December 11th 2012

Terminal Evaluation of IFAD-GEF Project ID 1848

'Mount Kenya East Pilot Project for Natural Resource Management'

Photo (Cattle leaving the Mt Kenya forest reserve at Kangaita, electric wildlife barrier in foreground) Harriet Matsaert

December 2012

Acknowledgement

The evaluators would like to thank all those who gave their time to reflect and provide feedback on the MKEPP GEF project performance. Particular thanks are due to the project team for their efficient management of our field visits. We appreciate the time spent by the Project team, Project Steering Committee and IFAD country office team reviewing and responding to the first draft. Their carefully considered comments have improved the quality and usefulness of this report.

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ACRONYMS

AWPB	Annual Work Plan and Budget
CBOs	Community Based Organizations
CFAs	Community Forest Associations
COMPACT	Community Management of Protected Areas Conservation
GEF	Global Environment Facility
GIS	Geographical Information System
GOK	Government of Kenya
IFAD	International Funds for Agricultural Development
IGAs	Income Generating Activities
KARI	Kenya Agricultural Research Institute
KEFRI	Kenya Forestry Research Institute
KFS	Kenya Forest Service
KWS	Kenya Wildlife Service
M&E	Monitoring and Evaluation
M&E	Monitoring and evaluation
MKEPP	Mount Kenya East Pilot Project for Natural Resource Management
MOV	Means of verification
MoWI	Ministry of Water and Irrigation
NEMA	National Environmental Management Authority
NGO	Non-Government Organization
NIMES	National Integrated Monitoring and Evaluation System
NMK	National Museums of Kenya
NRM	Natural Resource Management
OVI	Objectively Verifiable Indicators
PCU	Project Coordination Unit
PELIS	Plantation Establishment and Livelihood Improvement Scheme

PFM	Participatory Forest management
PIT	Project Implementation Team
PMU	Project Management Unit
PSC	Project Steering Committee
ROtI	Review of Outcomes to Impact
SCMP	Sub Catchment Management Plan
TOT	Training of Trainers
UNOPS	United Nations Office for Project Services
UTaNRMP	Upper Tana Catchment Natural Resource Management Project.
VSLA	Village Savings and Loan Associations
WRMA	Water Resources Management Authority
WRUAs/WUAs	Water Resource Users Associations/Water Users Associations
WSTF	Water Services Trust Fund

GEF Project ID: 1848
Project Title: Mount Kenya East Pilot Project for Natural Resource Management: GEF component.
Project duration: 5 years
Commencing: March 2007
Project closure: March 2012
Completion: September 2012
Country: **Project Title**: **Mount Kenya East Pilot Project for Natural Resource Management**
GEF Implementing Agency: IFAD
Other Executing partners: UNOPS
GEF Strategic Objective: **OP# 12 Integrated Ecosystem Management** with relevance to OP# 15 on Sustainable Land Management, OP# 4 on Mountain Ecosystems and OP# 3 on Forest Ecosystems.
GEF Strategic Programmes: Land Degradation, Biodiversity, and Climate Change.
IFAD Priority: Strategic Objective 5 of the 2011-2015 Strategic Framework 'A natural resource and economic asset base for poor rural women and men that is more resilient to climate change, environmental degradation and market transformation
Cost to the GEF trust fund: US$ 4,700,000

EXECUTIVE SUMMARY

MKEPP-GEF ran from 2007 to 2012 and was designed to complement and enhance the Outputs of the larger MKEPP loan project. The project's goal of '*more productive, equitable and sustainable use of natural resources through integrated ecosystem management*' was shared with MKEPP. In addition the projects goal within the National Park and Forest Reserve was '*Improved biodiversity conservation, more equitable and sustainable use of natural resources and enhanced overall management capacity with the involvement of stakeholders in the National Park and Reserve*."
Five key project Outputs[1] were designed to contribute to this goal:

- Water resource management
- Environmental conservation and management
- Sustainable rural livelihoods
- Community empowerment

[1] Also referred to as 'components' in the MKEPP log frame and annual reports.

- Project management.

The project received a grant from GEF of US $4.7 million. Additional co-financing of US$ 1.15 million as well as in kind contribution of staff, office resources and other inputs was provided by the implementing agent KWS and by community members. Project preparation was funded by GEF.

The project Outputs are highly relevant to national, GEF and IFAD priorities. The choice of KWS as an implementing agency enabled rapid implementation and increased the sustainability of the project's activities. However limitations in institutional analysis, stakeholder inclusion, reflection and learning and in the clarity of the log frame reduced the effectiveness of implementation and the achievement of some key project Outputs.

Key project Outputs achieved were: -
- Infrastructure development and training of KWS and KFS staff, community members and other key stakeholders to build capacity to manage the park more effectively and respond faster to crises.
- Completion of the Mt Kenya Ecosystem management plan, tourism development plan and development of four Forest and two Water management plans at the community level.
- Rehabilitation of 1965 hectares of indigenous forest.
- Construction of 86.9 kilometres of fence to protect communities from wildlife.
- Rehabilitation of Mweiga research station at Kingongo.
- Training and support to community income generation activities.

Outputs not fully achieved included: -
- Water resource management Output (Decision support tools for water and environmental management, support to WRUAs, staff training).
- Development of strategy document for elephant corridors.
- Full fencing of community/forest boundary (project target was 397 km)
- Full function of Research Unit, development of targeted indicators and collection of data needed to guide and monitor project Outputs and Outcomes (e.g. impact of fence on elephant movement)
- Fire towers, some fire equipment and mountain rescue kits.

The project Outputs have led to a number of positive Outcomes: -
- A significant improvement in relations between KFS, KWS and communities resulting in effective planning and implementation of forest management, forest rehabilitation, wildlife and fire control in the areas where the project worked.
- Households in communities adjoining the forest reserve are more secure and able to farm successfully in areas where wildlife fences have been constructed.
- Communities supported by the project are adopting new income generating activities which allow them to diversify their income sources and reduce dependence on forest products.

If the activities of the project are up scaled it is likely that these outcomes will lead to the following local and global impacts: -
- Integrated planning, management and monitoring of Mt Kenya's protected areas (both forest and water resources).
- Increased areas under forest cover
- Reduced levels of fire and human/wildlife conflict

- Reduction of pressure on forest resources through livelihood diversification.
- Environmental data collection that form a baseline for future assessments.
- Conservation of carbon stocks in forest through enhancement of carbon sequestration.

However there are a number of critical constraints to the sustainability of outcomes and achievement of impacts: -

- The Mt Kenya Ecosystem Management plan has not yet been endorsed at the national level. Final consensus on this plan is essential to up scaling the project's achievements in integrated planning at the ecosystem level[2] (See Section D).
- The delay in development of the Mt Kenya monitoring unit at Mweiga research station at Kingongo means that essential data and resources (such as maps) are not yet available to support integrated planning, management, monitoring and impact assessment.[3] (See discussion of GIS unit in Annex 5)
- Conflicting mandates and policies of the key institutions create inconsistencies in integrated planning (see section B).

Some important **lessons** can be drawn from the project's experience and include (see Section 3 for full list): -

1. Inclusion of the protected areas in Upper Tana watershed management enabled a holistic, integrated approach.
2. The use of a business model to develop conservation plans with short-term financial incentives for communities increases project uptake and sustainability.
3. GIS tools must be integrated from the beginning of any project activity to be useful.
4. Baseline data must be collected before the project starts to allow effective monitoring and impact assessment.
5. Continuity of government staff in project implementation is critical to project efficiency.
6. Log frames must be clear, specific and include all proposed activities in order to act as useful management tools.
7. Thorough institutional and stakeholder analysis at project planning stage and throughout the project life, and mechanisms for influencing policy, improves project success.
8. Reflection and documentation of learning and action throughout the project life is critical to adaptive management and accountability.

Recommendations for future GEF projects and for the forthcoming UTaNRMP include (see full list and discussion in Section 3): -

1. **Activities which have been useful and which are being scaled up in UTaNRMP and should be considered for future GEF projects are:**

- Introduction of Village Savings and loans associations to finance income-generating activities.
- Use of local trainer and training of trainers approach to scale up community training and awareness raising activities.
- Business approach to conservation (financial benefits to community considered in design) e.g. PELIS and tree nurseries.

[2] Pers comm: KWS head office staff, project staff, NGO representative.
[3] Pers comm: project staff, NGO representative, community members (no community groups visited were using maps for planning or monitoring).

- Participatory monitoring and evaluation for community empowerment.
- Integrated ecosystem approach to planning.

2. **KWS, KFS and other stakeholders should work together to develop the capacity of the Mt Kenya Ecosystem Monitoring unit (GIS unit) at Mweiga Research Station. UTaNRMP should support this activity.**

3. **Stakeholders should endorse Mt Kenya Ecosystem Plan as soon as possible and UTaNRMP should be formally aligned to this plan.**

4. **UTaNRMP should expand its planned activities to include the protected area. The inclusion of this area is consistent with IFAD's ENRM policy.**

5. **IFAD/ UTaNRMP should raise policy issues raised by the project in the relevant policy forums (GOK and Donor community).**

6. **KWS and UTaNRMP should closely monitor the implementation of the fence maintenance strategy**.

7. **KWS (supported by Mt Kenya Ecosystem Monitoring Unit) should carefully monitor the impact of fencing on elephant behaviour and the forest environment to ensure the environmental sustainability the fencing strategy**.

8. **KWS should prioritise the preparation of a long-term strategy for wildlife corridors for the Mt Kenya ecosystem before new building prevents this being possible.**

9. **KWS, KFS, WRMA and other stakeholders should review and clarify roles in Water Resource Management.**

10. **Future IFAD/GEF/GOK projects should attempt to combine or harmonise supervision and evaluation activities to conserve resources and reduce demands on the project team.**

11. **IFAD supervision missions should ensure equal time is given to assessing progress in substantive project activities as in financial disbursement aspects.**

12. **IFAD M&E training and support should emphasise the importance of documentation of decisions and analysis of monitoring data during the project life to enable adaptive and accountable management.**

Table 1 – Overall Evaluation Ratings

Criterion	Evaluator's Summary Comments	Rating	Score
Attainment of Project Objectives and Results (overall rating) **Sub criteria (below)**		MS	4
A. 1. Effectiveness - overall likelihood of impact achievement	The project has made good progress towards impact however a number of constraints to up scaling Outputs to achieve impact need to be addressed.	MS	4
A. 2. Relevance	This project was highly relevant to both GEF and National priorities.	HS	6
A. 3. Efficiency	Working through existing institutions, good stakeholder involvement, use of local trainers to scale up training activities, development of local finance associations enhanced project efficiency. High level of transfer of key staff and failure to draw on GIS expertise at KWS HQ and elsewhere reduced efficiency.	MS	4
Sustainability of Project Outcomes **(Overall rating)** **Sub criteria (below)**		MS	4
B. 1. Financial	KWS will continue to fund activities initiated under the project. Further finance has been leveraged and some support will continue under the new UTaNRMP. Sustainability of funding for Ecosystem Monitoring Unit and maintenance of wildlife barriers is of concern.	MS to S	4.5
B. 2. Socio-political	Positive outcomes in terms of good relations and development of joint planning and implementation by KWS, KFS and community members. However, lack of stakeholder ownership of Mt Kenya ecosystem management plan at national level may undermine project achievements.	MS	4
B. 3. Institutional framework	The national institutional framework supports the activities initiated by this project. However conflicting legislation and overlapping mapping threatens to undermine project achievements.	MS	4
B. 4. Environmental	Concerns over environmental impact of wildlife barriers and encroachment of wildlife corridors.	MS	4
C. Catalytic Role and Replication	Some important achievements and opportunities for further replication e.g. business approach to conservation, use of training of trainers to up scale activities, partnerships for shared activities and to leverage funds and influence on KWS to broaden its mandate to ecoservice provision.	S	5
D. Stakeholder Participation/ Public Awareness	Good, but could have had more involvement at planning stage. Communication of project learning and Outputs could be improved.	MS	4
E. Country Ownership/	Project is highly relevant to national	S	5

Criterion	Evaluator's Summary Comments	Rating	Score
Drivenness	priorities and legislation. Plan to link Mt Kenya data base to national monitoring system but not yet implemented. Mt Kenya ecosystem management plan has not yet been signed and prevents implementation of integrated planning.		
F. Achievement of Outputs and Activities	The project succeeded in achieving many of the planned Outputs, however several critical Outputs were not achieved due to budgeting errors and shortfalls in design and implementation.	MS	4
G. Preparation and Readiness	Overall concept, choice of Outputs and implementing agency good. Insufficient stakeholder analysis during project inception, budgeting errors, and confusing project log frame and design document led to constraints in implementation (see Annex 10).	MU	3
H. Implementation Approach and Adaptive Management	Hard working and motivated team but constraints caused by design faults, limited reflection and learning and lack of GIS monitoring reduced overall performance.	MS	4
Monitoring and Evaluation (Overall rating) **Sub criteria (below)**	Monitoring of log frame indicators was good, but aspects relating to Mt Kenya ecosystem monitoring were unsatisfactory.	MS	4
I. 1. M&E Design	Lack of consistency in indicators across planning documents (see Annex 10). No baseline or indicators for environmental monitoring component.	MS	4
I. 2. M&E Plan Implementation	Delay in implementing aspects relating to environmental monitoring unit. Annual reports and supervision missions failed to document changes in strategy or identify problems.	MU	3
I. 3. Budgeting and Funding for M&E activities	Several aspects relating to Mt Kenya Ecosystem monitoring unit were dropped.	MS	4
J. Financial Planning and Control	Well managed but some delays in disbursement. Improved by decentralization of IFAD management system.	MS	4
K. IFAD Supervision and Backstopping	Supervision missions were found useful by the project team but failed to identify and address constraints which were to negatively effect project Outputs and Outcomes.	MS	4
Overall Rating[4]	Many important achievements but constraints must be addressed if impacts are to be achieved.	MS	4

[4] An overall project achievement rating should be developed based on the ratings of six evaluation criteria – relevance, effectiveness, efficiency, rural poverty impact, sustainability, and innovation, replication and scaling up –but not the performance of partners. Evaluators are expected to use their
Judgment is determining overall project achievement, rather than calculating a mathematical average. (IFAD IOE Evaluation Manual p 43)

Rating of project objectives and results

Highly Satisfactory - 6: The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory -5: The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory-4: The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory -3: The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory - 2 The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory - 1: The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

1 INTRODUCTION

1.1 Background to the Project

The MKEPP-GEF project was designed to complement and enhance the Outputs of the Mount Kenya East Pilot Project (MKEPP) (financed by an IFAD loan) and ran from July 2004 to September 2012. MKEPP's developmental goal was '*to contribute to poverty reduction through more productive, equitable and sustainable use of natural resources through integrated ecosystem management.*' The geographical focus was the upper catchment of the river Tana. This river is a key resource for Kenya, contributing 50% of Kenya's hydropower generation as well as enabling irrigated agriculture, fisheries and livestock production. The river is also a key source of biodiversity in Kenya. Its tributaries begin in Mount Kenya, one of the five key 'water towers' of the country.

