft 1 report. Executive Summary, recommendations. Corrective actions…item2	"Despite the full participation of KFS and KWS in planning, institutional rivalry delayed implementation and resulted in modifications to the plan. A more rigorous assessment of risks and assumptions would have captured and mitigated this risk" Comment: The interpretation of the impact of the action on management mandates of KWS and KFS as responsible agents for the newly designated PA: there was fear that KFS would cede its responsible body role to KWS if the areas became national parks and not really the a playout of institutional rivalry per see	Noted
WA	#	Executive Summary, recommendations. Item4	"The project implementation arrangements deviated from the plan." Comment: Could this be rephrased to read – It is expected that the implementation arrangements will deviate from the proposal plan.	The original phrasing makes more sense.
WA	#	Executive Summary, recommendations. Item 8	"Financial and implementation progress reports in the format of the results framework are required for adaptive management. These should be available quarterly for the TAC meetings to enable members to make informed decisions about improving the effectiveness and efficiency of program delivery and annually for the annual Steering Committee meetings". Comment: TAC members linked with and provided backstopping to their field officers, where 90% of the activities were implemented. It is at this level where the detailed M&E was undertaken by a subcommittee of the Site Advisory Committee before their quarterly meeting. On occasions where the TAC met in the field, the TAC was expanded to include the participation of the SAC Chairman and Site Project officer to provide the detailed reports of their delivery.	Agreed, and site familiarity by the SAC is very important. The SAC still needs a report of overall targets and progress to date in the format of the plan (logframe) to assess how well the project is progressing and they lacked this report. Similarly, the financial report in the format of the Prodoc budget was not available to inform the SAC of progress against budget target.
WA		Executive Summary, recommendations. Item10	"Financial reports should be produced in the format of the budget in the project document so that actual expenditures can be compared with planned expenditures….." Whereas I fully agree with this comment, the challenge was that the project document budget did not completely mirror the current UNDP financial reporting requirements. Maybe the corrective action should be a harmonization of the project document templates and the actual reporting requirements.	Part 1 noted. See also note above. Part 2, yes this was done but at the ecosystem level and not consolidated at the national level so it remained difficult for the Steering Committee to understand overall progress against

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
			"…For adaptive management, they should also be produced in the format of the annual workplan budget showing planned and actual expenditures at the output/sub output levels" This second part was actually done and the evidence would be the activity budgets generated for the respective actions from the field/institutions; the financial vouchers against which the funds were availed to the respective implementers; which were reviewed by the respective implementation units quarterly; and audited annually by an external audit in the NIM/NEX UNDP audits	targets and thereby constrained adaptive management.
WA	#	Executive Summary, recommendations. Item14	"Cash payments should be avoided as the governance systems are not in place to ensure transparency and proper management of funds both on the CFA side and the KFS side." Cash is the main channel through which resource capacity for functional institutions will be enhanced and achieved, especially if the functionality of the institutions is to be improved. What really is needed are systems with checks and balances that can stem inappropriate use of resources within a short time frame. This could be quarterly or shorter reporting timeframes that have inbuilt value for money evaluations.	Noted. But cash handling poses a substantial risk and and this can be mitigated by using other ways and means of delivering benefits to communities.
WA	#	2.3. immediate development objectives of the project	"These new PA's were to consist of mainly smaller forest patches of high biodiversity value to be managed by communities." Not just forest but wetlands and riverine areas that provided ecosystem services and livelihood support for the communities within the settlement areas	Noted. Agreed.
WA	#	2.4 Baseline scenario. Page 4	Existing biodiversity monitoring systems were complex and there was no consensus on monitoring systems or interpretation of biodiversity data." The Monitoring of Kenya's Important Biodiversity Areas methodology, which is coordinated by Nature Kenya, KWS, KFS and NMK was actually used. NMK were then engaged to produce the Report on the biodiversity status of the PAs from literature and rapid field visits; which then informed the biological taxa and species which were monitored. The shortfall is that the reports from the surveys were yet to be packaged in formats that can be utilized for management decisions	Noted and text corrected accordingly.
		3.1.1 Feedback from M&E activities. Page 13.	"The financial reports provided to the Steering Committee were also inadequate for adaptive management. Reports were needed that provided at a minimum the expenditures shown against the budgeted amounts shown in the project document. In addition they should have been provided with annual budget and expenditures at the level of outcomes and outputs. Without this information they are unable to judge if project implementation is cost effective and efficient and this is needed for adaptive management." Budgets were drawn by the SAC and lead agencies and resources were availed to the respective units at the ground and institutional level with regard to the requests. If there were shortfalls these were addressed accordingly. The TAC mainly engaged in backstopping to ensure that due process was observed in undertaking the activities and that they were in line with the institutional and sector policies. Especially for the outputs that required approval from their directorates.	Noted

