

Terminal Evaluation Validation form, GEF Independent Evaluation Office

1. Project Data

Summary project data			
GEF project ID		9674	
GEF Agency project ID		N/A	
GEF Replenishment Phase		GEF-6	
Lead GEF Agency (include all for joint projects)		Conservation International	
Project name		Strengthening national capacity in Kenya to meet the transparency requirements of the Paris Agreement and supporting the coordination of national, regional and global transparency-related activities in Kenya.	
Country/Countries		Kenya	
Region		Africa	
Focal area		Climate Change	
Operational Program or Strategic Priorities/Objectives		CCM-3-8 Capacity-Building Initiative on Transparency (CBIT)	
Stand alone or under a programmatic framework		Standalone	
If applicable, parent program name and GEF ID			
Executing agencies involved		Ministry of Environment and Natural Resources (the Climate Change Directorate - CCD) SLEEK Secretariat, Vital Signs Program, and the Green House Gas Management Institute (GHGMI).	
NGOs/CBOs involvement			
Private sector involvement (including micro, small and medium enterprises) ¹			
CEO Endorsement (FSP) / Approval (MSP) date		12/19/2017	
Effectiveness date / project start date		1/15/2018	
Expected date of project completion (at start)		7/31/2019	
Actual date of project completion		10/31/2019	
Project Financing			
		At Endorsement (US \$M)	At Completion (US \$M)
Project Preparation Grant	GEF funding	0.0545	0.0545
	Co-financing		
GEF Project Grant			
Co-financing	IA own	0.05	0.05
	Government	1.0	0.44
	Other multi- /bi-laterals		
	Private sector		
	NGOs/CBOs		
	Other	0.05	0.03
Total GEF funding		1.0545	1.0545
Total Co-financing		1.1	0.510
Total project funding (GEF grant(s) + co-financing)		2.1545	1.564

¹ Defined as all micro, small, and medium-scale profit-oriented entities, including individuals and informal entities, that earn income through the sale of goods and services rather than a salary. ([GEF IEO 2022](#))

Terminal evaluation validation information	
TE completion date	7/4/2020
Author of TE	Tyler Christie, Dr. Arthur Blundell, and Ikem Eronini
TER completion date	1/2/2023
TER prepared by	Nabil Haque
TER peer review by (if GEF IEO review)	Neeraj Negi

Access the form to summarize key project features here: <https://www.research.net/r/APR2023>.

2. Summary of Project Ratings

Criteria	Final PIR	IA Terminal Evaluation	IA Evaluation Office Review	GEF IEO Review
Project Outcomes	—	MS	—	MU
Sustainability of Outcomes	—	MU	—	MU
M&E Design	—	HS	—	S
M&E Implementation	—	S	—	S
Quality of Implementation	—	S	—	MS
Quality of Execution	—	S	—	MS
Quality of the Terminal Evaluation Report	—	—	—	MS

3. Project Objectives and theory of change

3.1 Global Environmental Objectives of the project:

The global environmental objectives of the project were to enhance the capacity of Kenya to implement the Paris Agreement and mainstream data use from Agriculture, Forestry and Other Land Use (AFOLU) sector into national & sub-national policy, planning financial and legal frameworks (Project Document).

3.2 Development Objectives of the project:

The development objective of the project was to enhance the System for Land-Based Emissions Estimation in Kenya (SLEEK) to ensure compliance with the Paris Agreement transparency requirements (CEO Endorsement request).

3.3 Were there any **changes** in the Global Environmental Objectives, Development Objectives, or project activities during implementation? What are the reasons given for the change(s)?

No changes were reported in the global environmental and development objectives.

3.4 Briefly summarize project's theory of change – describe the inputs and causal relationships through which the project will achieve its long-term impacts, key links, and key assumptions.