Over the years, the ability of the Tana River to support human livelihoods has been threatened by destruction of forest cover upstream, inappropriate land use practices and uncontrolled abstraction of water. In order to address this, MKEPP's environmental objective' was '*improved conservation, management and sustainable and equitable use of biological resources of Mount Kenya ecosystem by farmers and in the protected areas'.* Within this, its specific objectives were: *water resources management improved, environmental conservation enhanced, sustainable rural livelihoods increased and community empowerment achieved.*[5]

MKEPP worked in five river basins within the river Tana catchment area. The project will now be up scaled under the Upper Tana Catchment Natural Resource Management Project (UTaNRMP) to extend activities to the wider Upper Tana catchment area.[6]

As plans for MKEPP developed, the design team recognised that there was a missing component. The project covered the farming areas in the upper Tana River basin. However the upper areas of the catchment lay in the Mt Kenya National Park and Forest Reserve. The management and conservation of these protected areas was critical to the health of the catchment downstream[7]. Despite concerted efforts by the Kenyan government (see MKEPP-GEF appraisal report), the protected areas were becoming degraded, threatened by population pressure and poverty in the areas adjacent to the park and reserves, leading to unregulated and excessive water use, poor agricultural practices, illegal activities, fire and human/wildlife conflict. Institutional constraints and climate change were also identified as threats to the protected areas.

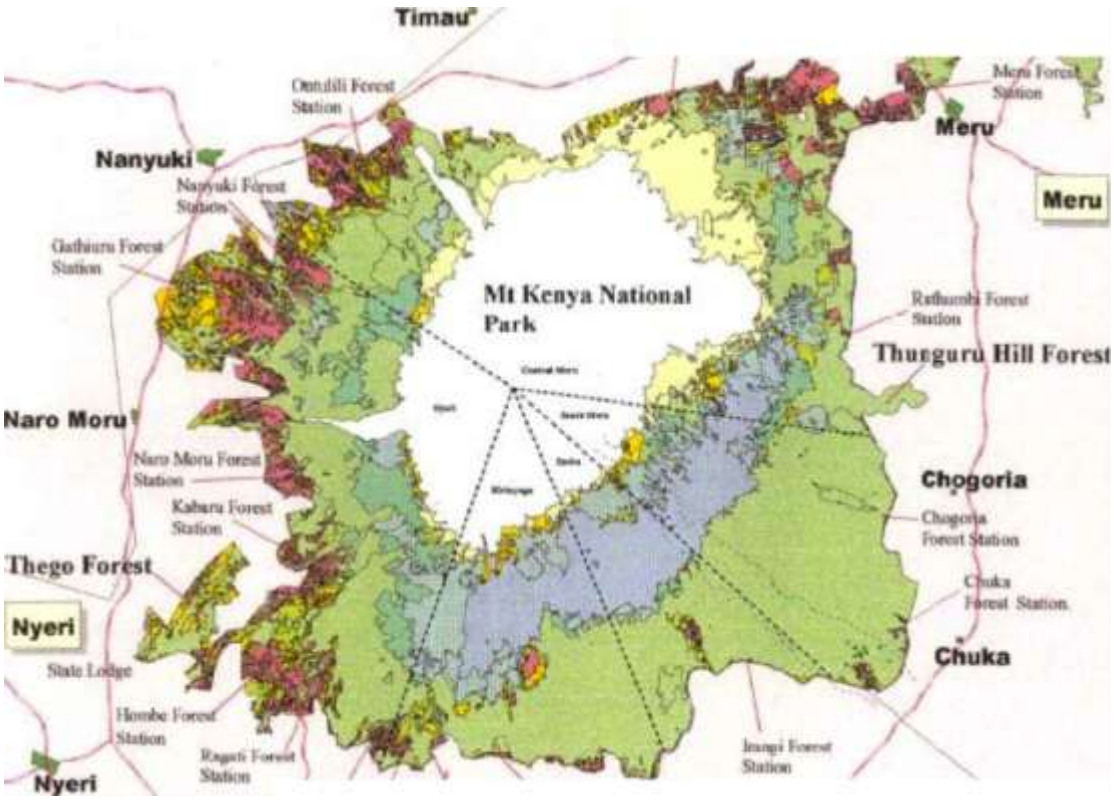
[5] From the log frame inn the MKEPP-GEF project brief (September 2006)

[6] Draft project design report: Upper Tana Catchment Natural Resource Management Project

[7] Mount Kenya and the Abrades form the watershed and water catchment for both the Tana and the Ewaso Nyiro rivers, which serve about three quarters of the surface area of the country. In global terms the National Park and reserve were declared a World Heritage site in 1997. The Reserve surrounding the mountain contains the single largest block of continuous forests in Kenya. The ecosystem provides multiple goods and services that benefit humans e.g. water, climate regulation, erosion control, waste and pollution control and heritage. In addition the forest products (firewood, grass harvesting, grazing, bees, medicinal plants, fruit etc.) and income from tourism are important to the livelihoods of communities living around the forest. (Final GEF-Complementary Mid Term Review April 2011).

While it was recognised that support to the protected areas was essential, IFAD, whose mandate is to work with small farmers, was unable to finance this work.

In 2002 a concept note was submitted to the Global Environmental Fund (GEF) to fund complementary activities in the National Park, and Forest Reserve and with communities in the 10 km band around this. In 2003 GEF approved a grant for project design. The project was approved, and the grant signed in November 2006. The MKEPP GEF component was initiated in March 2007. The project ran alongside MKEPP and has been completed six months before the end of MKEPP. The initial project design was carried out by IFAD and UNEP. While project implementation was initially to be overseen by IFAD and UNEP, the responsibility was taken on fully by IFAD during the project life[8]. UNEP retained a connection with the project particularly with regard to technical issues[9]. Supervision was carried out initially by UNOPs and later being taken over by IFAD[10].



Mt Kenya Ecosystem – Project Coverage.

[8] Project implementation responsibilities were allocated to the IFAD and UNEP in Appendix 14 of the project brief.

[9] UNEP staff were involved in commissioning the mapping of Mt Kenya, in identifying consultants for evaluations and attended occasional steering committee meetings. (Pers comm Mohammed Sessay, UNEP).

[10] This was in line with a change in IFAD corporate policy to direct supervision from 2006, to enable IFAD learn from supervision and feed into future project design (Sam Eremie)

1.2 Description of the Project's Goals and Objectives.

1.2.1 Goals, Objectives and Outputs: -

MKEPP GEF's developmental goal and integrated project environmental objective was shared with MKEPP (see above). Within this, its 'intermediate purpose in the National Park and Reserve was: - '*Improved biodiversity conservation, more equitable and sustainable use of natural resources and enhanced overall management capacity with the involvement of stakeholders in the National Park and Reserve'*[11].

The specific Outputs from MKEPP-GEF were included in the MKEPP log frame under the following MKEPP Outputs: -
Under Environmental Conservation Output:

- *Improved ecosystem management capacity by all stakeholders*
- *Improved capacity of Kenya Wildlife Service (KWS) for research, monitoring and information management.*

Under Rural livelihoods Output: -

- *Reduction of human/wildlife conflict over land.*

In its own log frame (See annex 4), MKEPP-GEF had the following five Outputs (these were the same five components as the MKEPP project (see discussion in section G and Annex 10).

Output	**Description and Activities**
1. Enhance role of stakeholders in watershed management and improve the monitoring system in upper catchments.	To strengthen KWS capacity to engage in the approval process for water abstraction and regulation in the NP and NR through development of: - a) Strategy and guidelines for water management developed with key stakeholders (mainstream role of KWS in watershed management and monitoring). b) Development of decision support tools for KWS to evaluate river water availability for allocation.
2. Enhance effective ecosystem management in Mt Kenya National Park and forest reserve.	Focus on strengthening KWS capacity for effective ecosystem management within the NP and NR. Rehabilitate degraded forest, access roads and bridges, Promote participatory forest management and preparation of strategic plans. Upgrading/development of systems to undertake research, monitoring and information management for the protected area. Improve fire-fighting capacity and develop a tourism management plan. Develop monitoring systems, including geographical information system (GIS), which could guide decision making, enhance the management capacity of all stakeholders and allow on-going monitoring of key indicators of the environmental health of the Mount Kenya ecosystem.

[11] From MKEPP-GEF project brief (September 2006).

3. Reduction in human-wildlife conflict.	To address livelihood issues at the farm level through a combination of measures to improve agricultural production and soil and water conservation. To reduce human wildlife conflict[12] through construction of barriers.
4. Community empowerment.	As for MKEPP, and to be financed by MKEPP.
5. Effective implementation of GEF activities in the NP and reserve.	Technical capacity of KWS strengthened. Training for KWS staff and community based organisations (CBOs). Development of research unit. Tourism development plan.[13]

1.2.2 Implementation: -

The lead implementation agency for MKEPP-GEF was KWS. Under the initial project brief its role was described as: - *implementing human/wildlife conflict resolution component, conservation and rehabilitation of indigenous forest, implementing fire protection activities and upgrading Mweiga research station and National Park Outposts.* KWS was also responsible for preparing the Annual Work Plan and Budget (AWPB).

Other agencies mentioned in the project brief were: -
Kenya Forest Research Institute (KEFRI): *to take the lead role in the implementation of forest management and to collaborate with the forest department.*
Kenya Agricultural Research Institute (KARI): - *to carry out field surveys on soil carbon. In relation to soil type, land management practices, climate and vegetation attributes.*
Non Government Organisations (NGOs): - *to implement capacity building*
CBOs: - *community mobilisation primarily for fences.*

The Forest Department is not mentioned as an implementer in the project brief. In practice the Forest Department (which became the Kenya Forest Service (KFS) in 2007) played a central role in project implementation.

As MKEPP-GEF was designed to complement and enhance the impact of MKEPP, it was integrated as far as possible into MKEPP management structures. MKEPP and MKEPP - GEF shared a Project Steering Committee (PSC) with representation from the Ministries[14] of Water and Irrigation, Livestock Development, Finance, Gender, Children and Social Development and Agriculture as well as representatives from KWS, KFS and National Environmental Management Authority (NEMA, GEF focal point).

[12] Project grant document (2006) talks only of human/wildlife conflict resolution under this Output.
[13] In the grant document community training is not mentioned and research comes under the environmental conservation Output.
[14] The number of ministries changed during the project life. This list is taken from the final steering committee meeting.

While MKEPP had its own office and implementation team, MKEPP-GEF was implemented by KWS and the members of the Project Coordination Unit (PCU), with the exception of the Monitoring and Evaluation Officer, were KWS employees.

The Project Coordination Unit (PCU) was located at the KWS Mt. Kenya National Park at the Naro Moru gate. Planning activities and the development of the AWPB were carried out together with a wider Project Implementation Team (PIT) consisting of: Kenya Forest Service staff, Water Resource Management Authority (WRMA) staff, National Environmental Monitoring Association (NEMA) staff, CBO representatives, NGO representatives, and KWS sector wardens.

At the initial stages UNOPS was the contact agency in the UN, however IFAD later took on the supervision role. Regular supervision missions were carried out by IFAD, GEF and steering committee members. An independent mid term review was carried out in 2010[15].

MKEPP project reports include MKEPP-GEF activities and Outputs. However MKEPP-GEF also produced separate annual reports and work plans (See annex 3 for full list of reports).

1.3 Scope, Objectives and Methods for Evaluation

The objective of this Terminal Evaluation was to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation also assessed project performance and the implementation of planned project activities and planned Outputs against actual results. The evaluation synthesized lessons learned that may help in the design and implementation of future IFAD GEF initiatives and in the new Upper Tana Catchment Natural Resource Management Project (UTaNRMP). The evaluation focused on the following main questions/issues:

- Did the methodology of the **Mount Kenya East Pilot Project for Natural Resource Management** project contribute to IFAD's ENRM Policy and Climate Change Strategy[16]?
- What were the linkages/synergies achieved between the GEF component and the parent MKEPP project.
- A review of GIS facilities, products and operational procedures developed by the project.

Methods

The Terminal Evaluation was carried out by a team of two evaluators with experience in social science, natural resource management and GIS (see Annex 9 for CVs).

The evaluation used a participatory mixed-methods approach, including a desk review of project documents, field visits to the project site, face to face, phone and email interviews with project and IFAD staff and key project stakeholders. A Review of Outcomes to Impacts analysis (ROtI) was carried out during the desk review and shared with IFAD and project staff prior to the field visit. The ROtI was used in discussion of project achievements with the project Monitoring and Evaluation

[15] Carried out by LOG consultants, Nairobi

[16] http://www.ifad.org/climate/policy/enrm_e.pdf
http://www.ifad.org/climate/strategy/e.pdf

Officer. The IFAD-Regional Climate and Environmental Specialist (RCE) and the Kenya Country Director (CD), key representatives of the Executing Agencies and other relevant staff were kept informed and consulted throughout the evaluation. See Annex 3 for list of people and documents consulted during the evaluation.

2 PROJECT PERFORMANCE AND IMPACT

The success of project implementation is rated on a scale from 'highly unsatisfactory' to 'highly satisfactory' (see ratings table above).

2.1 Section A: Attainment of Objectives and Planned Results

2.1.1 Effectiveness

The achievement of activities and Outputs are described in detail in Section F.

Key Outputs achieved by the project are: -

- Infrastructure development and training of KWS and KFS staff, community members and other key stakeholders to build capacity to manage the park more effectively and respond faster to crises.
- Development of an overall Ecosystem management plans, tourism development plan and a number of Forest and Water management plans (4 and 2) at the community level.
- 86.9 kilometres of fence constructed to protect communities from wildlife. Strategy for fence maintenance developed.
- Rehabilitation of research station at Kingongo, training of a staff member and provision of equipment to enable environmental monitoring of the Mt Kenya ecosystem.
- Baseline biodiversity survey in NP and NR[17]. Some data collection on human/wildlife conflict and fire incidence.
- Training and support to community income generation activities.
- Rehabilitation of 1965 hectares of degraded forest with indigenous trees and an additional 633 hectares of plantations with exotic species.

Due to constraints in planning, implementation and budgeting (discussed in Sections G and H), a number of **critical Outputs were not achieved**:

- Full function of Mweiga research station, development of targeted indicators and collection of data needed to support decision making and measure project Outputs and outcomes (e.g. impact of fence on elephant movement)[18]
- Several key Outputs concerned with mainstreaming role of KWS in watershed management and monitoring.
- Development of strategy document for wildlife corridors.
- Full fencing of community/forest boundary (project target was 397 km)
- Some support to KWS (construction of fire towers, bridges, purchase of mountain rescue equipment).
- Completion of carbon sequestration survey.[19]

[17] Biodiversity Assessment Mount Kenya 2009.
[18] See GIS report Annex 5
[19] The evaluators were told that this survey was underway but have been unable to see any evidence. Therefore our conclusion is that the study did not play a useful role in this project, though we hope it

The project Outputs, which were achieved, have led to a number of important positive **outcomes**:

- Communities supported by the project are adopting new income generating activities, which allow them to diversify their income sources and reduce dependence on forest products[20].
- A significant improvement in relations between KFS, KWS and communities resulting in joint planning and implementation of forest management, wildlife and fire control in the areas where the project worked[21].
- Community members in project areas are more aware of conservation issues and positive about conservation activities[22].
- KWS capacity to manage the protected area and respond effectively and rapidly to fire and human wildlife conflict has improved [23]
- Poaching and logging by local community members have reduced[24].
- Households are more secure and able to farm successfully in areas where wildlife fences have been constructed[25]
- Two Water/River User associations have been formed and have initiated water catchment protection activities.
- KWS NP warden using Ecosystem Management plan and GIS data on tourist sites to guide planning and tourism development.
- 43 Community groups have adopted Village Loan and Savings Associations (VLSAs) to finance new enterprises[26].