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
		3.1.1 Feedback from M&E activities. Page 13/14.	"One of the functions of the PCU was to coordinate and disseminate lessons learned but as the unit was not set up as planned, there has been little focus on identifying lessons learned and documenting them throughout the project" Lots of learning and sharing took place at the CBO and stakeholder implementation levels –especially with regards to cost-benefit sharing advocacy and lobbying e.g. what the CBOs were trying on the ground with lessons from Central Kenya and amongst themselves in PELIS, dealing with saw-millers etc. Adoption of sector best practices and their domestication for strengthened capacity rather than totally new learning was the experience except with the activities that now engaged County governments, who were a new player.	Noted and incorporated in revised text.
		Impact assessment table. Page 24.	"Environment status improvement: U/A. Unable to Assess" Personal communication with the consulted persons pointed to levels of improvement, but realise the lack of documentation. Perceptions from a survey if actually the ground truthed information, which you got directly from your respondents	Noted
		4.1. Conclusions. Item 2.	"Despite the full participation of KFS and KWS in planning the project some difficulties arose between the two organisations from the start over the issue of reclassification of Forest Reserve lands to higher status which would have resulted in transfer of control from KFS to KWS." There was really no difficulties between the institutions but rather KFS stated that they were not comfortable implementing a project which rather than strengthening their capacity would require them to cede their mandate in forest reserves to another institution and the secondly the Kenya legislative framework did not provide for the classification.	Noted.
		4.1. Conclusions. Item 3.	"The assessment of risks and assumptions in the plan design was weak as assumptions were not considered and risks were inadequately addressed. …" Full identification of risks and assumptions is the issue here I believe since those identified were actually addressed as documented in the annual PIR reports "… The risk of institutional rivalry was not foreseen". Correctly stated as the planning process was quite smooth, and it is possible that the officers engaged or reviewing the documents did not forsee that situation – not rivalry but the impact of ceding mandate by KFS	Noted.
Dr. Itambo Malombe.	8 Feb 2016	Draft 1. General comment on the report.	Thank you for the document. On biodiversity, it is good that the evaluation is recognizing the increased biodata from the project effort. However just like the MTE it fails to understand the work wasn't aimed at working to document and monitor all species, but the threatened taxa to develop low	Comments and recommendations noted and incorporated into the revised draft.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
National Museums of Kenya.			cost methods for community to take it up in the longterm. In any case, the literature review provided the biodiversity status while isolating key threatened biodiversity. Also, the students were finally engaged to scale-up the work and in details capture selected data on threatened species, while working closely with communities to learn the methods. The results were amazing in my view. I would therefore suggest the report to recognize the following; 1. Data and distribution maps of key threatened species to be integrated in forest management plans. At least we know specific areas within the PAs where interesting species are found. In fact some of the sites need a changed management mind set to protect these bio-excellent taxa. a case in point is Kubonjoi area of Nandi Forest where Prunus africana, insects (butterflies) and small mammals abound compared to other sites in the same forest. 2. The draft 'standardized biodiversity monitoring methods' by KWS to be shared for discussion with other stakeholders including the communities. if we go by the initial goals of empowering the local communities, any methods used to monitor biodiversity will remain 'aloof'. Either way, as informed by the MTE, the methods need to be good enough to withstand some basic scientific acceptance. Generally, I am in agreement the biodiversity work required substantial time and resources, and that is the reason MTE called for longterm and permanent sampling plot establishment.	
Dr. Paul Matiku, Nature Kenya. (Nature Kenya and Partners Comments) (PM)	8 Feb 2016	Draft 1. Report. Executive Summary ratings table	It is our view that the consultant needs to change the evaluation ratings for items listed below as recommended on the column 'Nature Kenya and partners response' based on the justification given. |	Consultant rating	NK and partners response	Justification
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M&E Plan Implementation	U	S	The M&E plan that was developed at project start was enhanced and implemented leading to successful delivery of planned targets.
Overall quality of M&E	MU	S	The M&E did work for successful implementation and while it needs further improvement we think that was good enough to deliver the project. During implementation, there are no actions that failed to take place so as to indicate a major gap in M&E.		The consultants considers that the justifications provided are not sufficient to justify changing the ratings.