Project documents do not explicitly discuss a theory of change. The terminal evaluation articulated a theory of change for the project to facilitate the evaluation. The project sought to address the data inaccessibility issues, fragmented policy framework and weak institutional capacity related to Monitoring, Reporting and Verification (MRV) that are required for Enhanced Transparency Framework under the Paris Agreement. Therefore, the project strengthened technical and institutional capacities of government agencies to collect, document and archive key data on greenhouse gas (GHG) emissions in

all sectors for an inventory process, which included quality control, assurance and analysis. This functional inventory and MRV system will enable policy making as it enables tracking and reporting Nationally Determined Contributions (NDC). A specific component was designed to support enhancements to the System for Land-Based Emissions Estimation in Kenya (SLEEK), which had been already established but needed to be strengthened through formalization of data collection and sharing agreements throughout its network organizations in the land use sector (p.2 of Project Document). A functional coordination platform will also be established through the project for all transparency related activities and reporting.

4. GEF IEO assessment of Outcomes and Sustainability

Please refer to the GEF Terminal Evaluation Review Guidelines for detail on the criteria for ratings.

The outcome ratings (relevance, effectiveness, efficiency, and overall outcome rating) are on a six-point scale: Highly Satisfactory to Highly Unsatisfactory. The sustainability rating is on a four-point scale: Likely to Unlikely.

Please justify the ratings in the space below each box.

4.1 Relevance and Coherence	HS
------------------------------------	----

The terminal evaluation found relevance of the project to be ‘highly satisfactory’ and this review concurs. The outcomes of the project are expected to enhance transparency framework for tracking and reporting the progress of existing and future country commitments. The capacity constraints for data reporting were well-documented and the activities were designed to specifically address these constraints. The timing of the project was commended by terminal evaluation stakeholders as it coincided with national development planning deliberations where policy decisions could benefit from good quality GHG emissions data. The project responded to the needs of the government in developing an MRV system (p. 24 of TE) and was consistent with other national documents. The project was specifically requested by the GEF and clearly supported GEF priorities and strategies on climate change.

4.2 Effectiveness	MS
--------------------------	----

The project contributed to the development of a national inventory and MRV system and upgrading emissions calculation approaches of some sectors from Tier 1 to Tier 2. This has increased data quality and access, as well as coordination and quality of reporting among government agencies. However, the terminal evaluation found that the developed system is operating at below optimal level. It has yet to meet the transparency requirements of the Paris agreement due to management and institutional issues (p.21 of TE). There is also no evidence to suggest that the data was being used to inform policy making. Capacity development activities could not reach the target number of trained personnel decided during project design. Beneficiaries of capacity development activities were transferred or currently not involved in climate change activities. Furthermore, memorandums signed during the project are not being followed, and sectoral activities are not being coordinated as expected. During the

evaluation, stakeholders were unable to access significant parts of MRV data and share them with the evaluators due to licensing and technical constraints (p. 26 of TE). The review concurs with the terminal evaluation rating of ‘moderately satisfactory’.

4.3 Efficiency	MS
-----------------------	----

The project design did address the significant differences in management structure of the executing agencies which limited project effectiveness. Stakeholders interviewed by the evaluation team suggested that a minimum of 3 years of continued work will be required before signs of impact across MRV reporting could be observed. The project suffered from human resource constraints and time-consuming procurement processes. Although these factors delayed fund transfers, project funds were properly disbursed to their expected allotment areas. For capacity building, the project was able to train more than 300 personnel, but this build up of technical capacity could not be sustained. This review maintains the terminal evaluation rating of ‘moderately satisfactory’ for efficiency.

4.4 Outcome	MU
--------------------	----

The project managed to contribute to the development of MRV system for enhanced transparency under the Paris Agreement. The intended web platform was not operationalized nor was the GHG inventory and MRV system completed by the end of the project. Access to the partially completed versions are also not possible due to licensing and technical constraints. It is likely that data is not being used to inform policy making. In terms of capacity building, the project trained 305 participants on GHG data management and inventory out of which 40% were women. However, these activities appear to have been ineffective in enhancing overall capacity as evidenced by the lack of retained staff and barriers to sustained progress beyond the end of the project.