As the project Outputs are consistent with current government policy and stakeholder strategies, it is likely that they will continue to be up scaled in the coming years leading to the following **positive impacts**: -

- Integrated planning, management and monitoring of Mt Kenya's protected areas (both forest and water resources).
- Increased areas under forest cover.
- Reduced levels of fire and human/wildlife conflict.
- Improved livelihoods and food security of households adjacent to Mt Kenya.

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will be completed and used for future planning and monitoring activities by the Mt Kenya Monitoring Unit.

[20] Pers comm: community members met by evaluation team, case study 'success story reports', Participatory impact assessments. Annual reports. See Annex 8 for numbers of people trained in IGAs.

[21] Pers comm: project staff, KWS and KFS staff members, NGO representatives and MoWI PSC member. Data on fire and human/wildlife conflict analysed by Kingongo.

[22] Pers comm community members, Kagaita, Gathiuru, Gachiege, Mariara and Kenya East CFA, KWS and KFS staff members. Participatory impact assessment reports.

[23] Pers comm Senior warden. Also supported by reduction in fire and human wildlife conflict and by increasing revenues.

[24] The joint patrols have had great impacts in the ecosystem. Notable one being the increased collaboration between the key stakeholders; KFS and KWS and other stakeholders including Bill Woodley trust. The number of illegal activities has reduced considerably following the patrols and the arrests made. (Annual report 2011 – 2012 p 18)

[25] Pers comm: community members Kangaita. '*Most of the communities that were initially engaged in illegal logging as a source of livelihood are involved in forest rehabilitation and are able to earn a living from the proceeds from seedlings, earnings from casual labour in site preparation, weeding and sales of farm produce'* Annual report 2011 – 12 p 18

[26] Monitoring reports on VSLA groups (43 groups).

All these will contribute to the project's overall goal of productive, equitable and sustainable use of resources in the Mt Kenya Ecosystem.

A number of **global environmental benefits** have already been recorded: -

- Increased forest cover.
- Integrated management of protected area.
- Reduction of pressure on forest resources through livelihood diversification and on-farm tree planting.
- Environmental data collection that form a baseline for future assessments.
- Conservation of carbon stocks in forest through enhancement of carbon sequestration.

Unfortunately many of these benefits and project outcomes have not been quantified, as adequate environmental monitoring is not yet in place.

Constraints to up scaling Outcomes

A number of factors threaten to undermine the up scaling of current outcomes to a wider impact: -

- The Mt Kenya Ecosystem Management plan has not yet been endorsed at the national level. Final consensus on this plan is essential to up scaling the project's achievements in integrated planning at the ecosystem level[27] (See Section D).

- The delay in development of the Mt Kenya monitoring unit at Mweiga research station means that essential data and resources (such as maps) are not yet available to support integrated planning, management, monitoring and impact assessment.[28] (See discussion of GIS unit in Annex 5)

- Conflicting mandates and policies of the key institutions create inconsistencies in integrated planning (see section B).

The evaluators believe that these constraints are delays rather than permanent barriers to progress towards positive outcomes and impact.

Overall the evaluation team feel that, if the above constraints are addressed, the achievement of the project's goal and environmental objectives are likely (see Annex 8).

Would these outcomes have happened without the project intervention?

The general feeling of those consulted was that project activities were aligned with existing national and local plans and strategies – so nothing new - but that the project allowed these plans to be achieved more quickly than would have happened otherwise. Project stakeholders talked of GEF '*boosting our activities'*, '*easing the process'* and '*fast tracking' action.*[29]

[27] Pers comm: KWS head office staff, project staff, NGO representative.
[28] Pers comm: project staff, NGO representative, community members (no community groups visited were using maps for planning or monitoring).
[29] Pers comm: Community forest association member, WRMA staff and KWS staff.

This 'fast tracking' of planned activities in the National Park and Forest Reserve was essential to enable positive outcomes from the MKEPP project in the lower parts of the catchment.

The overall rating for project effectiveness is Moderately Satisfactory

2.1.2 Relevance

The project is relevant to the following GEF strategic priorities: -

Table 2 Project Contribution to GEF's strategic priorities and goal.

GEF's strategic priority/goals	Project contribution
Land degradation. Relevant objectives *Maintain or improve a sustainable flow of agro-ecosystem services to sustaining the livelihoods of local communities* *Generate sustainable flows of forest ecosystem services in arid, semi-arid, and sub humid zones, including sustaining livelihoods of forest-dependent people* *Reduce pressures on natural resources from competing land uses in the wider landscape* *Increased capacity to apply adaptive management tools in SLM.*	Ecosystem management plan for Mt Kenya ecosystem. Community level management of forest and water resources aligned with broader ecosystem management plan. Development of income generating activities to reduce pressure on forest resources.
Biodiversity. Relevant objectives: *Improve the sustainability of protected area systems.* *Mainstream biodiversity conservation and sustainable use into production landscapes/seascapes and sectors.*	Baseline studies to allow on-going monitoring of biodiversity. Local monitoring will feed into national monitoring system, which will help Kenya monitor its adherence to international obligations. [30] Biodiversity conservation mainstreamed in Ecosystem management plan. Forest rehabilitation.
Climate change Relevant objective: *Objective 5: promote conservation and enhancement of carbon stock through sustainable management of land use, land use change and forestry.*	Reforestation. Protection of existing forest (the single largest block of indigenous forests in Kenya[31])

[30] Pers comm Sunya Orre, Ministry of Environment. See Section E

[31] Project appraisal report p 3

Sustainable Forest management. Relevant objectives. Multiple environmental benefits from improved management of all types of forests *Effective provisioning of forest ecosystem services* *Strengthened livelihoods of people dependant on the use of forest resources.* *Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services.* *Strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities.*	Support to livelihood diversification and income generation activities. Community forest management plans. Forest rehabilitation.

The overall rating for project relevance is Highly Satisfactory

2.1.3 Efficiency

The project maximised its efficiency in the following ways: -

- The project was implemented through an existing institution, KWS, and made use of existing office structures and staff. This reduced costs of recruiting, relocation, orientation etc.

- At community level the project worked with existing community groups again benefiting from building on existing structures and drawing on existing knowledge and experience.

- The project used the Training of Trainers (TOT) approach to upscale the benefits of training activities. The VSLAs, for example, have grown extremely rapidly in the last year (from 6 to 43) thanks to the work of community trainers[32]. The TOT approach was also used to share the learning gained in a Mountain rescue course (held in Austria) with a wider group[33].

- The project was co-financed by KWS (staff costs) and project beneficiaries (labour), and also leveraged financed from local NGOs and donor organisations[34] (see section J).

A number of constraints to project efficiency were observed:

[32] The VSLA groups have increased from 6 to 43 (717%) with a membership of 1085 (40% men, 60% women) and a total saving of 1,536,065, and a loaning rate of 84%. 2011 – 2012 Annual Report p 8

[33] Pers comm Senior Warden Mt Kenya National Park

[34] Mt Kenya Trust Fund, GTZ, Green Belt Movement, Tree planting days e.g. Kenya Army, GEF Small Grants – supporting Beneficiaries trained in Leadership, business plans preparation etc., World Bank NRM – grants to community organisations.

- Key project staff and key stakeholders were frequently transferred during the project life.[35] This undermined the benefits of training and led to loss of institutional memory and delays in Output delivery. However, as those transferred remain within KFS and KWS, their skills have contributed to the broader capacity of these organisations and may have contributed to the project's catalytic effect in other areas (see Section C).

- Insufficient use was made of the highly experienced KWS HQ GIS team to guide the development of the GIS unit at Mweiga research station[36].

- The evaluators also observed that there was a double layer of supervision and evaluation, which took up project staff time while adding limited value. For example this evaluation mission followed two weeks after an external mission commissioned to prepare the project completion report. An in depth supervision report in September 2010 was followed by the Mid Term Review in December of the same year[37].

Overall the rating for project efficiency is Moderately Satisfactory

The overall rating for Attainment of Objectives and Planned Results is Moderately Satisfactory.

2.2 Section B Sustainability

This section examines the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. It assesses the key conditions or factors that are likely to contribute to or undermine the persistence of benefits after the project ends.

The sustainability of the project has been enhanced by the use of existing structures and staff and by the fact that the project was closely aligned with the goals of the key stakeholders. At the end of the project there is no change in institutional arrangements for implementation of the activities initiated and supported by the project. The sustainability of each project component was discussed and actioned at an end of project exit strategy meeting[38].

2.2.1 Financial Sustainability

The table below summarises follow up funding for activities initiated by the project and capital resources.

Table 3 Future source of finance for Project activities.

Activity/Item	Source of finance

[35] [35] Key staff transferred during the project life include the project manager, community warden, Senior Warden (3 during project life), KFS zonal managers, rangers, research scientist and wardens (for example warden in Meru was transferred four times).

[36] The Mweiga unit could have increased its efficiency with no additional resources if the team had the experience, knowledge to draw on the many free resources available e.g. free software, use of MSc students for specific studies, accessing data from other institutions (see annex 5).

[37] The MTR does not refer to the supervision report.

[38] Environment component exit strategy meeting August 2012

KWS infrastructure	Maintenance of this will now be included in the KWS annual budget.[39]
Fence building	KES 100 million already committed by GOK[40]. On-going support for fence building by Rhino Trust. UTaNRMP to support the construction of a further 90 km of fence.[41]
Fence maintenance	This has been agreed in the Fence Strategy document. Primary source of funding will be provided by the community with additional finance and technical support provided by KWS and KFS.
Community management plans.	Some support available from GEF small grants. UTaNRMP will continue to support Community forest associations.
Community Income generation activities	Activities are being funded through on-going sale of seedlings and (in some areas) the Plantation Establishment Livelihood Support System (PELIS). VSLA schemes promoted by the project provide a sustainable savings and credit instrument for community groups. Grants have been provided by the World Banks Natural Resource Management project. UTaNRMP will continue to support these activities.
Water management plans	The GOK provides funds to Water Resource Users Associations through the Water Service Trust Fund (WSTF). The International Small Group Tree Planting Program (TIST) has supported tree planting along waterways. UTaNRMP will continue to support these activities.
Mweiga Research station	KWS

Additional Financing opportunities.

- Developing the tourism strategy may raise additional revenue from Mt Kenya National Park. Revenue has already increased in the past three years[42].
- Carbon funding which is being explored by organisations such as KWS. Green water credits (GWC) and Pro-poor Rewards for Environmental Services in Africa (PRESA) are being piloted in Mt. Kenya region under MKEPP/ UTaNRMP.
- Community forest management plans include plans for income generation such as eco lodges, water bottling.
- KFS may generate some additional income through sustainable harvesting of plantations.
- Private sector support (PPP)

[39] Pers comm Mr. Arum, KWS Senior Project Accountant.
[40] Pers comm Jane Musundi Ministry of Finance
[41] UTaNRMP Project design report p 5
[42] Data analysed by Mt Kenya Monitoring Unit.

Areas of concern
It is unclear what level of finance can be provided by KWS to maintain the Mt Kenya Monitoring unit at Mweiga research station and whether this will be sufficient for it to play a role in coordinating data collection for all stakeholders in the Mt Kenya ecosystem. This is a priority to ensure positive national and global impacts are achieved, and in fact should be the responsibility not only of KWS but also of other stakeholders. (See recommendation on further funding for the station).

Fence maintenance has been a problem in the past. There is on-going debate about who should pay for this activity[43]. It is important that the success of the maintenance strategy is carefully monitored.

A large part of the financial sustainability of the project's outcomes depends on the on going commitment of resources by GoK mainly through KWS and KFS. This is likely to occur as the government is committed to the conservation of the country's water towers.

The overall rating for financial sustainability is Moderately Satisfactory to Satisfactory.

2.2.2 Socio-political Sustainability

One of the most important positive outcomes of the project has been improved relations between KFS, KWS and community members. KWS and KFS staff interviewed by the evaluators told us that they now understand that community buy in is a prerequisite to successful conservation and that they are committed to maintaining the partnerships developed during the project life. The joint planning mechanisms and relations developed appear likely to endure beyond the project life.

A constraint to socio-political sustainability is the fact that the Mt Kenya Ecosystem Management plan, a key document to guide integrated planning and management, has not yet been endorsed by the KWS and KFS. The evaluator's impression is that there is support for the plan and that stakeholders at the local level are using it and that the lack of agreement is at the national level[44]. Local stakeholders expressed frustration that they were not able to move forward with using the plan.

It may be because it is not yet endorsed, that the Mt Kenya Ecosystem Management Plan is not referred to in the design of the Upper Tana Catchment Natural Resource Management Project (UTaNRMP). As UTaNRMP plans to follow an ecosystem approach, it is important that its draws from and does duplicate or contradict the current management plan.[45]. (See Recommendations).

The evaluation rating for socio-political sustainability is Moderately Satisfactory.

Institutional Framework
The project was closely aligned to government institutional arrangements. In fact forthcoming changes under the new constitution such as a proposed merging of

[43] Pers comm: Senior Warden Mt Kenya NP, Community members Kangaita.
[44] Pers comm: KWS staff, NGO staff, MoWI.
[45] A member of the UTaNRMP design team informed us that the plan was consulted but could not be referenced in the design document as it is not yet endorsed (pers comm Stakeholder meeting Oct 29th).

ministries responsible for Environment and Natural resources and the formation of the Land Commission should further strengthen the project's outcomes.

The government's on-going commitment to community-based management is clear in the constitution. As one interviewee put it *"Many institutional structures may change in the next year, but the community plans remain as they are and will form the basis of planning"*[46].

In addition the training and resources provided by the project to KWS, KFS, communities and other stakeholders has increased their capacity to continue to implement the activities initiated or supported by the project.

Concerns

As noted above, the evaluators are concerned that the planning framework developed by the project with other key stakeholders, Mt Kenya Ecosystem Management Plan, is not referred to in the UTaNRMP. [47](See Recommendations).

The evaluators noted that certain project outcomes are being undermined due to lack of agreement between key government actors. For example there is a need for MOUs to be signed to between KWS and WRMA to agree on the sharing of water data for overall Ecosystem management.

As integrated management plans were developed, the project identified areas where policies created by different Ministries are in conflict. For example the Water Act, Forest Act, Wildlife Act and NEMA legislation all have different penalties for poaching and logging activities[48]. The legality of community-based plans is also a concern[49]. Unless developed and gazetted within the enabling and institutional framework of the Physical Planning Act, 1996, these plans lack legal effect and are not binding upon third parties[49]. The provisions of the Act apply to all parts of and any land (government, trustland, private) in the country, except such areas as the Minister may by notice specify. The administration, preparation and implementation of physical development planning are vested mainly in the office of the Director of Physical Planning. Community-based plans would therefore fall under Regional Physical Development Plans, which are prepared to cover the area of jurisdiction of a County Council. In Kenya a County Council's area of jurisdiction is the same as a provincial administration district so these plans are actually district physical development plans.[50] Unless harmonised, conflicts in policy or overlapping roles could undermine the successful implementation of the Ecosystem management framework and community plans[51].

[46] Sunya Orre, Ministry of Environment

[47] The evaluators were informed that the document was consulted when the UTaNRMP project was designed. However it could not be specifically referred to as it was not endorsed. The fact that it is not explicitly referred to may lead to it being ignored in project implementation which is a serious concern.

[48] Pers comm project manager, MWEKON staff member. Concern raised in supervision mission report of March 2012 Harold Liversage et al.