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Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report				Evaluator's response and actions taken
			Effectiveness	MS	S	It is unimaginable how different the delivery would have been. There were many stakeholders engaged in this action and all played their role and were cautious of costs and ensured value for money. The project generated lasting conservation legacies at four large forest ecosystems and buffer zones. The return on the investment inform of conserved ecosystem services is huge and therefore highly cost effective. Everything was done taking into account the least cost model for maximum impact	
			Institutional framework and governance:	MU	L	County Governments are in place with staffed ministries of environment supported by the constitution to implement forest policies in Kenya. CFAs are in place with signed management agreements with KFS. KFS has staff on the ground supported by headquarters biodiversity department that will continue operations. Nature Kenya will continue to work with Site Support Groups, CFAs, County Government and KFS. It was never anticipated that the project implementation structures would remain post project but institutions will continue their mandate. This is likely.	
			Overall likelihood of sustainability:	MU	L	Given the existence of institutional framework including County Government, KFS, KWS, KEFRI, National Museums, Nature Kenya, CFAs and Site Support Groups, sustainability of actions is likely. The intergraded forest plans, CFAs signed Management Plans, State of Environment reports and county environment action plans together with infrastructure including forest guards and outposts and refurbished offices that will continue to be	
PM	#	Summary of conclusions recommendations and lessons	Please start this section with a more positive view of the project. Starting negatively is off putting. We propose something in the lines of the following: *"The project largely delivered its planned outcomes and targets. A solid foundation for sustainable forest management has been laid. Appropriate institutional and policy framework at government and local level has been set up. Community Forest Associations were set up and empowered to work with KFS and County Government to reduce threats on the forests. Government institutional capacity including infrastructure for surveillance by forest guards has been build. Excellent instructional collaboration and networking in delivering this project is evident. The project planned to reclassify*				The comment on the negative tone of the initial draft was noted and a more balanced tone was adopted in subsequent drafts.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
			Forest Reserves to a higher protection status. However, it was agreed that instead of reclassifying the areas in forest reserves to a category that would result in transfer to KWS, the areas would be designated as core conservation areas within the forest management plans allowing them to remain under KFS jurisdiction. While this remains a target for completion, substantial work has been done to facilitate the formal recognition of nature reserves. Integrated Forest Management plans were developed and Forest Station based management plans were signed between CFAs and KFS and they provide for forest management zones including nature reserves"	
PM	#	List of conclusions	It would be good to include the Annual Important Bird Areas Status and Trends report in the list of achievements. This is based on a monitoring framework agreed by 24 government and non government agencies that attend the Important Bird Areas National Liaison Committee (IBA-NLC). The report covers state, pressure and responses and management responses. The data is collected by KFS, KWS, NEMA, National Museums and Nature Kenya. It is the most comprehensive site monitoring tool with annual status reports since year 2004.	The status and trends reports have an important role in biodiversity monitoring. For project monitoring it needs to be integrated into a more comprehensive approach that provides clear indication of the change in biodiversity status as a result of project interventions.
PM	#	Baseline data for goal, objectives, outcomes and outputs	When referring to threat baselines based on monitoring the consultant needs to recognise the Important Bird Areas Status and Trends report produced since year 2004 with State, Pressure and Responses data used for this project. Each year for the duration of this project the sites targeted by this project had state, pressure and response data collected and compiled as part of the national IBA status and trends report. A special detailed state, pressure and response data for each of the years covered by this project was produced. The reports were shared with the consultant. It is critical that this excellent piece of work be recognised and the baselines in there be at least recognised. It is the most comprehensive site monitoring data in Kenya and it is an important effort. The consultant refers to this framework in later sections of the report but would be good to quote where the context applies like in this case.	Noted.