4.5 Sustainability	MU
---------------------------	----

The terminal evaluation rated sustainability of the project as ‘moderately unlikely’ as results are unlikely to be sustained without significant financial investment and improvements to governance. This review concurs with this finding. By the time of the terminal evaluation, project activities have ceased even though some targets remained unfulfilled. The government of Kenya has not increased any investment, and the pledged co-finance to the project also did not materialize. While the socio-political and environmental risks are low for the project, there remains significant institutional and governance risks. The outputs of the project have not yet been institutionalized in national planning agencies to the extent that it is sufficiently operational and sustainable (p.35 of TE). Government agencies do not have access to data as intended, and the web platform and MRV systems are not operational to a state where they can be utilized. Sustainability of project results is highly dependent on a small group of individuals in an organizational setting that experience high staff turnover. The incomplete nature of several aspects of the project including the GHG inventory along with the inaccessibility of its data may undermine the transparency aspirations identified as intended impact in the project document.

5. Processes and factors affecting attainment of project outcomes

Before describing the factors, you may choose to summarize reported outcomes and sustainability here: <https://www.research.net/r/APR2023>.

5.1 Co-financing. To what extent was the reported co-financing essential to the achievement of GEF objectives? If there was a difference in the level of expected co-financing and actual co-financing, what were the reasons for it? Did the extent of materialization of co-financing affect project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

Only 50% of the projected co-financing materialized, which amounted to \$510,029 against the target of \$1.1 million. The terminal evaluation does not explain the reasons for the shortfall.

5.2 Project extensions and/or delays. If there were delays in project implementation and completion, then what were the reasons for it? Did the delay affect the project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

Several factors affected the timely implementation of the project. The project manager was recruited after the project started. There were also delays in transferring funds to the government agencies, which affected the project timeline and project management processes. Only one person responsible for project management, administration, monitoring and reporting which created a workload that led to delays and interruptions (p. 22 of TE). Although a three-month no cost extension was provided, the delays in project activities meant that some objectives could not be fully achieved. The online coordination platform that was built with data compiled was not operational at the end of project due to access rights.

5.3 Stakeholder ownership. Assess the extent to which stakeholder ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability, highlighting the causal links.

The project team engaged with key stakeholders by relying on a wide range of government agencies. The participatory process that went into designing and implementing the project strongly contributed to stakeholder ownership increasing the relevance of the project. However, the terminal evaluation was short on details about engagement with non-governmental organizations.

5.4 Other factors: In case the terminal evaluation discusses other key factors that affected project outcomes, discuss those factors and outline how they affected outcomes, whether positively or negatively. Include factors that may have led to unintended outcomes.

According to the government stakeholders, the project contained a design flaw stemming from the lack of understanding of the hiring practices of the government of Kenya. This was evident in CCD (executing agency) not being able to retain the staff hired by CI (implementing agency). The ministry also wanted to send people to the project without following CI's procurement process. Most of the people who were proposed by the government did not meet the criteria required by CI. This resulted in a position remaining unfilled, and some interns having to leave because they were hired by CI without following

the government protocols. The project approach did not achieve the overall objective of development of sustainable capacities (p. 23 of TE).

6. Assessment of project's Monitoring and Evaluation system

Ratings are assessed on a six point scale: Highly Satisfactory to Highly Unsatisfactory.

Please justify ratings in the space below each box.

6.1 M&E Design at entry	S
-------------------------	---

The project M&E plan outlined in the Project Document described planned M&E activities including roles and timeframe (p.76 of ProDoc). The indicators were SMART and had good sources for means of verification. There were provisions for inception workshop and report, quarterly and annual progress reporting, independent external evaluations, and audits. A budget of \$35000 was also provided covering these activities. Although the terminal rated M&E design 'highly satisfactory' (p. 10 of TE), this review is revising the rating to 'satisfactory' due to a missing theory of change or log frame at design.