[49] These concerns are discussed in detail in the African Wildlife Foundations review of the implications of the Physical Planning act in Samburu and Kilimanjaro (Gitahi 2007)

[50] The Missing Link: Spatial Information required in the preparation and implementation of Physical Development Plans in Kenya (Mairura Omwenga, 2001)

[51] A critical analysis of policy and institutional frameworks for sustainable wildlife resource management in East Africa notes that" It is imperative that trusteeship bestowed on the state is clearly

The double gazettement of the protected forest area to KWS and KFS can also lead to confusions over responsibilities.

The project lacked a method of feeding back these findings to the relevant Ministries and was not able to address these conflicting policies during the project life.[52]
The rating for institutional sustainability is Moderately Satisfactory.

2.2.3 Environmental Sustainability

All the project activities have been designed to contribute to the environmental sustainability of the Mt Kenya ecosystem.

In addition, the Ecosystem management approach, adopted by the project, ensures that environmental sustainability is mainstreamed into all planning activities. The project commissioned an environmental audit of its activities[53].

A number of concerns were noted by the evaluation team: -

- The construction of the fence may lead to negative environmental impacts in the forest as animal populations are enclosed. Careful monitoring of elephant populations and further development of corridors (at present there are two corridors on Meru and Lewa sides of the reserve) is needed to reduce environmental damage as fencing continues.
- The evaluators were informed that a strategy for wildlife corridors is being developed at the national level with government funding. However the evaluators did not see any concrete progress for the Mt Kenya area. They observed that encroachment of the historical wildlife corridors is threatening to prevent the future movement of elephants from the park[54]. (See Recommendations).
- Commercial poaching continues to be a major problem in Mt Kenya National Park as it is in other areas of Kenya.
- Without a fully functioning environmental monitoring unit it will not be possible to monitor the park status and ensure environmental sustainability.

The rating for environmental sustainability is Moderately Satisfactory.

The overall rating for sustainability is Moderately Satisfactory.

2.3 Section C Catalytic Role and Replication

The project has played a catalytic role in the following ways: -

1. Foundational (enabling activities focusing on policy, regulatory frameworks, national priority setting and relevant capacity).

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mapped out to ensure that the integrity of the resources is maintained. Examples from Kenya show how an unclear trusteeship can result in the conversion of public resources into private resources without recourse to the public" p 13 (IELRC working paper 2005)

[52] Pers comm MKEPP- GEF Project Manager

[53] Environmental Audit for MKEPP activities 2012

[54] Due to location of IDP camp in Solio ranch (now becoming permanent) in major corridor between Mt Kenya and Laikipia (observed by evaluators).

Catalytic Activity	Details
Capacity building for key stakeholders has enabled them to seek funding for further activities.	KWS is using the fire management strategy to seek funding, Community Forest Associations and Water User's Associations supported by the project are seeking funding from GEF small grants and NRM for proposed activities.

There are important lessons for policy makers from implementation of forest management plans (e.g. areas where harmonisation is needed). These lessons need to be shared with key policy actors (See section B, Lessons and Recommendations).

2. Demonstration[55]

Catalytic Activity	Details
A number of project activities are relevant to similar projects in other locations[56]:	• Use of VSLAs to finance income generating activities • Use of TOT approach with local trainers to upscale new skills rapidly and at low cost. • Commercial approach to conservation (communities producing seedlings, PELIS, forest management plans which include income generating opportunities) • Extending training activities to porters and guides. • Participatory monitoring and evaluation and success story writing by communities. • Business planning and strategic planning by communities • Environmental conservation as a business concept and linkage of conservation to livelihood improvement

3. Investment

Catalytic Activity	Details
The project has catalysed further investment into key activities	• Rhino Ark, UTaNRMP and GOK have committed funds for the completion of wildlife barriers.[57] • GTZ, Greenbelt movement and

[55] Some of these activities have been used elsewhere but are innovative in this context.
[56] Project team, supervision report 2012 and assessment of M&E report.
[57] As mentioned earlier GOK have committed 100 million shillings. UTANRMP have committed to construct 90 km. Rhino Ark have already fence 12 km. Their goal to fence 400km which will be done using fundraising including the annual Rhino charge. http://www.rhinoark.org/news/65-mtkenya-fence-update-another-10kms-built.html

	Kenyan Army have invested in forest rehabilitation.

4. Institutional change

Catalytic Activity	**Details**
Building stakeholder relationships.	Significant improvement in relationships between KWS, KFS and the community.
Increased use of monitoring and evaluation tools	The only externally sourced member of the project team was a monitoring and evaluation officer. Having seen the benefits of the M&E activities, KWS has now decided to hire an in house M&E specialist[58].
Ecosystem approach.	KWS has broadened its mandate to extend to ecoservice provision (rather than just wildlife protection). KWS have now adopted the ecosystem approach to planning in other location (Arabuko Sokoke Forest and Shimba hills)[59].

The rating for Catalytic Role and Replication is Satisfactory

2.4 Section D Stakeholder Participation/Public Awareness

2.4.1 Identification and Engagement of Stakeholders in Project planning

During the two-year design phase, the project design team consulted with a wide number of stakeholders at the national and local level.[60] Nevertheless it appears that not all stakeholders were included. The evaluation team was told that many stakeholders did not know what the project was about and that much time was spent in explaining and winning people over to the project[61]. Another project team member noted that new stakeholders kept appearing during the project life and that on going 'stakeholder analysis' would have been useful (see lessons)

Given their important role in forest management, the KFS was given a very limited role in the initial project design[62]. This may have been due to the fact that KFS did not have parastatal status at that time and was a Government department so could not take a lead role as implementer.[63]

The evaluators found no evidence of engagement with the private sector organisations such as lodges, tea factories and timber merchants (though the project does work with

[58] Pers comm: KWS resource mobilization officer

[59] Pers comm. KWS resource mobilization officer.

[60] Project brief p 30

[61] *"Design of the project should have been more inclusive and participatory as opposed to the way it was done with some implementers coming on board when the project is rolling out. It took us almost one year sensitizing people on what the project was all about.* Project manager. Pers comm: NGO member.

[62] KFS are not mentioned in the list of implementing organisations, Project Brief p 32

[63] Pers comm: KWS staff member involved in project design.

COMPACT, an organisation with representation from private sector actors around Mt Kenya). Increased participation of the private sector could enhance the financial sustainability of the project.

2.4.2 Collaboration between stakeholders during project implementation.

The PSC (shared with the MKEPP loan project) consisted of representatives from the Ministries[64] of Water and Irrigation, Livestock Development, Finance, Gender, Children and Social Development and Agriculture as well as representatives from KWS, KFS and NEMA (GEF focal point at that time[65]) and the Provincial Commissioner, Eastern Province.

While the core Project Coordination Unit consisted of KWS staff only, a Project Implementation Team (PIT) met regularly and was responsible for developing AWPBs. This team included representation from KFS, WRMA, NEMA as well as Community Forest Associations.

Many stakeholders interviewed felt the greatest impact of the project had been to change relationships between KWS, KFS and community members. As one NGO community trainer put it "*most of the community members testified that initially they viewed KWS as bullies but currently they enjoy their company"*

Gender has been carefully monitored by the project[66]. There has been a good balance of participation by men and women (and also activities targeted for young people) in the project.

Stakeholders interviewed by the team appeared to be well informed and engaged in project activities. The only exception being the development of the Mt Kenya Ecosystem plan. The representative of a NGO coordinating body said stakeholders were not sure what was happening with this plan and that this was frustrating.

The evaluation team noted a weakness in implementation came from the fact that the KWS ecosystems and landscape department were involved in project design, but not in implementation. The lack of a knowledgeable champion of GIS meant that this aspect of the project was not emphasised and failed to be integrated as planned into all project activities (see Annex 5 on GIS).

The evaluators noted that there is no documentation or analysis of stakeholder relations in Annual Reports or planning documents.

2.4.3 Public awareness activities.

Learning has been shared between communities adjacent to Mount Kenya through community exchange visits (421 community members) and through the TOT approach. Some Community Forest Associations supported by the project have also

[64] The number of ministries changed during the project life. This list is taken from the final steering committee meeting.
[65] The GEF focal point is now in the Ministry of Environment.
[66] Reporting on training and workshops includes a breakdown of gender.

shared their experience through writing success stories. These were printed as bulletins and shared with stakeholders[67].

A very informative DVD on the project's activities has been produced and circulated to stakeholders. It merits wider distribution (see Recommendations).

The evaluators did not identify any further outputs e.g. maps, plans which could be useful to stakeholders[68]. The exit strategy meeting agreed that information on the Mweiga research station database should be shared through the MKEPP or KWS websites. This has not yet been done. (See recommendation).

The rating for Stakeholder Participation is Moderately Satisfactory.

2.5 Section E Country Ownership/Drivenness

Mt Kenya is one of the country's 5 'water towers' and its conservation is of high priority to the Nation.

This project goal and activities are closely aligned to and relevant to the following national development and environmental agendas[69]. The project's activities strongly complemented and enhanced the outcomes of the MKEPP loan project (see introduction).

Government legislation

- **The Constitution**
- **Vision 2030**
- Wildlife Conservation and Management Act (1989)
- Environmental Management and Coordination Act (1999)
- Poverty Reduction Strategy Paper (2001)
- Water Act (2002)
- Economic Recovery Strategy (2003)
- Forest Act (2005)

Environmental Treaties

Convention on Biological Diversity
The RAMSAR Convention (on Wetlands of International Importance)
Convention on International Trade in Endangered Species (CITES)
Millennium Development Goals

The Outputs of the Mt Kenya Ecosystem database (if effectively developed) will feed into the revised National Integrated Monitoring and Evaluation System (NIMES) to

[67] Three 'conservation as business' bulletins have been printed, of which the evaluators saw 2. Three more are in press (Pers comm Kephas Okach). The print run is 100 copies.
[68] The project team tell us that maps have been produced, but evaluators have not been shown any. Therefore we must conclude that, even if produced, they are not in use.
[69] See Project Brief 2006 for in depth discussion of the relevance to each of these.

be developed under the new constitution. This will include indicators of biodiversity and environmental health and will be housed in the Ministry of State for Planning.[70] However this will only occur if there is commitment to ensure the Mt Kenya Environmental Monitoring Unit at Mweiga research station functions effectively (see Section F and Annex 5)

The rating for Country Ownership/Drivenness is Satisfactory.

[70] Pers comm Mr Sunya Orre, Ministry of Environment. See www.planning.go.ke

2.6 Section F Achievement of Outputs and Activities

See ROtI analysis in Annex 8 for review of outcome to impacts

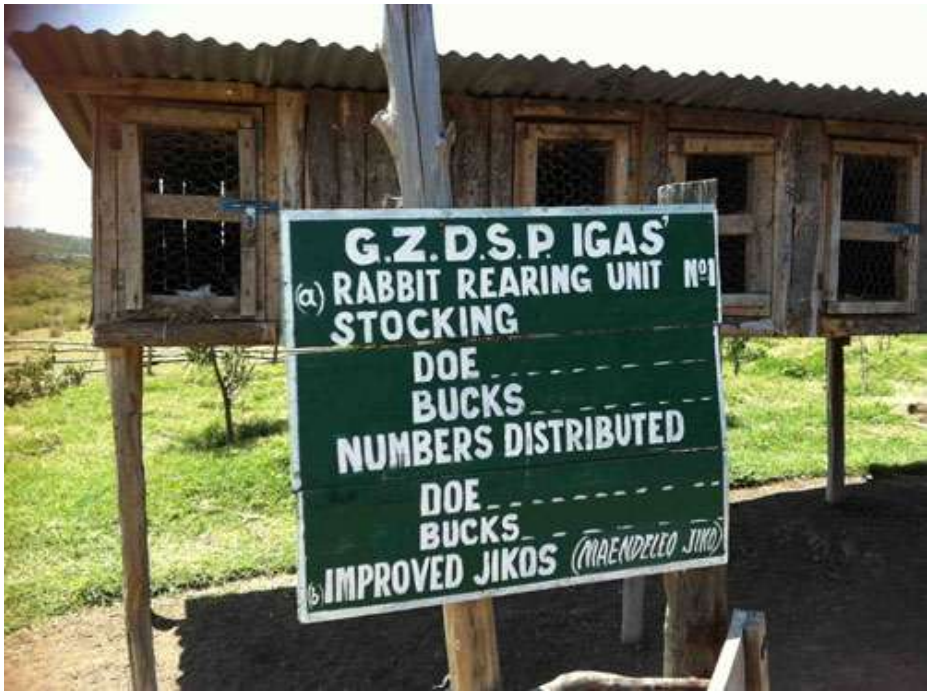
The following photographs (courtesy of illustrate some of the project's outputs observed by the evaluation team on their field visit. A full inventory of outputs achieved and evaluators' observations is given in Table 4 below.

KFS, KWS staff and community members with wildlife barrier.

Community Tree Nursery

CFA members at forest rehabilitation site

WRUA member inspects water inspection point.



New income generating activities take pressure off forest products.

Potato planting and young trees at PELIS site

Income generating opportunities through taxi service to PELIS sites and sale of potatoes from PELIS plots.

Table 4 Project Outputs Achieved

Project Output[71]	**Quantity/Quality**[72]	**Evaluators' Observations**
1. Enhance role of stakeholders in watershed management and improve the monitoring system in upper catchments.	**Outputs achieved: -** **Integrated Planning.** Support to 2 communities to form water resource user associations (WRUAs) and develop sub catchment management plans. Training and awareness raising for 113 people. **Training** Research Scientist received MSc training in Integrated Water Resource Management. **Data collection** Survey of abstraction points in Gachiege. Some data collection and sharing with WRMA e.g. rainfall data from KWS, KFS and tea factories. **Not achieved: -** Development of decision support tools.[73] Collection and sharing of data needed for decision making Support to WRUAs (tours and training). Training of staff on watershed management and river basin management.	In general this Output was under achieved. This was noted in the MTR where it was recommended that consultants be brought in to support the research scientist. However this did not occur.[74] The view of the project team was that WRMA was now taking on the role formerly envisaged for KWS. This needs to be clarified (see Recommendations).

[71] These Outputs are taken from the MKEPP-GEF log frame which the evaluators received from IFAD. It is the same as the log frame used in the Final Annual report except that in this Output 3 (sustainable livelihoods) reads 'Reduction in Human Wildlife conflict rather than Sustainable livelihoods.

[72] From final annual report (cumulative achievement) and Annex 6 Budget and final spend.

[73] From appraisal report, decision support tools defined as tools to evaluate river water availability for allocation and to ensure that abstractions are consistent with allocation decisions (p 19). Project manager noted that with the formation of WRMA this project Output might no longer be relevant.