PM	#	Project implementation. Adaptive management. Changes to project objectives and targets.	The consultant has dwelled substantially on reclassification of forests reserve to higher PAs category. It is not denied that KFS raised issues that were addressed courtesy of the effective management structure. However, the consultant has failed to capture the discussions during consultations with Nature Kenya and during the debrief that Forest Reserves are now recognised under IUCN protected areas categories as PAs. This is higher level of recognition and protection. Also, KFS has a full department on biodiversity. This is a major development. KFS is managing forest reserves not for timber but for their invaluable ecosystem services including biodiversity. This needs to come out more clearly in the report. The focus on the negativity of the failure to reclassify need to be reduced to explaining the changed categorization of PAs by IUCN over and above the forest zoning that the consultant has referred to in other sections of the report.	These points are well taken and were made on a number of occasions during the review. However, the FR classification and zonation do have a much lower protection status compared to the higher classification categories that were targeted by the project. This was one of the major objectives of the project and any reduction in this target should have been formally approved.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
PM	#	3.2.1 Feedback from M&E activities used for adaptive management	Project technical and financial reporting was guided by UNDP and GEF technical and financial reporting frameworks. These are generic to GEF/UNDP projects and Nature Kenya did abide by them. However, progress reports did exist during implementation, challenges were discussed and lessons shared among agencies and the monitoring and evaluation framework did work. Not denied that improvement would be needed for future delivery.	Noted.
PM	#	Biodiversity monitoring	The consultant should reference the Important Bird Areas Annual Status and Trends report produced since the year 2004 with state, pressure and responses data that includes all the sites targeted by this project. The report was shared during evaluation. This report is based on agreed IBAs monitoring framework. Not denied that other biodiversity monitoring frameworks will add value if they can be developed and implemented.	Noted and referenced in the report.
PM	#	M&E ratings	The consultant recognises that the project execution delivered the project using the inbuilt M&E systems reporting as required. While need for improvement in the M&E system is agreed, rating M&E as unsatisfactory is considered too harsh. We recommend this be changed to Moderately Satisfactory (MS) as proposed in the table below '*Please change to the ratings below*' 	1. Monitoring and Evaluation	*rating*	*Please change to the ratings below*
---	---	---
M&E design at entry	5 Satisfactory (S)	5 Satisfactory (S)
M&E Plan Implementation	2 Unsatisfactory (U)	Moderately Satisfactory (MS)
Overall quality of M&E	3 Moderately Unsatisfactory (MU)	Moderately Satisfactory (MS)		Agreed that the standard reporting systems were used. But the project did not have an M&E plan and did not have a dedicated M&E staff member as planned. There is insufficient justification to improve the ratings.
PM	#	3.3.3 Effectiveness and efficiency ratings	It is the view of Nature Kenya and partners that effectiveness was at least satisfactory. Please revise to reflect this as indicated below | 3. Assessment of Outcomes	rating	Nature Kenya and	Justification
---	---	---	---		The effectiveness and efficiency ratings were both revised from MS and HS to S (satisfactory). This revision was based on subsequent discussions with stakeholders and reconsideration of the findings.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report				Evaluator's response and actions taken
			Effectiveness	MS	S	Project was audited and showed sound use of funds. Nature Kenya systems of project delivery are based on cost efficiency with value for money. The conservation gains from the investment indicate value for money compared to other many similar initiatives.	
			Efficiency	HS	HS		
PM	#	3.3.6 Sustainability.	*Financial risks:* This is not denied. However, the report need to recognise that all the government co-finance was somewhat in cash as it constituted ongoing spending which continued through out the project and will continue to be available at levels higher than start of the project. The Kenya economy has grown and budgetary allocations to ministries have increased including to KFS. Also, the county governments have more devolved funding for forest conservation through their ministries of environment, a budget allocation that is new and additional. That said, it is agreeable that more cash funding to KFS, Nature Kenya and other agencies in the form provided by this project is needed especially to support the CFAs engagement in forest management and continued push to county government to increasingly engage in forest management. Nature Kenya and partners think the sustainability rating is too harsh and therefore needs to be reviewed. To base the rating on the risks of CFAs not being transparent yet their capacity has been build and most have showed proven records of a high degree of good financial management would be too harsh. For example, most CFAs supplied seedlings, they were paid and members of CFAs who produced seedlings were paid by their leadership. CFAs produced satisfactory mini-project completion reports to Nature Kenya. While they need more capacity, we think that the rating needs to be better. Please consider the recommendations below:				Overall sustainability rating was revised from MU to ML. In subsequent discussions and review of findings, the financial rating was revised from ML to L and the institutional and governance rating was revised from MU to ML. Overall rating is ML.