6.2 M&E Implementation	S
------------------------	---

The activities proposed for M&E design were mostly followed during implementation. Project progress was reported on a quarterly and yearly basis, and GEF tracking tools were also used appropriately. A mid-term evaluation was not undertaken due to the short term of the project, which is consistent with the M&E plan devised during project design. Project steering committee meetings and joint CI/ GEF team field visits were able to monitor progress and identify problems which were later addressed demonstrating adaptive management. The terminal evaluation could not compare the M&E expenditure against its budgetary allocation (p. 39 of TE). Despite this shortcoming, the review maintains the terminal evaluation's rating of 'satisfactory' due to the project's effective use of monitoring tools and processes established during design.

7. Assessment of project implementation and execution

Quality of Implementation rating is based on the assessment of the performance of GEF Agency(s). Quality of Execution rating is based on performance of the executing agency(s). In both instances, the focus is upon factors that are largely within the control of the respective implementing and executing agency(s). A six-point rating scale is used (Highly Satisfactory to Highly Unsatisfactory), or Unable to Assess.

Please justify ratings in the space below each box.

7.1 Quality of Project Implementation	MS
--	----

The terminal evaluation rated the performance of Conservation International (CI) as an implementing agency to be 'satisfactory'. This review is revising the rating to 'moderately satisfactory'. Most of the stakeholders interviewed for the terminal evaluation felt that the financial management systems of CI were not conducive for effective work (p.25 of TE). There were delays in fund transfers resulting from a misunderstanding of the systems for disbursement of funds and the allocation of project resources. CI funding approach was restrictive in the beginning and could not be used to pay the allowances requested by stakeholders for government workers who attended training. These allowances were standard operating procedures for training of Kenyan government staff. This problem was only resolved when stakeholders developed an agreement to provide payments to participating government officials (p.23 of TE). Although the terminal evaluation insists that the project handled these difficulties in a satisfactory manner, the failure to achieve all project objectives and sustain them remains.

7.2 Quality of Project Execution	MS
---	----

The terminal evaluation assigned a 'satisfactory' rating for quality of project execution. Nonetheless, the terminal evaluation acknowledged that it gathered only limited information to assess performance on this topic because of the time constraints. The review is revising the rating to 'moderately satisfactory' based on information presented elsewhere in the report. It was noted multiple times that there was high turnover in government agencies making it difficult to sustain the results of capacity building initiatives of the project. Project management of executing agency did attempt to adapt these challenges by engaging more mid-level staff. However, these changes were not effective (p.30).

8. Lessons and recommendations

8.1 Briefly describe the key lessons, good practices, or approaches mentioned in the terminal evaluation report, including how they could have application for other GEF projects. Lessons must be based on project experience.

The terminal evaluation identified three lessons followed by three recommendations -

- i. Coordinating projects with government agencies in relation to financial policies and recruitment can be complex which can pose significant risk to project performance.
- ii. Staff turnover can significantly impact the viability and effectiveness of training programs and should be taken into consideration at the design and planning stage.
- iii. Project delays at the beginning can significantly delay achievement of intended outcomes.

8.2 Briefly describe the recommendations given in the terminal evaluation.

The terminal evaluation identified three recommendations corresponding to the three lessons learned and an additional recommendation on follow-up study –

- i. Policies and implementation protocols should be mutually agreed with government agencies prior to project initiation. The GEF and CI should reconsider policies and potential exceptions to per diem and travel reimbursements for in-country participants. In case these are not subject to change, GEF and CI should ensure such policies are clearly communicated to potential project participants prior to project launch.
- ii. High staff turnover should be anticipated, and alternative plans can be developed with government agencies to retain institutional memory. Training manuals should be made available along with protocols developed to include training new staff before project-trained staff move to new positions. Alternative approaches to capacity building such as online training can be considered along with frequent and sustained engagement over a longer period. Not only will these approaches ensure higher levels of participation, but it can also potentially reduce travel costs significantly.
- iii. Regular M&E and adaptive management can ensure that financial planning and procurement are aligned with project timelines to mitigate risks and delays to project performance.
- iv. At a later stage, a data quality assessment and review study can be commissioned to validate the current state of data and MRV systems for climate change reporting. Such a study can provide an independent and verified understanding of the data and its viability for use in follow on projects, which will be beneficial for all project stakeholders.