[74] The final (2011 – 12) Annual report notes *'The achievements in the component are minimal mainly owing to limited institutional capacity and poor governance. P8*

Project Output[71]	**Quantity/Quality**[72]	**Evaluators' Observations**
2. Enhance effective ecosystem management in Mt Kenya National Park and Forest Reserve.	**Outputs achieved: -** **Integrated Planning** Forest management plans developed in 4 locations[75]. Mt Kenya Ecosystem Management plan revised (including tourism plan). Tourism sites in Mt Kenya mapped. Fire management plan developed. Joint park patrols. **Forest Rehabilitation** 1965 hectares of indigenous forest rehabilitated (need evidence). 633 hectares of plantation (under PELIS system) with 80% survival (need evidence). **Data Collection**[76] Research station rehabilitated and GIS equipment installed. Data on tourist numbers collected. Some fire data collected and analysed. Some human wildlife conflict data collected and analysed. Biodiversity surveys carried out (3 of 6 transects). EIA study of fence. Environmental audit of project activities. Carbon sequestration study initiated. **Training** Training needs assessment carried out in 2008[77].	Evidence of extent of fire and extent of forest rehabilitation is needed through spatial visualisation. The project used KFS' PELIS approach and purchased seedlings from community nurseries, which provided short-term financial benefits to community members. This was very successful though community members were disappointed when the demand for their seedlings came to an end and there were few new market opportunities. Some activities relating to the GIS unit were under budget and were not fully achieved e.g. biodiversity survey (under budget and achieved only 3 of 6 transects), GIS unit (under budget) and computers of inadequate specifications.

[75] Ontulili, Chehe, Irangi and Kathendeni
[76] See annex 5 on GIS unit
[77] TNA report 2008

Project Output[71]	**Quantity/Quality**[72]	**Evaluators' Observations**
	73 DEC members trained in environmental governance. 13 KWS officers trained in strategic management and development. Training of 49 staff in eco-system management and monitoring. 64 officers trained in participatory methodologies. 5 KWS officers trained in project planning and management. 64 officers trained in participatory methodologies. 5 KWS and KFS admin secretaries trained. 46 implementing staff trained in financial and procurement management. 16 rangers and officers trained in fire management. 10 administrative secretaries trained. 413 porters/guides trained in mountain rescue techniques. 1769 community members trained in participatory forest management. 410 community members trained in nursery management. 91 KFS and KWS rangers trained in ecology. 173 community members trained in fire management. Mountain rescue team (6 people) trained in Austria 10 KWS drivers trained in defensive driving skills. 27 officers (from KWS, KFS, NEMA and WRMA) trained in GIS (target was 5). **Infrastructure Development** Radio communication in place – 1 set serving all of Mt Kenya Park and Reserve. Infrastructure at KWS offices around park improved (housing, hydroelectric power to 3 gates, vehicles 4 (2 land cruisers and 2 double cabs), ambulance, computers – 6 desktops and 11 laptops, 2 outposts rehabilitated). Road rehabilitation 20 km. Fire fighting equipment purchased.	

Project Output[71]	**Quantity/Quality**[72]	**Evaluators' Observations**
	5 Motor cycles purchased for ecological monitoring officers (KWS and KFS) Water bowsers purchased (target was 8) Some mountain rescue equipment purchased (alpine tents, camping equipment, sleeping bags). **Not achieved (evaluators unable to find evidence)** Community training in participatory methodologies and conflict resolution. Staff training in Environmental impact assessment, and conflict resolution. Spatial mapping of fire incidents and extent. Environmental database not fully developed.[78] Carbon sequestration study has been carried but not yet completed.[79] Biodiversity survey not fully implemented due to budgetary constraints. Research outpost on Mt Kenya. Construction of fire towers Purchase of power saws (decided this was not appropriate). Construction of bridges. Purchase of some mountain rescue equipment.	
3. Sustainable rural livelihoods improved.	**Outputs achieved** **Human wildlife conflict reduction** 86.9 kilometres of fence built (target was 397). 424 community members trained in barrier maintenance.	Area of fence built was reduced from 397 km because of a change in the fence design from that used when project was designed (from 2 strand to

[78] This Output is not mentioned in the log frame see discussion in section I
[79] Evaluators have been shown some data but the report is still outstanding.

Project Output[71]	**Quantity/Quality**[72]	**Evaluators' Observations**
	Fence management committees involved in barrier establishment and maintenance Fence strategy management plan developed (but not yet endorsed). **Fire management** **Livelihood improvement and diversification** 3318 community members trained in income generating activities. 410 community members trained in community nursery management. **Data Collection** Data on human/wildlife conflict collected and analysed (2000 – 2010) but not spatially mapped. Training in energy saving devices (complemented distribution of energy saving jikos by COMPACT) Workshops on rural finance for community members. **Not achieved or only partially achieved.** Spatial analysis of conflict to assess impact of fence. Strategy document on development of wildlife corridors. Full fencing. Data collection: changes in elephant population and behaviour. Though baseline is available from the biodiversity survey. Support to community projects on NRM (budgeted for 88,991 but 10,518 USD spent on this item). This budget was transferred to be spent on community Income Generating activities (see above).	6 strand) and also inflation. Monitoring of impact of fence has not been carried out because construction of fence was delayed. Lack of spatial mapping of human wildlife conflict data lessens its usefulness. Support to NRM activities at community level was only partially done.
4. Community empowerment	**Outputs achieved** **Training/capacity building** Project worked with 331 groups spread over the 18 forest stations in the Mt Kenya ecosystem. 127 groups in 10 CFAs developed management capacity through	

Project Output[71]	Quantity/Quality[72]	Evaluators' Observations
	use of PIA and octagon tools 522 community members trained in proposal writing. 1593 community members receive community training in group dynamics, leadership and HIV/Aids and Gender mainstreaming. 421 community members participate in community exchange tours. Communities supported to develop forest management plans. **Microfinance** Village savings and loan schemes introduced in 43 community groups in 5 Community Forest associations.	
5. Effective implementation of GEF activities in National Park and reserve	**Outputs achieved** KWS infrastructure and resources improved (see above) Mweiga research station rehabilitated and supplied with GIS equipment. Training provided to key personnel in implementing institutions. Data collection to support management decisions initiated. Environmental impact assessment of fence. Environmental audit of project activities **Not achieved** GIS unit function constrained by lack of human capacity, low technical specifications and lack of software[80]. Lack of a strong spatial data infrastructure. Insufficient resource allocation[81]	

[80] Free GIS software could have been used.
[81] See annex 5 on GIS

Many of the project's Outputs were achieved successfully. However due to the budgeting problems which led to many activities being dropped and to the fact that the GIS system was not fully functioning by the end of the project the **overall rating for achievement of Outputs and Activities is Moderately Satisfactory.**

2.7 Section G Project Preparation and Readiness

GEF provided a grant for project preparation which enabled considerable research and consultation to be carried out. The project was carefully considered and designed to complement and enhance the outcomes of the larger MKEPP loan project. As discussed in sections A, E and L, the project Outputs are highly relevant to national, GEF and IFAD priorities.

In the opinion of the evaluators, the choice of KWS as an implementing agency was a good one, as it enabled rapid implementation (most staff were in place) and increased the sustainability of the project's activities. The design of the project also ensured that it was closely aligned with the priorities of the implementing agency, KWS, allowing the project to run seamlessly alongside KWS' other activities in the protected areas.

However, there were a number of shortcomings in project design, which have created problems in project implementation.

Insufficient Stakeholder and Institutional analysis
Though many stakeholders were consulted during the project preparation periods, consultation was not preceded by a thorough stakeholder analysis. This resulted in errors in design, and in a lack of ownership and understanding of the project and involvement by some key actors such as the private sector[82] (See section D). Though institutional analysis was carried out, it did not identify some significant conflicts in policy and overlapping mandates (see section B).[83]

Project Budget
The project budget was not adequate to finance the planned Outputs. As discussed in section J the cost of the actual fence was much higher than the cost estimated in the project design. At that time the fence design was for a two-strand fence, this was later revised to the current 6-strand design. The budget shortfall was also due to the unexpectedly high rate of inflation. As a result several key Outputs had to be dropped (see sections A and F).

Project Log Frame and Design Documents.
These documents are confusing and have made project management more complex than it needed to be.

Complications arose from the following: -

- Several different versions of log frame with different outputs and indicators. In some cases MKEPP and MKEPP-GEF are merged.
- No budget allocation for Community Empowerment output

[82] Pers comm Project manager, NGO partner. Did not specify which actors.
[83] Pers comm: Concern by Bill Woodley trust that community plans can be overridden by the Ministry of Planning.

- Monitoring of biophysical information to measure global benefits is outlined in the project brief but not itemised in the log frame (see section I). These items were not implemented and this may be due to the failure to include them specifically in the log frame.

See Annex 10 for a comparison of different planning and management documents.

The lack of clarity in the log frames caused confusion in implementation and makes attribution of project outputs and outcomes difficult. (See section H.).

Overall rating for project preparation is Moderately Unsatisfactory.

2.8 Section H - Implementation Approach and Adaptive Management.

The project management structure is described in the Introduction to this report.

While the Project Coordination Unit (PCU) consisted of KWS members only (Core project team and chaired by the Senior Warden of Mt Kenya National Park), the Project Implementation Team (PIT) was a multi stakeholder group that worked together to develop the annual work plan and budget. The project manager noted that this group also *"played an important role in dispute resolution and was key in unlocking contentious decisions that the PCU couldn't resolve*". It appears to have played an important role in building stakeholder participation in, and ownership of, the project activities.

The PSC was shared by MKEPP and MKEPP-GEF. It met regularly (29 meetings over project life), and from the PSC minutes appears committed and active[84]. PSC members regularly participated in supervision missions.

The project worked closely with community organisations and an important outcome of the project was the realisation by KWS staff that working with the community, and striving to use a business approach is the key to successful conservation.[85] The project worked with KFS' PELIS approach and purchased seedlings from community run tree nurseries to create short-term benefits from longer-term conservation activities[86].

The Project Manager noted that the 'ecosystem approach' to planning worked well at the community level[87]. This integrated approach revealed a number of areas where

[84] Evaluators saw 7 supervision reports.
[85] Pers comm: senior warden.
[86] The PELIS system has been developed by KFS to provide a win win approach to plantation management. Households from communities adjacent to the forest reserve are invited to cultivate crops for three years after tree seedlings are planted on condition that tree survival remains high. The approach has been extremely successful both in terms of tree survival and livelihood benefits to community members. KFS now plans to roll it out to other forest reserves.
[87] "*the use of the ecosystem approach in selection of project implementation sites ensured that project implementation was based on habitat rather than administrative variables. This approach has ensured sustainability of the project interventions post project and enhanced ecological integrity as scope of project interventions is based on sound scientific approach that enhances ecological connectivity."* Project manager

the policies of different ministries were in conflict (see Section B). There were important policy issues raised by the work. However, the project did not make attempts to share these lessons with policy makers.

The project team made efforts to mainstream gender awareness in all project activities. The team noted that the high participation of women (and of youth) in the project contributed to the overall high levels of attitude change in communities.[88] The project also made efforts to include discussion of HIV and AIDs in the community training activities and felt that this increased the relevance of their work[89].

An NGO member who worked closely with the project noted "*the project team was particularly hard working and committed, often working overtime and on the weekends*". This was also the evaluation team's impression when it joined the team in the field.

The team developed some innovative responses to constraints experienced during project implementation. Adaptive management strategies observed were: -
Pre-financing by KWS to reduce the impact of delays in disbursement.
Development of VSLAs to provide seed money for community IGAs (as these were not budgeted for in the project)
Use of TOT approach to upscale community training activities[90].

Regular supervision missions were carried out over the project life(see section K). See Annex 7 for summary of MTR Recommendations and action taken.

2.8.1 Constraints to Implementation

Insufficient input from landscape and ecosystem and GIS staff.
As mentioned earlier, the KWS landscape and ecosystem staff were involved in project design but not in implementation (Section D and G). This reduced the quality of implementation on the scientific/data collection aspects of the project. For example the development of the GIS unit was so delayed that it was not able to provide data to plan and monitor project impact[91]. The National Museums of Kenya team who came in to do the biodiversity assessment felt that their needs were not properly understood and their activity was underfunded. As a result they were only able to carry out 3 of the planned 6 transects.[92]

Integration with MKEPP
While integration with MKEPP was largely satisfactory, some minor problems were noted by the project team:

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[88] Pers comm project manager
[89] *The incorporation of HIV and AIDS in natural resources management was invaluable to the project. Households in all the project sites are affected by HIV and AIDS thus affecting the utilization and management of natural resources. The project introduced a HIV and AIDS programme that enlightened communities on the subject and it's effects on households and ultimately Natural resources. "* Project manager
[90] Monitoring of VSLA training shows better results when local trainers are used. (See monitoring reports).
[91] Pers comm Project manager
[92] Pers comm. National Museum of Kenya staff.

- Different financial management systems (MKEPP used the KWS SUN system) created extra work for the financial manager
- Different allowances between the project and the various ministries created resentment (allowances were later harmonised to reduce this problem).
- The log frame which was sometimes combined and sometimes not (see Annex 10) caused confusion and problems with attribution of responsibility and outcomes.

Problems caused by project design
Issues with the log frame (described in section G and Annex 10) caused problems in clearly understanding the Outputs of the MKEPP-GEF project. As discussed in the M&E section (section I) the failure to integrate the GIS element of the project is in part due to the fact that its Outputs are not specified within either the MKEPP or the MKEPP-GEF log frame. The evaluators were often confused by the multiple log frames and felt that project staff were also confused about what did or did not fall under MKEPP-GEF's mandate.

Inadequate documentation, reflection and analysis to enable learning and adaptive management.
Most of the information obtained by the evaluators on project implementation and particularly on adaptive management was derived from discussion with project staff and stakeholders and has not been documented. More documentation, reflection and analysis of monitoring data during the project life would have helped the project management team be more aware of its strengths, weaknesses and opportunities and to take timely action. Though changes to activities and budgets did occur, they are not documented or explained in any of the annual reports.

Neither did the supervision missions identify critical issues such as the fact that the development of a baseline for impact monitoring was seriously behind track. Radical changes in activities e.g. the reduction of wildlife barriers from 397 to 86km are not explained in either the annual reports or the supervision reports.

Frequent transfers of key staff.
This is discussed in Section A.

Delays in Procurement
This problem appears to be unavoidable as the project followed standard government practices.

Overall rating for implementation is Moderately Satisfactory

2.9 Section I Monitoring and Evaluation

This section assesses the quality, application and effectiveness of project monitoring and evaluation plans and tools and risk management.

2.9.1 M&E Design[93]

2.9.1.1 SMARTness[94] of indicators

The MKEPP log frame in the Project Brief includes a small number of indicators relevant to GEF's key Outputs (these are further expanded – with addition of specific activities, in the GEF log frame shown in Annex 4)

Indicators in MKEPP log frame and Monitoring and Evaluation Indicators for Project Components Table (both in 2006 Project brief):

Key Indicators

From MKEPP Log Frame and Annex 8: Monitoring and Evaluation Indicators for Project Components (both in Project Brief 2006).

1. Water resources and planning.

Indicators in Log Frame:-

1.1.1More water storage in upper catchments and better water management with stable

or increasing flows downstream during the dry season

1.1.2 Functioning and regularly updated water resources database

1.1.3 Approved water abstractions in NP&R in line with hydrological assessments

From Annex 8:-

1 set of guidelines for improved resource allocation

1 document outlining decision support tools developed.

2. Environmental conservation

Indicators in Log Frame

2.1.1 Surface of non-protected areas sustainably rehabilitated

2.1.2 Canopy cover and distribution of forests

2.1.3 Frequency and impact of disturbances in protected areas

2.1.4 Reduced human/wildlife conflicts

2.1.5 Kms of road embankments planted

2.1.6 Equitable benefits to communities

2.1.7 Time spent on proactive rather than reactive activities

2.1.8 M&E and other data/information coordinated, collated, disseminated

From Annex 8

Replanted 2800 ha of degraded forest area, 1950 ha of indigenous forests and 850 ha plantation forest and ensure 90% survival of planted seedlings, thus rehabilitate degraded protected area.