Project Sustainability Risks	Sustainability Rating	Nature Kenya and Partners proposal
Financial resources:	3. Moderately likely (ML): moderate risk	Agreed
Socio-political:	4. Likely(L): negligible risks to sustainability	Agreed

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report			Evaluator's response and actions taken
			Institutional framework and governance:	2. Moderately likely (MU): significant risks There is a conflict in the rating here	Moderately Likely (ML),	
			Environmental :	4. Likely(L): negligible risks to sustainability	Agreed	
			Overall likelihood of sustainability:	2. Moderately likely (MU): significant risks	Moderately Likely (ML),	
PM	#	3.3.7 impact	It is not denied that assessing Environmental Status Improvement for a five year project may not be feasible. However, using the IBAs Status and trends reports from year 2004, it is possible to say something. Overall, responses increased, pressure reduced BUT state remained stable (unchanged) for the duration of the project.			Noted.
			5. Impact: Significant (S), Minimal (M), Negligible (N)	**Rating**	**Proposed new rating**	
			Environmental Status Improvement	Unable to assess (U/A)	Negligible (N)	
			Environmental Stress reduction	3. Significant (S)	Agreed	
Zeinabu Khalif, UNDP, Nairobi. (ZK)	16 Feb 2016	3.3.6 Draft 2. Jan 2016. Section 3.3.6 Sustainability/ governance risks	Consultant states "The governance risks to sustainability are significant" . Include additional text " and it is important that the County Government and KFS recognize the risks and implement mitigating measures"			Text included in next draft.
ZK	#	Draft 2. Section 3.3.6 Sustainability Page 23/24	"All the risk dimensions of sustainability are critical, the overall rating for sustainability cannot be higher than the lowest rated dimension which in this case is the governance risk on the Participatory Forest Management component. Therefore the overall sustainability rating has been ranked as 3 (moderately likely…). This rating highlights the need to focus on this risk and mitigate it." Comment: Governance risks are the most significant but the County Governments and KFS have the ability and willingness to mitigate those risks			Agreed. The rating changed from 3 Moderately Likely to 2 Likely. The rating was subsequently revised to 3 due to further feedback and discussions.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
Erastus Kanga, KFS (EK)	8 Feb 2016	Draft 1 Report. Executive summary evaluation table	For clarity, the evaluator should introduce a third column for basic comments to guide readers on why he has rated as indicated	Table format is prescribed by UNDP
EK	#	Executive Summary. Recommendations.	In the Summary of conclusions, recommendations and lessons, the statement "the project did not achieve its target of reclassifying Forest Reserves to a higher protection status". This is a political process but zonation of forest areas under PFM has still achieved similar results.	Noted
EK	#	Executive Summary.	"Despite the full participation of KFS and KWS in planning, institutional rivalry delayed implementation." This is not entirely true. What the project experienced was inadequate political buy-in and not institutional rivalry	Noted
EK	#	Executive Summary Recommendations	"KFS should ensure maximum benefits accrue to CFA members as a way of incentivizing community cooperation and support for forest conservation." This should be done scientifically, not just to make the CFAs happy.	Noted
EK	#	Executive Summary. Recommendations	"Many project reports/outputs remain to be written up and completed such as biodiversity monitoring reports, data collected on various taxa, METT reports, PSP data." All pending reports should be listed and not abbreviated.	Included in subsequent draft
EK	#	Executive Summary, Recommendations	Recommendation "Develop a standardized biodiversity monitoring framework for Kenya which is compatible with international (IUCN) standards which can be used for biodiversity monitoring. KWS has already produced a draft" The same should be shared among key stakeholders involved in biodiversity monitoring.	Included in subsequent draft
Joseph Siele, Site Project Officer, Nature Kenya.	8 Feb 2016	Draft 1 report.	Several corrections on place names and other details of field visit reports were pointed out	Corrections made in the text.
Stephanie Ullrich, UNDP-GEF Evaluatio n Consultan t (SU)	Round: 3 March 2016 Round 2: 21 March	Ratings and section 3.3. project results	Comment on Round 1 I find that many ratings require more justification with evidence. For example, the way overall results are presented (section 3.3. project results) is confusing. The evaluators present results, but not against outcome and objective-level indicators or end-of-project targets. I see that this is done in Annex 7. Matrix for rating achievement of outcomes, so the evaluator should definitely reference this in the body of the report.

Comment on Round 2 Indicators or end-of-project targets are now included. | Round 1. The tables in Annex 7 have been brought into the body of the report in section 3.3 to demonstrate how the overall rating was arrived at. |

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
	Round 3: 8 April 1		Comment on Round 3. From what I can tell, most ratings now seem to be justified with enough evidence to support conclusions and ratings.	
SU	2	Ratings and section 3.3.3	Comment on Round 1 Likewise, in terms on efficiency (section 3.3.3), the evaluator states, "It is difficult to assess in the absence of relevant detailed financial data showing planned and actual use of funds. Observation indicates high level of efficiency is likely. Some inefficiencies were observed in relation to infrastructure where quality was variable." Yet the evaluator gives the rating of Highly Satisfactory. More evidence is required to justify this rating. Comment on Round 2 Evaluator downgraded efficiency rating to S. Sufficient adjustment.	Round 1: Additional text inserted to explain the rating. Overall rating for efficiency has been revised to Satisfactory.
SU	3	Ratings, pg.19	Comment on Round 1 The evidence presented on pg.19 for the ratings given on Quality of Implementation and Execution is not sufficient to justify the Satisfactory ratings. More evidence is expected. Comment on Round 2 Not sufficiently addressed yet. Should further address the following evaluation questions listed in Annex 6, the Evaluation question matrix: Did partnership arrangements hinder or improve delivery of results? Were the partnership arrangements efficient or could they be improved? Were partnership arrangements sustainable and cost-effective? Were project plans and progress reports produced accurately and on time? Was adaptive management used to increase efficiency? Comment on Round 3. There is now a more complete discussion on Quality of Implementation and Execution, mainstreaming with other UNDP development priorities, and M&E plan at entry.	Round 1: Additional supporting text inserted. Round 2: The rating draws on the preceding discussions in Section 3.2. on project implementation, sub-sections 1 to 5. The questions raised have been addressed in these sections. Q: Did partnership arrangements hinder or improve delivery of results? A: section 3.2.2 concludes that "the development of successful partnership arrangements between the stakeholders was very effective and is a significant achievement of the project" Q: Were the partnership arrangements efficient or could they be improved? A: Partnership arrangements were efficient. Q: Were partnership arrangements sustainable and cost-effective? A: In general yes with the exception that the