9. Quality of the Terminal Evaluation Report

Before rating the quality of the terminal evaluation, click here to summarize your observations on the sub-criteria: <https://www.research.net/r/APR2023>.

A six-point rating scale is used for each sub-criteria and overall rating of the terminal evaluation report (Highly Satisfactory to Highly Unsatisfactory)

Criteria/indicators of terminal evaluation quality	GEF IEO COMMENTS	Rating
1. Timeliness: terminal evaluation report was carried out and submitted on time?	The terminal evaluation was prepared 8 months after project completion.	MS
2. General information: Provides general information on the project and evaluation as per the requirement?	The project context was explained well in the terminal evaluation.	S
3. Stakeholder involvement: the report was prepared in consultation with – and with feedback from - key stakeholders?	Stakeholder views were covered in the	S

4. Theory of change: provides solid account of the project's theory of change?	The theory of change was developed for the terminal evaluation and was effective in understanding the project.	S
5. Methodology: Provides an informative and transparent account of the methodology?	The methodology for the evaluation was easy to follow.	S
6. Outcome: Provides a clear and candid account of the achievement of project outcomes?	The report was detailed about specific outcomes and outputs, assessing effectiveness and efficiency for each of them.	HS
7. Sustainability: Presents realistic assessment of sustainability?	The sustainability section covered all risks.	S
8. M&E: Presents sound assessment of the quality of the M&E system?	The M&E sections covered both design and implementation phase and changes that took place.	S
9. Finance: Reports on utilization of GEF funding and materialization of co-financing?	The section on co-finance was inadequate and missing the reasons for lack of materialization.	MU
10. Implementation: Presents a candid account of project implementation and Agency performance?	The implementation challenges were discussed which negatively impacted the effectiveness of the project.	S
11. Safeguards: Provides information on application of environmental and social safeguards, and conduct and use of gender analysis?	Although safeguards measures didn't strictly apply for a project of this nature, the terminal evaluation covered it to a good extent.	S
12. Lessons and recommendations are supported by the project experience and are relevant to future programming?	The terse lessons learned had corresponding recommendations, which were all based on project experience.	S
13. Ratings: Ratings are well-substantiated by evidence, realistic and convincing?	The ratings were justified by the evidence provided.	S
14. Report presentation: The report was well-written, logically organized, and consistent?	The report was logically organized and easy to follow.	S
Overall quality of the report		S

10. Note any additional sources of information used in the preparation of the terminal evaluation report (excluding PIRs, TEs, and PADs).