85% reduction in frequency of illegal activities.50% reduction in area affected by wildfire. Approximately 397 km of wildlife barriers installed and maintained.

Six operational forest-specific management strategic plans developed and implemented.

Mweiga research station strengthened for ecosystem monitoring.

1 research outpost established.

3. Rural livelihoods

3.1.4 Reduction of human/wildlife conflict over land

(this output is not mentioned in Annex 8)

Indicators in Log Frame

[93] From Project brief 2006 and GEF log frame provided to evaluation team – see Annex 4

[94] Indicators should be Specific, Measurable, Attainable, Relevant and Time bound

3.1.1 Increased crop yields, soil nutrients and fertility
3.1.2 No and types of materials, No of groups reached
3.1.3 Farm and off-farm IGAs promoted, in reduced and reduced livestock mortality
3.1.4 Increased household incomes due to processing of farm produce at farm level
3.1.5 Frequency and impact of animal incursions into farmlands
3.1.6 Reduction in number of animals/people killed or injured because of conflict

4. Community empowerment

Indicators in Log frame:
4.1.1 Increased number of functional grassroots organisations
4.1.2 Improved service delivery
Annex 8:
No indicator

5. Project management

Indicators in Log frame
5.1.1 PMU established and actually managing activities in agricultural areas
5.1.2 KWS strengthened and actually managing activities

In addition, the project brief notes that GEF funds would be used to support the development of a **comprehensive research and impact monitoring programme** relative to assessing the local, national and global impacts of interventions in the Mount Kenya ecosystem.

Indicators for research and impact monitoring programme would be developed by the project to review trends and changes in: -

Ecological indicators

- Sustainable allocation and use of water resources
- Forest diversity, rehabilitation, protection and management
- Soil condition and management
- Carbon sequestration
- Impact of wildlife barriers on wildlife populations and habitat

Socio-economic indicators

- Number of communities and members (by gender) actively involved in project activities
- Communities involved in and maintaining project initiated income-generating activities.
- Proportion of income from non farm sources, farm profits, income per capita
- Adoption of improved soil and water management practices
- Crop productivity, food security and livelihoods.

These indicator domains are described in the text but are not included in the either of the log frames.

The indicators included in the MKEPP log frames are SMART with the exception of the indicator: '*benefits enhanced by 50%*' which cannot be measured without socioeconomic surveys, which are not included or budgeted for.

The collection of baseline data was required in order to develop specific indicators and initiate monitoring for the comprehensive research and impact-monitoring programme.

The M&E design is silent on learning and knowledge management (MKEPP's M&E Learning and KM Assessment (2012).

2.9.1.2 Adequacy of Baseline Information

Baseline information for the indicators given in the log frame on human/wildlife conflict, fire, logging and poaching are available from KWS and KFS records. Inserting this data into the GIS to give a spatial representation of occurrence would make this data more useful[95]. A time series analysis of satellite imagery was carried out in 1999 to assess levels of land degradation in the forest. However the evaluation team was not able to see this.

Baseline information on the indicators for comprehensive research and impact monitoring programme were not available at the time that the project began and was to be collected by the project. In practice this data was not collected in time to be used by the project to monitor its outcomes and impact.

2.9.1.3 Arrangements for Monitoring and Implementation

The project brief stated that monitoring would be conducted with all project partners using participatory approaches. Monitoring of more technical issues e.g. carbon sequestration (and baseline surveys) would be contracted out as required.

Internal evaluation used to assess progress towards achieving log frame Outputs and targets would be carried out by the PCU and reported annually.
A mid term evaluation would be conducted two years after project implementation.
The project would hire a Monitoring and Evaluation (M&E) specialist to assist in the design and implementation of the monitoring programme.

Indicators for the comprehensive research and impact monitoring programme were to be developed in a participatory manner by the project.

It was envisaged that the Mweiga research station would play a central role in coordinating the monitoring of these activities and availing them to the project coordination unit and other stakeholders.

2.9.1.4 Arrangements for Evaluation

The project brief states that an external mid-term evaluation should be carried out after two years of project implementation. As discussed below, the project ended up having a double layer of supervision which was a waste of staff time and resources.

Overall rating for M&E design is Moderately Satisfactory

2.9.2 M&E Plan Implementation

As planned, an M&E specialist was hired for the project. This individual worked closely with the MKEPP M&E evaluation team and received support from IFAD in the form of regular regional and national workshops[96] with other IFAD M&E staff[97]. KWS also funded training at the Kenya Institute of Administration.

[95] See Annex 5 on GIS
[96] Annual knowledge management workshop.
[97] Pers comm: Kephas Okach

As planned a number of technical studies were contracted out: -
Biodiversity baseline – National Museum of Kenya.
Carbon sequestration study – KEFRI (not yet completed).
Effectiveness of Wildlife Barriers - Nairobi University

Mweiga research station was rehabilitated and equipped with GIS tools (see annex 5 on GIS). A GIS technician joined the team in 2010. He received training in remote sensing by the project and has received several other trainings from KWS. The review of the GIS system notes that the equipment is below the specifications needed for the operation of the monitoring unit and that the unit was understaffed (2 GIS trained officers are needed to manage the unit).[98]

The following tools were used for monitoring and learning: -

- Monitoring registers (Management Information System) (collecting data on project assets, contracts, trainings and other activities, groups activities). (Excel based, designed by IFAD).
- Financial and Physical MIS (AWPB, expenditures). (IFAD tool).
- IFAD Results and Impacts Management System (RIMS). Used for reporting to IFAD.
- MIS for VSLA
- An annual report is submitted (monitors specific indicators for all IFAD projects).
- Participatory Impact Assessment by community groups. (since 2009)
- Octagon group self-evaluation tool by community groups. (since 2009)
- Supervision mission. (IFAD and PSC)
- Monitoring team missions (PCU with heads of conservancies, Assistant Director) – quarterly
- Steering committee meetings.
- Periodic reporting (Annual reports).
- Development of Mount Kenya Conservation Area Database.

While **knowledge management activities** were not specifically mentioned in the project design, a number of activities were undertaken by the project: -

- Community exchange visits
- Documentation and circulation of case studies
- Participation of stakeholders in Project Implementation Team meetings where findings of studies were shared and discussed.
- Annual project workshops.
- Use of participatory tools for monitoring, which encourage reflection and learning by stakeholders.
- Documentary
- Use of TOTs

2.9.2.1 Monitoring of Project Performance

The project annual reports focus mainly on achievement of activities: number of people trained, items purchased etc. In the last two years of the project (and

[98] Annual reports show that 10 staff members were trained in GIS. However only one of these is working with the GIS unit.

following Recommendations from the MTR, see Annex 7) there was greater focus on Outputs and outcomes with a number of impact assessment studies carried out[99]: -

- Assessment of appropriateness to local conditions, uptake, replicability and profitability of technologies transferred under MKEPP's livelihood component (2011)
- Assessment of the effectiveness of project's training and sensitizations in the Mount Kenya East Pilot for Natural Resource Management Project 2011
- Impact of Wildlife Barriers
- Environmental Audit for MKEPP activities.

In the final two years of the project, participatory impact assessments and Octagon tools were used by communities to monitor outcomes and impacts of project activities. Case studies were also collected and shared.

Monitoring activities are summarized hereunder, against the initial indicators in the Project Brief (log frame and annex 8 on evaluation).

Table 5 – Monitoring activities carried out by the project

Key Indicators From MKEPP Log Frame and Annex 8: Monitoring and Evaluation Indicators for Project Components (both in Project Brief 2006).	**Impact assessment methods recommended.**	**Methods used by the project**
1. Water resources and planning.		
Indicators in Log Frame 1.1.1More water storage in upper catchments and better water management with stable or increasing flows downstream during the dry season 1.1.2 Functioning and regularly updated water resources database *1.1.3* Approved water abstractions in NP&R in line with hydrological assessments From Annex 8 1 set of guidelines for improved resource allocation 1 document outlining decision support tools developed.	River gauging records DWO reports Water resource plans Guidelines	No output, no data collected.
2. Environmental conservation GEF output: *2.1.4 Improved ecosystem management capacity by all stakeholders* *2.1.5 Improved capacity of KWS for research, monitoring and information management*		
Indicators in Log Frame	Remote sensing	Baseline data 2002 (aerial

[99] As recommended in the MTR (2010)

Key Indicators From MKEPP Log Frame and Annex 8: Monitoring and Evaluation Indicators for Project Components (both in Project Brief 2006).	**Impact assessment methods recommended.**	**Methods used by the project**
2.1.1 Surface of non-protected areas sustainably rehabilitated 2.1.2 Canopy cover and distribution of forests 2.1.3 Frequency and impact of disturbances in protected areas 2.1.4 Reduced human/wildlife conflicts 2.1.5 Kms of road embankments planted 2.1.6 Equitable benefits to communities 2.1.7 Time spent on proactive rather than reactive activities 2.1.8 M&E and other data/information coordinated, collated, disseminated From Annex 8 Replanted 2800 ha of degraded forest area, 1950 ha of indigenous forests and 850 ha plantation forest and ensure 90% survival of planted seedlings, thus rehabilitate degraded protected area. 85% reduction in frequency of illegal activities. 50% reduction in area affected by wildfire. Approximately 397 km of wildlife barriers installed and maintained. Six operational forest-specific management strategic plans developed and implemented. Mweiga research station strengthened for ecosystem monitoring. 1 research outpost established.	Reports and field surveys PMU reports CBO surveys Occurrence reports Aerial surveys HH surveys Baseline and end of project survey of elephant population and habitat. Mweiga research station reports	survey). (not seen by evaluators). Areas measured by project. Reports and field surveys Occurrence reports HH surveys (MKEPP) Baseline survey of elephant population and habitat.
3. Rural livelihoods *3.1.4 Reduction of human/wildlife conflict over land* *(this output is not mentioned in Annex 8)*		
Indicators in Log Frame	Reports, KWS monitoring of	Some baseline data on

Key Indicators From MKEPP Log Frame and Annex 8: Monitoring and Evaluation Indicators for Project Components (both in Project Brief 2006).	**Impact assessment methods recommended.**	**Methods used by the project**
3.1.1 Increased crop yields, soil nutrients and fertility 3.1.2 No and types of materials, No of groups reached 3.1.3 Farm and off-farm IGAs promoted, in reduced and reduced livestock mortality 3.1.4 Increased household incomes due to processing of farm produce at farm level 3.1.5 Frequency and impact of animal incursions into farmlands 3.1.6 Reduction in number of animals/people killed or injured because of conflict	wildlife populations and incidence reports	household incomes collected by MKEPP. Monitored by project and documented in Annual reports. Human wildlife conflict monitored by KWS (no spatial mapping)
4. Community empowerment No GEF output in Log frame.		
Indicators in Log frame: 4.1.1 Increased number of functional Grassroots organisations 4.1.2 Improved service delivery Annex 8: No indicator		Some baseline data on household incomes collected by MKEPP. Monitored by project and documented in Annual reports.
5. Project management No GEF output in Logframe.		
Indicators in Log frame 5.1.1 PMU established and actually managing activities in agricultural areas 5.1.2 KWS strengthened and actually managing activities	Progress reports submitted on time	Reports.

There was considerable information collected on project progress. What was not done, however, was to use the information collected for learning. As mentioned in Section H, annual reports list outputs achieved and make no mention of the bigger picture – critical changes in budget, transfers of funds to new activities, delays in the critical impact monitoring output etc. (see Annex 10).

2.9.2.2 Comprehensive Research and Impact Monitoring Programme

This element of M&E got off to a late start and is not mentioned in the first two annual reports. The 2009 – 10 report mentions that the biodiversity study has been completed. The carbon assessment was first mentioned in the 2010 – 2011 report and was not completed by the end of the project.

Overall there is little mention of this aspect of M&E in project annual reports. This may be due to the fact that the activities and indicators are not specified in the log frame and were forgotten between project design and implementation (see section G). The evaluators were informed that indicators for data collection were revised with stakeholders but have not seen these new indicators. The activity is not recorded in the annual reports.

As a result this aspect of M&E has been less than envisaged in the project design. Activities are summarized in the table below, under the initial indicators listed in the Project Brief.

Table 6 Monitoring activities, Research and Impact Monitoring Programme

Indicator Domains	**Monitoring activity**
Ecological indicators domains:	
Sustainable allocation and use of water resources	Baseline: Mapping of allocation in Gachiege (but no report yet). Some baseline information in MKEPP baseline study. Impact Assessment: assessment of broader MKEPP area in Impact Assessment Study June 2012.
Forest diversity, rehabilitation, protection and management	Baseline: Mt Kenya Forest Biodiversity Assessment 2009 (3 of 6 transects). Monitoring: total area rehabilitated by project measured. Aerial surveys/satellite data needed to assess overall condition.
Soil condition and management	No data collected.
Carbon sequestration	Baseline: study by KEFRI. Not complete at time of project closure.
Impact of wildlife barriers on wildlife populations and habitat	Baseline: KWS reporting on human/wildlife conflict. (but not seen and no mapping) Monitoring: Effectiveness of Wildlife Barriers around Mt Kenya Forest Ecosystem July 2011
Socio economic indicators	
Number of communities and members (by gender) actively involved in project activities	Information collected by M&E officer
Communities involved in and maintaining project initiated income-generating activities.	Information collected by M&E officer and through participatory monitoring and impact assessment activities.
Proportion of income from non farm sources, farm profits, income per capita	Some baseline data from main MKEPP areas[100]. Impact: Overall impact discussed in Impact Assessment Study June 2012. Not disaggregated for GEF area.
Adoption of improved soil and water management practices	Some baseline data from main MKEPP areas[101]. Impact: Overall impact discussed in Impact Assessment Study June 2012. Not disaggregated

[100] Baseline survey report for the base year 2005. Volume 1 p 90
[101] Baseline survey report for the base year 2005. Volume 1 p 90

	for GEF area.
Crop productivity, food security and livelihoods.	Some baseline data from main MKEPP areas[102]. Impact: Overall impact discussed in Impact Assessment Study June 2012. Not disaggregated for GEF area.

In summary, baseline data has been only partially collected. Environmental monitoring is not up and running nor is the role of Mweiga research station fully developed.

2.9.2.3 Mid Term Review

A project mid term review was carried in 2010. The MTR raised large number of recommendations and the project responded to most of these (see Annex 7).

Important issues identified and responded to by the project team include:

- Need to find funding to complete the fence. The project succeeded in obtaining funding from Rhino Ark, UTaNRMP and GOK to continue this.
- Further development of monitoring tools to ensure gender equity.
- The need for market linkages for IGAs was raised and some attempts were made by the project to do so.
- Need to scale up lessons. The project responded by documenting and sharing success stories and through the production of a DVD.
- Need for impact studies: several studies were carried out.
- Need to harmonise allowances for project staff and associates.

Issues which the project did not respond to:

- Concerns over water development component. The MTR recognized that this was behind schedule and recommended that the research receive support in completing the Outputs. This was not done and as discussed in section F, the Outputs were not full achieved.
- The MTR observed that project had taken no action on developing a strategy document for the proposed corridor. This was not done. The evaluators were informed that this is because the activity is being carried out with government funding at the National level.[103]

The evaluators noted that some critical issues were NOT raised in the MTR: -

- Constraints to the launch of the Mt Kenya ecosystem management plan
- Implications of the delay in developing the GIS system[104].
- Anomalies in project planning and budgeting.