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
				Site level committees (the Site Advisory Committees) were possibly too large and costly be sustainable. A sentence has been inserted in section 3.2.2 making this point. Q: Were project plans and progress reports produced accurately and on time? A: Yes, as pointed out in section 3.2.1 but had limitations as discussed in that section. Also, as discussed in section 3.2.4 under the sub heading "Compliance with the progress and financial reporting requirements" it states "All of the work progress and financial reports listed in the project document and required by UNDP were being produced throughout implementation to the required schedules". In addition, Section 3.2.5 states "Nature Kenya fulfilled all of the standard project management and reporting requirements of UNDP including: quarterly budgets and workplans and quarterly reports; annual reports and budgets; Project Implementation Review reports; annual Management Effectiveness Tracking Tool Q: Was adaptive management used to increase efficiency? A: Adaptive management was discussed in section 3.2.1. The discussion pointed out that adaptive management was weak because the steering committee was not receiving the appropriate reports to facilitate adaptive management.

Author	#/Date	Para No./ comment location	Comment Round 1/Feedback on the draft TE report	Evaluator's response and actions taken
SU	4	Section 3.3.6 Sustainability, Institutional framework and governance risks	Comment on Round 1 The evaluator states, "the governance risks to sustainability are significant" (section 3.3.6 Sustainability, Institutional framework and governance risks), but then rates the Institutional framework and governance aspect of sustainability as Likely (4 on the 4 point scale). I don't find this rating justified. Comment on Round 2 Evaluator downgraded the Institutional framework and governance aspect of sustainability to ML. Sufficient adjustment.	Round 1: The governance risk is real and the evaluator therefore changed the rating from 4 (Likely) to 3 (Moderately Likely). Round 2. Noted
SU	5	Executive summary and section 4.1	Comment on Round 1 The mainstreaming discussion (section 3.3.5) could be expanded to also include 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. Comment on Round 2 Not addressed yet. Comment on Round 3. There is now a more complete discussion on Quality of Implementation and Execution, mainstreaming with other UNDP development priorities, and M&E plan at entry.	Round 2. Additional text inserted to show how the projects contributes to the UNDAF and UNDP country programme. Round 3. Noted.

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SU	6	Ratings and Section 2.4	Comment on Round 1 The executive summary states, "project lacked a comprehensive M&E plan" and goes on to explain (in section 2.4) the issues with the baseline and results framework, yet the evaluator gives a Satisfactory rating for M&E design at entry. In section 3.2.4, M&E Plan, the evaluator states, "The detailed M&E plan was not developed and the project continued to use the baselines and indicators in the project document for the duration of the project." While they do give low ratings to M&E implementation and overall M&E, I don't believe that this Satisfactory rating for M&E plan is yet justified with enough evidence. Comment on Round 2 M&E plan rating remains at Satisfactory and it's unclear if the text in Section 2.4 has been revised at all.	Round 1: The M&E design at entry was rudimentary. The Prodoc acknowledged this and made provision for developing the M&E plan at the start of the project. It would of course be better if good baseline data and indicators could be included in the Prodoc but this was not possible and so this was left to the implementation stage. The treatment of M&E in the Prodoc was considered satisfactory because it made provision for developing good M&E on the project. Refer to Prodoc page 80 activity 5.1.3 which states: "Develop and implement a detailed project M&E Plan, based on the shortened version articulated in this Prodoc". Some additional text has been added to justify the satisfactory rating for M&E at planning stage. Round 2. The Evaluator's view remains that it is satisfactory to have a basic outline of the M&E requirements in the Prodoc as long as provision is made for development of a good M&E plan once implementation begins.