ANNEX 1. GEF IEO THEORY OF CHANGE FRAMEWORK

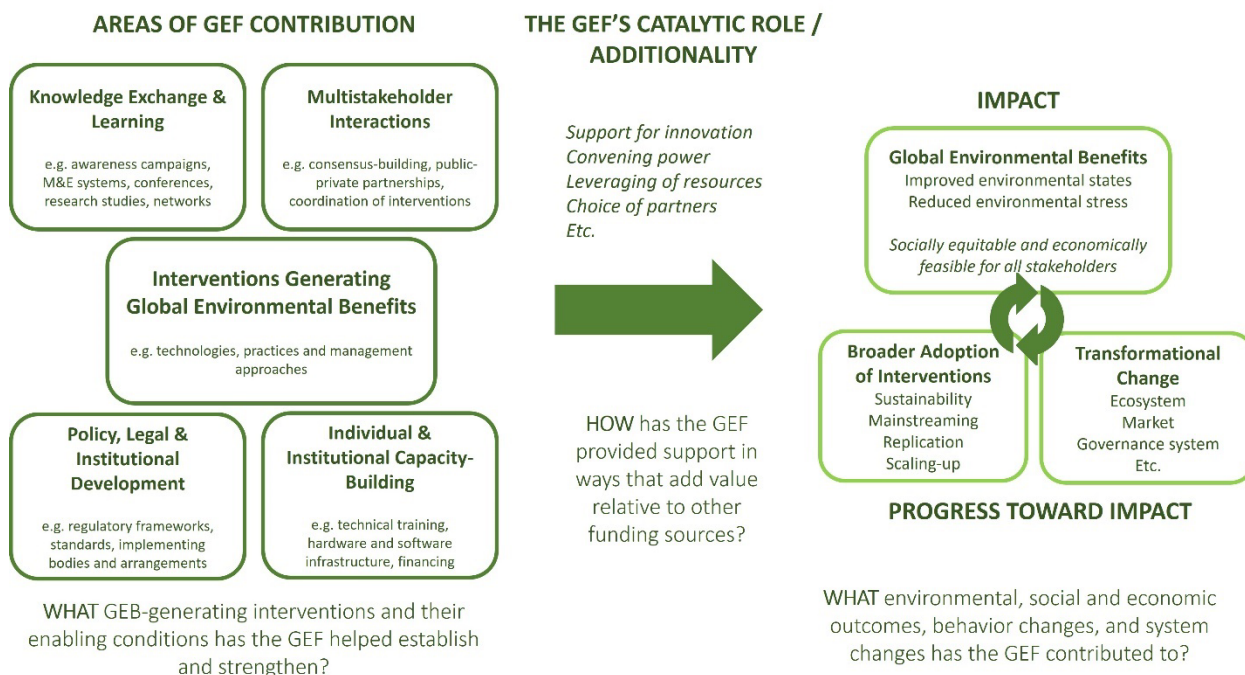


Figure 1. The GEF IEO's updated Theory of Change Framework on how the GEF achieves impact

The general framework for the GEF's theory of change (figure 1) draws on the large amount of evaluative evidence on outcomes and impact gathered over the years by the GEF Independent Evaluation Office. The framework diagram has been updated to reflect the IEO's learning since OPSS5 (GEF IEO 2014, p. 47-50) about how the GEF achieves impact, as well as the evolution of the GEF's programming toward more integrated systems-focused and scaled-up initiatives.

The framework outlines the three main areas that the IEO assesses in its evaluations: a) the GEF's contributions in establishing and strengthening both the interventions that directly generate global environmental benefits, and the enabling conditions that allow these interventions to be implemented and adopted by stakeholders, b) the GEF's catalytic role or additionality in the way that the GEF provides support within the context of other funding sources and partners, and c) the environmental, social and economic outcomes that the GEF has contributed to, and the behavior and system changes that generate these outcomes during and beyond the period of GEF support.

The circular arrow between impact and progress toward impact, as before, indicates how bringing about positive environmental change is an iterative process that involves behavior change (in the form of a broader group of stakeholders adopting interventions) and/or systems change (which is a key characteristic of transformational change). These three areas of change can take place in any sequence or simultaneously in a positively reinforcing cycle, and are therefore assessed by the GEF IEO as indicators of impact.

Assessing the GEF's progress toward achieving impact allows the IEO to determine the extent to which GEF support contributes to a trajectory of large-scale, systemic change, especially in areas where changes in the environment can only be measured over longer time horizons. The updated diagram in particular expands the assessment of progress towards impact to include transformational change, which specifically takes place at the system level, and not necessarily over a long time period.

The updated diagram also more explicitly identifies the link between the GEF's mandate of generating global environmental benefits, and the GEF's safeguards to ensure that positive environmental outcomes also enhance or at the very least do not take away from the social and economic well-being of the people who depend on the environment. Thus the IEO assesses impact not only in terms of environmental outcomes, but also in terms of the synergies and trade-offs with the social and economic contexts in which these outcomes are achieved.