2.9.2.4 Supervision Missions

The evaluators noted that as for the MTR, some critical issues were not identified in the supervision missions. This is discussed further in Section K.

A positive outcome of the M&E activity is that KWS has appreciated the benefits of

[102] Baseline survey report for the base year 2005. Volume 1 p 90

[103] Pers comm Edwin Wanyonyi, KWS but not documented in any project reports.

[104] In page 13 the MTR states that "Overall, the Environmental Conservation Component has been implemented successfully."

having an M&E specialist on the team and have decided to recruit a permanent M&E officer.

Overall rating for Implementation of M&E Moderately Unsatisfactory

2.9.3 Budgeting and Funding for M& E activities

The actual spend on M&E was 30,906.11 (see annex 6) while the original budget was for 80,947.45). Several items mentioned in the environmental monitoring plan e.g. aerial surveys did not occur. Whether they were cut due to lack of budget or because they were forgotten (because not specifically mentioned in the log frame) is not clear. As mentioned in section H, there is no discussion of these changes in the Annual Reports. Other items, which were originally contracted out, were carried out by the M&E officer and funded from implementation costs.

Overall rating for Budgeting and Funding of M&E activities Moderately Satisfactory.

Overall rating for M&E is Moderately Satisfactory.

2.10 Section J Financial Planning and Control

This section assesses the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime.

The project grant was for US % 4.7 million. In addition the project received the following co-financing (information from Project Brief 2006 and Project Financial officer).

Table 7 Summary Of Project Financing (excluding IFAD financing)

Financing (Type/Source)	GEF Grant (mill US$)		GOK (mill US$)		Beneficiary Contribution (mill US$)		Total Disbursement (mill US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	**4.7**	**4.7**	Nil	Nil	Nil	Nil	**4.7**	**4.7**
In-kind /cash support	**Nil**	**Nil**	**1.82**	**0.813**	**2.51**	**0.341**	**4.33**	**1.154**
Totals	**4.7**	**4.7**	**1.82**	**0.813**	**2.51**	**0.341**	**9.03**	**5.855**

As the table above shows, GOK and Community contributions were much lower than envisaged in project design. The overall government contribution amounted to KES 62,861,675.19 (US$ 814,798.12) being 45% of the expected government contribution. Government contributions comprised of tax exemptions on procurements, salaries paid to Government employees overseeing the implementation of the project, use of government vehicles and government halls. There is no indication that these were not provided therefore the lower contribution than anticipated may be due to underreporting of the government contribution in the project budget or to overestimating costs in the initial budget.

The cumulative Community contribution amounted to KES 26,283,983.40 (US$ 340,686.75) being 14% of the expected amount by end of the project. The Communities contributed mainly through hand tools used in the implementation, provisions of seedlings and provision of labour services during the forest rehabilitation and protection. This may have been lower than expected because of the reduced length of wildlife barrier construction. Other community contribution e.g. time spent in meetings, training and planning activities has also not been valued.

The failure to achieve all project outputs was not due to the lower contribution by government and community because these activities came under the GEF budget.

In addition the project leveraged finance and support from the following organisations:
Mt Kenya Trust Fund: Joint patrols
GIZ and Greenbelt Movement, Kenyan Army: Forest rehabilitation
GEF small grants: Funding to community groups to implement forest management plans.
World Bank Natural Resource Management project: Funding for community income generating activities.

Financial planning and control systems
The PIT developed the AWPB during an annual work plan and budget workshop. The AWPB was then endorsed by the PSC.

Once agreed a withdrawal application was sent to the Ministry of Finance (via the line ministry) and forwarded to IFAD for replenishment of the project account. The PCU, assisted by the MKEPP PMU oversaw the implementation of activities following the approved AWPB.

Project finances were managed using two databases. KWS uses the 'Sun System'. The project accountant also used the financial database developed by the main MKEPP project. The two databases were synchronised.

Financial audits: internal (by KWS) and external (by Kenya National Audit Office) were carried out at the end of each financial year.

Expenditure was monitored by the IFAD finance officer on annual supervision missions. The IFAD finance officer was satisfied with the performance of the project.[105]

Problems experienced
The project experienced some constraints in implementation due to delays in disbursement of funds by IFAD[106]. The situation improved with IFAD decentralised financial management which allowed withdrawal applications to be reviewed in

[105] pers comm Hellen Kilonzo
[106] See detailed breakdown of this in the Project completion report p 10

country. Introduction of the Withdrawal Application Tracking system (WATS) made it easier to follow the process. Project members also received capacity building on preparation of SOEs (Statement of Expenditure) and withdrawal applications and shared experience through regional workshops with other IFAD projects and financial thematic meetings

Delays in disbursement were managed by prefinancing of project activities by KWS. However, this should not create a precedent for future projects as diverting finance to the project may have taken essential finances from another area of KWS's work.[107]

Table 8 Use of Grant Finance compared to Budget

Category	**Grant amount (from 2006 grant document) in US$**	**Final expenditure (obtained from finance officer October 5th 2012)**
1. Civil works	1,350, 000	1,470,000
2. Vehicles, equipment and Material	730,000	730,000
3. Training, studies and workshops	880,000	1,100,000
4. National Technical Assistance	270,000	420,000
5. International Technical Assistance	180,000	0
6. Operating Costs and Allowances	400,000	440,000
7. Unskilled labour	260,000	390,000
8. Unallocated	330,000	7,150
9. Supervision fee	300,000	37,850
10. Implementation support		105,000
Total Grant	**4,700,000**	**4,700,000**

A full breakdown, by individual activity, is given in Annex 6.

A major change from planned to actual spending was the reduction of the wildlife barrier construction from the proposed 397 km to 86 km. The budget was based on a cost of US$1,701 per km of fencing. The actual cost per km was US$5,861. This was due to a change in fence design from a two strand to a more appropriate eight-strand fence.

The support budget was also cut when IFAD took on the project support role. The budget for international technical assistance was not used, while the budget for national technical assistance was just over double the amount budgeted. Allocation of budget to training activities changed during the project life and in response to the training needs assessment carried out in 2008 and to strategic goals set by communities.

[107] pers comm. Jane Musundi, Treasury

As a result of the reduced budget and the need to prioritise, the following activities were significantly under budgeted or dropped: -

- Watershed management training, support to WRUAs and decision-making tools.
- Support to community NRM management (US$78,473 under budget).
- Procurement of security equipment. (Due to lack of availability of equipment and cost limitations)
- Establishment of monitoring stations in Mount Kenya (stations have been installed by WRMA).
- Development of a strategy for wildlife migration corridors.
- Biodiversity survey (only 3 of 6 transects done)
- Equipping of GIS unit: computers not up to specifications.

According to the project team, the budget was revised in December 2009 and August 2011. However the evaluators have been unable to find little documentation of budget changes or discussion of why these were necessary in any of the documents they received[108].

Some budgetary anomalies remained unresolved throughout the project life. For example the annual reports shows that no budget was allocated to the community empowerment output/component during the project life and that spending for this component was carried out using the human/wildlife conflict budget (see Annex 10). This is confusing and unhelpful. Clear documentation of budgetary issues and proposed revisions would improve project accountability.

Overall rating for financial planning and control is Moderately Satisfactory.

2.11 Section K IFAD Supervision and Backstopping

The MKEPP project was initially supervised by UNOPS. Shortly after the initiation of the MKEPP-GEF project, IFAD took over direct supervision. Evaluators have not been able to obtain any information on the quality of the UNOPS supervision or why it was decided to change to IFAD supervision.

IFAD supervision was carried out through supervision visits[109] and through regular communication between the IFAD Country Programme Manager and the project team.

Project managers reported that IFAD supervision and backstopping was extremely useful[110].

[108] Evaluators have been shown a letter agreeing a revision of funds allocation in Aug 2011. But no documented explanation of the revision has been found.

[109] evaluators have documentation of 6 visits

[110] *The supervision from PSC and IFAD firstly UNOPS was key as it set the team always on track and there was flexibility in change of activities that were not yielding results. The backstopping, capacity building in various aspects, networking out of country with other IFAD projects was also helpful in project implementation. (First project manager).*

Mission support was tremendously useful centrally because they painted a snapshot of the project, finances, progress, status and postulations. It was during these missions that Recommendations on moving forward were mooted, proposed studies were advised and even salary adjustments were

However, the evaluators note that many critical issues were not identified or addressed by these missions. For example the 2010 supervision mission notes that the expenditure and disbursement levels of the GEF grant are 'satisfactory'. It makes no mention of the fact that the budget is inadequate to achieve the activities specified in the project document. Nor does any supervision mission identify the fact that the critical environmental monitoring component of the project is not on track. [111]

Training and Workshops
In addition the project staff attended regular national and regional workshops with other IFAD project staff for training and information sharing. These included workshops on financial management, monitoring and evaluation and thematic workshops such as Rural Finance. Project staff found these trainings and opportunities to interact with other IFAD projects extremely useful. For example the project accountant told us he had learned a lot from presentation given by the projects with the best ratings for financial management. Important contacts were made which could be developed between meetings. For example M&E staff shared information through a blog site.

The only criticism of IFAD support by project stakeholders was that IFAD staff might have worked harder to involve GEF, and obtain GEF support for the scaling up of MKEPP into the UTaNRMP.

Rating for IFAD supervision and backstopping was Moderately Satisfactory

2.12 Section L Complementarity with IFAD strategies and policies

IFAD's overarching goal is: **enabling poor rural people to improve their food security and nutrition, raise their incomes and strengthen their resilience[112].**

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recommend for some staff. They were useful further in that aide memoirs were generated and assented to by the Permanent Secretary. (Second project manager).

[111] The supervision note of May/June 2012 notes that "*The GEF team has made great progress in developing the Mt Kenya database and has begun to populate it with a range of baseline data sets and ongoing survey work. As part of its ongoing work the team has achieved recognition within the region, with many organizations now using their facilities as a data repository. As part of the exit strategy for the GEF, project GIS outputs are now being shared electronically and stakeholders are now printing them themselves*". Evaluators did not find any evidence of use by other stakeholders of the data base (see Annex 5).

[112] This goal is underpinned by five strategic objectives:

- A natural resource and economic asset base for poor rural women and men that is more resilient to climate change, environmental degradation and market transformation;
- Access for poor rural women and men to services to reduce poverty, improve nutrition, raise incomes and build resilience in a changing environment;
- Poor rural women and men and their organizations able to manage profitable, sustainable and resilient farm and non-farm enterprises or take advantage of decent work opportunities;
- Poor rural women and men and their organizations able to influence policies and institutions that affect their livelihoods; and

The project contributed to this goal and strategic objectives in the following ways: -

- Creating a more sustainable resource and economic asset base through forest and water catchment protection and through protection from wildlife, livelihood diversification and PELIS scheme.
- Strengthening of community organisations enabling them to increasingly engage with policy and institutions that affect their livelihoods.
- Strong gender focus in all activities.
- Support to village level savings and loan schemes.

The project's Outputs and outcomes are also highly relevant to IFAD's Environment and Natural Resource Management policy whose aim is **to integrate sustainable management of natural assets across the activities of IFAD and its partners.**

Relevant outcomes are: -

- Ecosystem level management plan for Mt Kenya Ecosystem.
- Acknowledgement and development of multiple benefits from ecosystem use.
- Greater awareness of economic, social and cultural value of natural assets (in Mt Kenya Ecosystem plan and community forestry plans).
- Attention to risk (wildlife fence)
- Livelihood diversification
- Equality and empowerment of women

Further attention could be paid to:

- Working with value chains (see annex 8)
- Governance issues e.g. harmonization of policies[113]
- Increased access to environment and climate finance[114].

South South Cooperation

Project staff took part in workshops and trainings organized by IFAD throughout the project life. This allowed them to meet and network with IFAD staff in other countries and was deemed extremely useful by the project staff.[115]

Scaling Up

Like MKEPP, many of the MKEPP-GEF's activities have potential to be scaled up. While the Mt Kenya Ecosystem management plan applies to the whole mountain and forest ecosystem, there is more work to be done in broadening and up scaling community level forest plans, wildlife barrier development and management, income generation activities and financial services. The emerging Mt Kenya database also needs to be scaled up to collect and disseminate data to more stakeholders.

The ecosystem approach developed by MKEPP-GEF promotes planning at the landscape level. Adding MKEPP-GEF to the MKEPP project enhanced MKEPP's

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- Enabling institutional and policy environments to support agricultural production and the full range of related non-farm activities.

[113] See notes on institutional sustainability in section B

[114] See notes on financial sustainability in section B.

[115] Pers comm project M&E officer and project accountant.

work by enabling this broad planning vision. It is unfortunate that history appears to be repeating itself with the lack of inclusion of the protected areas in the UTaNRMP[116]. The evaluators suggest that IFAD's new policy should allow the inclusion of this area to allow the ecosystem approach to be continued (see Recommendations).

Overall rating Highly Satisfactory.

3 CONCLUSIONS AND RATINGS

This project is highly relevant to GEF, IFAD and national priorities (see sections A, E and L). The addition of MKEPP-GEF allowed MKEPP to adopt a holistic ecosystem approach critical to achieving its goal.

The project had strong linkages and synergies with MKEPP and the two project management teams appear to have worked well together. However, there were a number of constraints in implementation due to lack of clarity in the project log frames, different financial management systems and differences in staff allowances. (See section H).

The project was managed efficiently and the project team made considerable efforts to build partnership with key stakeholders (see section H). However, there were a number of constraints in implementation caused by

- Shortfalls in project design (see section G),
- Insufficient reflection and learning during project life (see Section H, I and K)
- Insufficient stakeholder analysis and involvement before and during project implementation (see section B)
- Lack of knowledge and capacity to develop the Mt Kenya Ecosystem monitoring unit (GIS) in the core team. (See section H)
- A high turnover of key project staff also undermined the project's ability to achieve its Outputs. (See section A)

Despite these constraints, the project achieved many of its Outputs (see section A, F and Annex 8) which have led to positive outcomes in the following areas: -

- Improved relationships between key stakeholders
- Reduced human/wildlife conflict and better control of fire in protected area.
- Development of integrated planning mechanisms for protected areas.
- Livelihood diversification, reducing pressure on protected areas.

A number of critical Outputs were not achieved. If not addressed they will threaten the sustainability of the project outcomes and the potential to achieve project impacts (see sections A and B): -

- Endorsement of Mt Kenya Ecosystem Management Plan by all stakeholders
- Full functioning and accessibility of Mt Kenya ecosystem monitoring Unit (Mweiga research station).
- Establishment of wildlife corridors.

[116] See UTaNRMP Draft report Jan 2012 Paragraph 50

The Output relating to water management was not achieved. The project team's impression is that, with the development of the Water Resource Management Authority the role of KWS changed and that aspects of this Output are no longer relevant. The future role of KWS and other key stakeholders in water management should be clarified.

The following activities are important to the sustainability of the project's positive outcomes and to the up scaling to achieving outcome: -

- Monitoring, maintenance and environmental impact of wildlife barriers
- Harmonisation of legislation regarding forest and water catchment management
- Monitoring and management of impact of fence on wildlife population
- The continuation of an integrated 'ecosystem' approach where activities in the protected and farming areas are linked.
- Sharing project lessons with stakeholders in the Mt Kenya ecosystem and more widely.