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			Comment on Round 3. There is now a more complete discussion on Quality of Implementation and Execution, mainstreaming with other UNDP development priorities, and M&E plan at entry.	
SU	7	Scope & Methodology	Comment on Round 1 In the introduction, the Scope & Methodology should be expanded. The methodology needs to be more thoroughly described e.g. a description of the rationale of the methodological approach taken, the rationale and basis for the selection of field visits and persons interviewed. The Report should include a description of the sampling method that was used and its limitations, if any. Comment on Round 2 Addressed.	Round 1. Discussion on scope and methodology expanded.
SU	8	Scope & Methodology	Comment on Round 1 Any limitations (e.g. language/translations, time, methodological constraints etc.) of the evaluation should also be addressed. Comment on Round 2 Not addressed.	Round 1. Addressed Round 2. The comment was already addressed in section 1.1. on methodology where it is stated "there were no limitations experienced in terms of language constraints as both the evaluator and the project

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				participants spoke either English or Swahili" and towards the end of that section it states "there were no constraints in terms of time … "
SU	9	Introduction	Comment on Round 1 The introduction section could improve by better describing the background development context of the project and the project's development objectives. Comment on Round 2 Unclear if addressed or not.	Round 1. The headings in the Introduction section of the report are prescribed in the TOR and there isn't scope for discussion of the development context in that section. The development context is described in 2.2 and 2.3
SU	10	Overall	Comment on Round 1. The TE report references page numbers in other documents (e.g. the Project Document). The TE report should be a stand-alone document and shouldn't make these references. Instead, the evaluator should include in the TE report the specific aspects of the references made such as outlining the indicators when addressing if they were 'SMART' and outlining the risks identified in the Project Document. (The evaluator should do this within reason, for example, they do not need to include lengthy tables and charts from the Project Document). Comment on Round 2 Addressed.	Round 1. Noted and done.
SU	11	Section 3.1.2, Assumptions and Risks	Comment on Round 1 In section 3.1.2, Assumptions and Risks, the evaluator only highlights the risks that weren't included in the Project Document. This is fine in relation to the project design phase section of the TE report. However, later in the report the evaluator should also discuss risks and assumptions identified in the Annual Project Review/PIRs and the ATLAS Risk Management Module to see if the risk ratings applied were identified and appropriate. Comment on Round 2 Addressed.	Round 1: Discussion of risks was expanded in section 3.1.2. A sentence on additional risks and assumptions identified during project implementation was inserted in the section 3.2.1 Adaptive management.
SU	12	Section 3.1.7, linkages between project and other interventions	Comment on Round 1 In section 3.1.7, linkages between project and other interventions within the sector the TE report states, "linkages were established with other projects supporting community conservation and establishment and capacity building of CFA's" but doesn't expand on what other projects these were. And expansion on this statement, to describe these other projects and their connections to this project, should be included.	Round 1. Specific projects are now identified

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			Comment on Round 2 Addressed.	
SU	13	Pg. 13	Comment on Round 1There is an unfinished sentence on pg. 13: "The annual Project Implementation Review (PIR) reports show progress and targets at the Component and Outcome levels but do not show the output level. These were …". This sentence should be finished. And there should be an expanded discussion on how the PIRs informed management decisions and implementation. Comment on Round 2 The PIR statement now says, "The annual Project Implementation Review (PIR) reports were compiled by Nature Kenya and submitted to UNDP. They were discussed at Project Steering Committee meetings but had limited value as they show progress and targets at the Component and Outcome levels only and do not show the output level as in the project results framework." I'd like to note that the PIRs report on more than just the development objective progress (logical framework progress) and this should be considered in the TE. For example, they report on the implementation progress and any changes made in the project's management. This should not be written off in the TE. More discussion on the content of the PIRs is expected.	Round 1. Unfinished sentence removed. Discussion on use of PIRs was expanded. Round 2. Expanded discussion of the PIR reports now included on page 13 under the subheading "*Feedback from M&E activities used for adaptive management*"
SU	14	Section 3.3.5	Comment on Round 1 There is no mention of human rights in the TE report, however they are relevant, especially in regards to indigenous peoples issues. The report should discuss relevant human rights aspects. Comment on Round 2 Not addressed from what I can tell.	Round 1. The project document doesn't include any activities specifically addressed at Indigenous peoples, however some relevant activities were implemented. Para is now inserted in 3.2.2 discussing the project activities relating to indigenous peoples. Round 2. Yes this was addressed in response to the original comment. A paragraph was inserted discussing the rights of indigenous peoples in section 3.2.2 (the Cherangani indigenous people)
SU	15	Executive summary and in the Conclusions, Recommendations, and Lessons	Comment on Round 1 In the executive summary and in the Conclusions, Recommendations, and Lessons Learned section (section 4.1), the evaluator uses a header, "Corrective actions for the design, implementation, monitoring and evaluation of the project" and then lists many lessons learned and conclusions. I don't find how these are corrective actions; they should be relabeled as conclusions or lessons or moved to	Round 1. Agreed. The headings in the report were prescribed but not very meaningful. They have now been reorganized to Conclusions, lessons learned and recommendations.