ANNEX 2. DEFINITION OF TERMS

Intervention	Any programmatic approach, full-sized project, medium-sized project, or enabling activity financed from any GEF-managed trust fund, as well as regional and national outreach activities. In the context of post-completion evaluation, an intervention may consist of a single project, or multiple projects (i.e. phased or parallel) with explicitly linked objectives contributing to the same specific impacts within the same specific geographical area and sector. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Activity (of an intervention)	An action undertaken over the duration of an intervention that contributes to the achievement of the intervention's objectives, i.e. an intervention is implemented through a set of activities. E.g. training, (support to) policy development, (implementation of) management approach.
Outcome	An intended or achieved short- or medium-term effect of a project or program's outputs. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Impact	The positive and negative, primary and secondary long-term effects produced by a project or program, directly or indirectly, intended or unintended. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Environmental outcomes	Changes in environmental indicators that could take the following forms: <ul style="list-style-type: none"> • Stress reduction: reduction or prevention of threats to the environment, especially those caused by human behavior (local communities, societies, economies) • Environmental state: biological, physical changes in the state of the environment http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Social and economic outcomes	Changes in indicators affecting human well-being at the individual or higher scales, e.g. income or access to capital, food security, health, safety, education, cooperation/ conflict resolution, and equity in distribution/ access to benefits, especially among marginalized groups.
Synergies	Multiple benefits achieved in more than one focal area as a result of a <i>single intervention</i> , or benefits achieved from the interaction of outcomes from at least two separate interventions in addition to those achieved, had the interventions been done independently.

	http://www.gefio.org/evaluations/evaluation-multiple-benefits-gef-support-through-its-multifocal-area-portfolio-map-2016
Trade-offs	A reduction in one benefit in the process of maximizing or increasing another benefit. http://www.gefio.org/evaluations/evaluation-multiple-benefits-gef-support-through-its-multifocal-area-portfolio-map-2016
Broader adoption	The adoption of GEF-supported interventions by governments and other stakeholders beyond the original scope and funding of a GEF-supported intervention. This may take place through sustaining, replication, mainstreaming, and scaling-up of an intervention and/or its enabling conditions (see definitions below). http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Sustainability	The continuation/ likely continuation of positive effects from the intervention after it has come to an end, and its potential for scale-up and/or replication; interventions need to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Replication	When a GEF intervention is reproduced at a comparable administrative or ecological scale, often in different geographical areas or regions. http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Mainstreaming	When information, lessons, or specific aspects of a GEF initiative are incorporated into a broader stakeholder initiative. This may occur not only through governments but also in development organizations and other sectors. http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Scaling-up	Increasing the magnitude of global environment benefits (GEBs), and/or expanding the geographical and sectoral areas where they are generated to cover a defined ecological, economic, or governance unit. May occur through replication, mainstreaming, and linking. http://www.gefio.org/evaluations/evaluation-gef-support-scaling-impact-2019
Transformational change	Deep, systemic, and sustainable change with large-scale impact in an area of major environmental concern. Defined by four criteria: relevance, depth of change, scale of change, and sustainability. http://www.gefio.org/evaluations/evaluation-gef-support-transformational-change-2017
Additionality	a) Changes in the attainment of direct project outcomes at project completion that can be attributed to GEF's interventions; these can be reflected in an acceleration of the adoption of reforms, the enhancement of outcomes, or the reduction of risks and greater viability of project interventions. b) Spill-over effects beyond project outcomes that may result from systemic reforms, capacity development, and socio-economic changes. c) Clearly articulated pathways to achieve broadening of the impact beyond project completion that can be associated with GEF interventions. https://www.gefio.org/sites/default/files/ieo/council-documents/files/c-55-me-inf-01.pdf