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		Learned section (section 4.1)	one of the other concluding sections. If some of these are indeed recommendations, they should be labeled as such. Comment on Round 2 Addressed.	
SU	16	Executive summary and in the Conclusions, Recommendations, and Lessons Learned section (section 4.1)	Comment on Round 1 Likewise, the section labeled "Actions to follow up or reinforce initial benefits from the project" can be interpreted as recommendations, but they should also be labeled as such and also numbered. Comment on Round 2 Addressed. Comment on Round 3. Previously, I had commented that the consultant should number the recommendations. Starting in section 4.2. (pg. 34), the consultant now lists and numbers all the paragraphs. Not all of these paragraphs are targeted recommendations that the CO and Project Team will be able to easily respond to. However, I do note that the recommendations listed in the executive summary are better in this regard; they are more clear and direct. Recommendations should be prioritized, specific, relevant, and targeted, with indications of who should implement the recommendation (e.g. CO, Project Team, PMU, implementing agency, implementing partners). Right now, many of the stated recommendations are actually lessons learned and not all of the recommendations are specific (e.g. "implement the plans developed during the project") or targeted (e.g. "lessons learned and project successes should be documented"). The consultant should make the recommendations as specific as possible and also suggest who he believes should implement each recommendation.	Round 1: Re-labelled and numbered. Round 3. Additional text has been added in section 4.3 pointing out that as the project has already been completed, the recommendations for project design, implementation and M&E do not require follow-up actions but rather are aimed at improving the design and implementation of future projects. They could be considered as lessons or as recommendations for future project planning and implementation. For recommendations requiring follow up actions, those responsible have now been specified in the revised text in the body of the doc (but not in the Executive Summary)
SU	17	Annexes	Comment on Round 1 The annexes are not properly labeled in the table of contents; it excludes annex 7, the matrix for rating achievement of outcomes. Furthermore, the list of annexes on pg. 31 lists annex 7 as the questionnaire used, but this is not included at all. Comment on Round 2 Addressed except now Annex 8, the evaluation audit trail, is mislabeled and instead is a list of steps in the evaluation, not an audit trail. Comment on Round 3	Round 1. Numbering corrected. Round 2. Correct Audit Trail format now included in Annex 8. Round 3. The comments of other reviewers are now included in the audit trail.

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			The consultant has now used the audit trail and it's included as Annex 8 (pg. 70). While it seems that only my comments are in the audit trail (I'm sure the CO and/or Project Team also made comments on the earlier drafts that were not captured here? or maybe not)	
SU	18	Annex 4, summary of field visits lists	Comment on Round 1 Annex 4, summary of field visits lists respondents, their contact information, and key take-aways from the evaluators and the respondents' conversations. This is not in alignment with the Evaluation Ethics Code that the evaluator should have signed in Annex 8 (I note that this is currently not included but should be). The anonymity of the respondents should be respected. I suggest the evaluator lists the names of the respondents only, and then lists a summary of the take-aways from the conversations, disassociating the respondents and their remarks, and also removing their contact information. Comment on Round 2 Contact information is now removed, but location (organization), dates, and names of conversations are still included, and associated with the conversation notes. If the respondents were OK with this/ warned in advance that their names would be listed next to their responses, then this is OK to keep it like this. Otherwise, their names should be disassociated with their comments and notes from their particular conversations. Annex 9 Evaluation Code of Conduct is now included and signed.	Round 1: Done. Contact details deleted. Remarks disassociated from individuals. Round 2. Agreed. All names now removed from meeting minutes and notes.
SU	19	Annexes	Comment on Round 1 In addition to the annexes already included, the evaluator should include the audit trail. Comment on Round 2 Not addressed.	Round 1. Audit trail annex included as annex 8 Round 2. Agreed. The audit trail format was incorrect. Correct format now included as Annex 8.

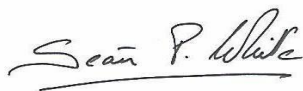## 5.9   Annex 9. Evaluation Consultant Agreement Form

Evaluation Agreement Form

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

Name of Consultant: _____Sean White_____

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

Signed at Nairobi on 30 January 2016

Signature: _____