If these issues can be addressed (and they are all consistent with current government policy), the chances of achieving the project goal is considered highly likely and is given a AA+ rating in the Review of Outcomes to Impact Analysis (Annex 8)

The evaluators were asked to assess whether the methodology of MKEPP-GEF contributed to IFAD's ENRM policy and climate strategy. They conclude that the success of the ecosystem approach used by MKEPP-GEF is a good example of how this policy can be successfully implemented when working with small farmers.

Due to the constraints in implementation, delays in achieving some key Outputs and the outstanding constraints to up scaling the projects achievements the overall rating given is Moderately Satisfactory.

4 LESSONS TO BE LEARNED

1. Inclusion of the protected areas enabled MKEPP to adopt a holistic 'ecosystem' approach, which is likely to lead to more sustainable watershed management. (See Introduction and section E)

2. Working with existing institutions and groups increased the sustainability of project achievements. (See section B)

3. Involving community is the key to successful conservation (Section H)

4. Conservation is enhanced by using a business model and looking for win win options. E.g. PELIS (Section F and H). But important to use value chain approach to ensure market linkages.

5. The VSLA scheme provided a sustainable funding mechanism for community livelihood development. (Section C and H)

6. The ecosystem approach to planning is most appropriate for community based planning and reveals areas where harmonisation of policies is needed (see Section H).

7. Gender mainstreaming increased the effectiveness of the project in creating attitude change in the community (section H).

8. GIS must be developed and sufficient resources allocated at the start of the project to maximise its usefulness (see section H and annex 5)

9. The enthusiastic response of the Senior Warden to GIS training underlines the fact that GIS training for decision makers raises their awareness and increases the chances of this activity being supported and resourced.

10. Rapid transfer of government staff reduces project ability to deliver Outputs (see Sections A and H).

11. Institutional analysis in the project appraisal did not identify some significant conflicts in policy or overlapping mandates which to present a problem in project implementation. Lack of a policy influencing strategy in project design and implementation meant that these conflicts were not addressed and continue to undermine progress towards positive outcomes (See Section B, G, H).

12. Project achievements cannot be quantified without a working environmental monitoring system (section A and RoTI analysis appendix…)

13. Sharing a log frame between two projects creates problems in allocating responsibility and attributing success.

14. The project log frame must include all planned activities. When this does not occur, when different people are involved in design and implementation and when there are several versions of the log frame, as in the case of this project, implementation becomes more difficult and key activities can be dropped (see section G and H)

15. Insufficient stakeholder analysis in project design led to constraints to implementing integrated management. (See section D and G)

16. As baseline data was not collected before the project, development of monitoring indicators was delayed and some cases never achieved.

17. Insufficient documentation and reflection during the project life meant that issues which prevented the project maximising its positive outcomes (e.g.. monitoring unit, policy issues) were not addressed.

5 RECOMMENDATIONS

1. **KWS, KFS, UTaNRMP and IFAD should make efforts to disseminate the valuable lessons learned by the project and raise awareness of the resources available at Mweiga Research Station.**
   Activities which have been useful and are being scaled up by UTaNRMP, and should be considered for future GEF projects are: -

- Introduction of Village Savings and loans associations to finance income-generating activities.
- Use of local trainer and training of trainers approach to scale up community training and awareness raising activities.
- Business approach to conservation (financial benefits to community considered in design) e.g. PELIS and tree nurseries.
- Participatory monitoring and evaluation for community empowerment.
- Integrated ecosystem approach to planning.

   This can be done by wider circulation and showing of project bulletins and DVDS and by community exchange visits by the new UTaNRMP communities to the communities who have worked with MKEPP-GEF.

2. **KWS, KFS and other stakeholders should work together to develop the capacity of the Mt Kenya Ecosystem Monitoring unit (GIS unit) at Mweiga research station for ecosystem M&E and knowledge management for the Mt Kenya Ecosystem. This activity should be supported by UTaNRMP.**
   This unit has potential to provide critical data for decision making and monitoring to all stakeholders in the Mt Kenya ecosystem. It is therefore important that all stakeholders are involved in articulating their data needs, agreeing methods for data collection and deciding on the best mechanism for data sharing. Ideally all stakeholders should contribute resources to the unit. This will build ownership and ensure responsiveness to stakeholder needs. (See Annex 5 for suggestions and discussion of specific resources required).

3. **KWS and KFS should endorse the Mt Kenya Ecosystem Plan as soon as possible**. If the plan is not endorsed the positive outcomes of the project in integrated planning may be lost and will fail to be up scaled to achieve the desired outcomes. If stakeholders are unable to work with a single plan, they should make efforts to ensure that separate plans e.g. KFS management plan for Mt Kenya and Sub catchment management plans supported by the Ministry of Water and Irrigation are harmonised.

4. **UTaNRMP should formally align its activities to the Mt Kenya Ecosystem plan**. This will avoid duplication or conflicting approaches and will enable UTaNRMP to maintain the Ecosystem approach which has been successful for MKEPP. (see lesson 1, 13,15 and discussion in sections A, B and Conclusions).

5. **UTaNRMP should expand its planned activities to include the protected areas**. The experience of MKEPP-GEF has shown the importance of using an ecosystem approach which encompasses the whole watershed including the protected areas. This approach is also consistent with IFAD ENRM policy (see lesson 1 and section L). Unfortunately UTaNRMP, like MKEPP has excludes

the protected areas of the watershed[117]. The evaluators strongly recommend that the protected areas, and key stakeholders in this area, be included in UTaNRMP . If this cannot be funded by IFAD, UTaNRMP should make efforts to obtain GEF or GOK funding to do so.

6. **When working with government staff, UTaNRMP /future GEF projects in Kenya should strive to ensure that staff are moved less and/or handover period is longer and/or key trainings are held regularly to maintain staff capacity. Inclusion of CBO representatives in the core team will also improve continuity**. (see section A, H and Lesson 12)

7. **IFAD/ UTaNRMP should raise policy issues raised by the project in the relevant policy forums (GOK and Donor community).** Harmonisation of policies is essential for outcomes to be up scaled and for impact to be achieved. (Lesson 12, Section G and H).

8. **KWS and UTaNRMP should closely monitor the implementation of the fence maintenance strategy**. This strategy was developed late in the project life and there is on-going debate over responsibilities. If the fence is not maintained, the positive outcomes of this activity will be lost. There are also important lessons for future fence construction planning in other areas. (Section B)

9. **KWS (supported by Mt Kenya Ecosystem Monitoring Unit) should carefully monitor the impact of fencing on elephant behaviour and the forest environment to ensure the environmental sustainability the fencing strategy** (see Sections B, F and Conclusion). There are important concerns about the environmental sustainability of the fencing strategy. It is important that the impact is monitored and that action is taken promptly as needed.

10. **KWS should prioritise the preparation of a long-term strategy for wildlife corridors for the Mt Kenya ecosystem before new building prevents this being possible** (see section B, F). This relates to the recommendation above. If wildlife corridors are not secured, the Mt Kenya ecosystem will become artificially enclosed. This can lead to environmental damage by enclosed populations of elephants and to a reduction of the gene pool of the elephant population.

11. **KWS should ensure the completion of the Carbon Sequestration survey and its use to develop monitoring indicators by the Mt Kenya Monitoring Unit.** This study has not been completed in time to develop suitable indicators and monitoring plans. This should be followed up to maximise the benefits of the project support to this activity.

12. **KWS, KFS, WRMA and other stakeholders should review and clarify roles in Water Resource Management.** This Output was not fully achieved by the project. The view of project staff was that KWS' role may be different now that WRMA has become active. This needs to be reviewed and KWS and other

[117] UTaNRMP project document (January 2012) paragraph 50.

stakeholders' future role in water management in the protected areas should be clarified

13. **If GEF funding is obtained to continue work in the protected areas the log frame must clearly specify responsibilities. We recommend that either the GEF activities be included within the UTaNRMP log frame (and managed by the same project management team) or, if managed separately, the GEF project should have a separate, stand along log frame.**

14. **IFAD, GEF and GOK should attempt to combine or harmonise supervision and evaluation activities to conserve resources and reduce demands on the project team.**

15. **IFAD supervision missions should ensure equal time is given to assessing progress in substantive project activities as in financial disbursement aspects.**

16. **IFAD M&E training and support should emphasise the importance of documentation of decisions and analysis of monitoring data during the project life to enable adaptive and accountable management.**

Annex 1 - Terms of Reference

Terminal Evaluation of IFAD-GEF Project ID 1848

'Mount Kenya East Pilot Project for Natural Resource Management'

1. PROJECT BACKGROUND AND OVERVIEW

GEF Project ID: 1848
Project duration: 7 years
Commencing: March 2005
Completion: September 2012
Country: **Project Title**: **Mount Kenya East Pilot Project for Natural Resource Management**
GEF Implementing Agency: IFAD
Other Executing partners: UNOPS
GEF Strategic Objective: **OP# 12 Integrated Ecosystem Management** with relevance to OP# 15 on Sustainable Land Management, OP# 4 on Mountain Ecosystems and OP# 3 on Forest Ecosystems.
GEF Strategic Programmes: Land Degradation, Biodiversity, and Climate Change.
IFAD Priority: Strategic Objective 5 of the 2011-2015 Strategic Framework 'A natural resource and economic asset base for poor rural women and men that is more resilient to climate change, environmental degradation and market transformation
Cost to the GEF trust fund: 5,050,000 (inclues PDF A and PDF B grants)
Co-Financing: 25,800,000
In-Kind Contribution: To be confirmed

Project rationale

Mt. Kenya National Park and Forest Reserve measure 2,700Km2 and were gazetted in 1945 and 1948 respectively. In 1993, one of the six World wide Global Atmospheric Watch Stations was established in the National Park to monitor climate change. In 1997, the National Park and Forest Reserve were declared a World Heritage Site by UNESCO. In 1999, the Kenya Wildlife Service carried out a survey and time series analysis of satellite imagery of the National Park and Forest Reserve and found serious degradation of the protected areas. Following the survey, the Government of Kenya (GOK) has implemented a number of strong actions to address the problem of degradation. These include:- (a) the management of the Forest Reserve was transferred from the Forest Department to the Kenya Wildlife Service, and the area was officially gazetted as a National Reserve, (b) logging in forest plantations was banned, and (c) plantation forestry replanting programme was initiated immediately. A follow-up survey was carried out in February 2003 which found that the area subject to degradation had not increased since 1999, there was a nineteen-fold increase in the area reforested and some natural regeneration was taking place in indigenous forests. However, there were problems associated with Non-Resident Cultivation system and the government reviewed the system during which it was evident the system was mismanaged and without adequate resources to improve it, GOK implemented its fourth major action on March 31, 2004 of banning the system. These actions were clear evidence of GOK's commitment to the conservation of Mt. Kenya.

The Project goal as stated in the Project Document was: To contribute to poverty reduction through more productive, equitable and sustainable use of natural resources through integrated ecosystem management.

The Project objectives as stated in the Project Document was:

Improved conservation, management and sustainable and equitable use of biological resources of Mount Kenya ecosystem by farmers and in the protected Areas

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Relevance to GEF Programmes

The project is a multi-focal areas project and meets the requirements of the GEF's OP 12 on Integrated Ecosystem Management and is consistent with Convention of Parties 3 and with article 8 of

the Convention on Biological Biodiversity. The benefits generated are in terms of conservation of a globally significant ecosystem and species and generate multi-focal benefits in land degradation, biodiversity and climate change (enhanced carbon sequestration in rehabilitated lands and ecosystems). The project has strong linkages with; OP#15 on sustainable Land Management Programme; OP# 4 on Mountain Ecosystem and OP# 3 on Forest Ecosystems. Lastly, the project contributes to the GEF Land and Water Initiative for Africa and is linked to the New Partnership for Africa's Development (NEPAD) and its Environment Action Plan. To complement the GEF funding, IFAD supported activities addressed causes and negative impact of land degradation on Mount Kenya Ecosystem stability, functions, services as well as the local communities' livelihoods and economic well-being. Thus GEF and IFAD-funding have synergies and complementarity as they jointly address the causes and impact of environmental degradation.

Executing Arrangements

The Implementing Agency (IA) for this project was IFAD and the Executing Agency (EA) was the Government of Kenya's 'Kenya Wildlife Service '(KWS). Overall management and oversight of activities was coordinated at Mt. Kenya National park headquarters.

At the national level a Project Steering Committee was established for overall policy decisions, approving the Annual Work Plans and Budgets and ensuring that activities undertaken are in accordance with national policies and procedures. The Project Steering Committee was chaired by the Permanent Secretary, Ministry of Water Resources Development and was composed of representatives from Ministry of Environment Natural Resources (including NEMA), Ministry of Tourism and Wildlife, Ministry of Agriculture, Ministry of Finance, Ministry of Planning, Department of Social Services, Ministry of Culture Gender and Social Services, Kenya Wildlife Service (KWS), and Provincial Commissioner, Eastern Province. The Project Manager is an ex-officio member of the committee and serves as its secretary.

At the District level development activities in Kenya are coordinated through the District Development Committee (DDC) chaired by the District Commissioner or his/her appointed officer and the committee comprises all the heads of the departments in the district including water, forestry, agriculture, social services and planning, representatives of KWS, NGOs and CBOs from the project area. For the coordination of activities to be implemented in agricultural areas, a District Project Coordination Committee (DPCC) was established as a standing committee of the District Development Committee and KWS was represented.

The activities implemented in the National Reserve were coordinated by Ecosystem Implementation and Coordination Committee (EICC) chaired by the warden of the National Park, with the participation of the Natural Resources Management Officer from MKEPP as the secretary, the District Wardens Embu and Meru, Mweiga Research Station, representative from civil society as appropriate, the District Forest Officers from Kirinyaga, Meru Central, Meru South, Nyeri and Embu, and a representative of Chief conservator of forests and the KWS Forest Coordination Unit. The Committee was responsible for harmonising implementation of activities in the agricultural areas surrounding National Park and Reserve.

Planned Outputs and Outcomes

According to the project document there were two intermediate purposes/outcomes:

1. **Intermediate Purpose/Outcome in Agricultural Areas** Visible accelerating land degradation processes are reduced and equitable and sustainable use of natural resources is enhanced, with reduced menace from wildlife for people.
2. **Intermediate Purpose/Outcome in National Park and Reserve (NP&R):** Improved biodiversity conservation, more equitable and sustainable use of natural resources and enhanced overall management capacity with the involvement of stakeholders in National Park and Reserve.

That the 5 components/outputs of the project

1. **Water Resource Management**
   - 1.1. Water use efficiency enhanced through
     - 1.1.1. Improvement of river basin management
     - 1.1.2. More efficient water systems at community level

2. **Environmental Conservation**
   - 2.1. Natural resource management and biodiversity conservation improved through:
     - 2.1.1. Rehabilitation and community management in non-protected areas
     - 2.1.2. Forest rehabilitation in protected areas
     - 2.1.3. Stabilisation of road embankments
     - 2.1.4. Improved ecosystem management capacity by all stakeholders
     - 2.1.5. Improved capacity of KWS for research, monitoring and information management

3. **Rural Livelihoods**
   - 3.1. Livelihoods of rural communities improved through:
     - 3.1.1. Better on-farm soil and water management
     - 3.1.2. Development of off-farm income generating activities (IGAs)
     - 3.1.3. Improved marketing of agricultural products
     - 3.1.4 Reduction of human/wildlife conflict over land

4. **Community Empowerment**
   - 4.1. Local level governance capacity improved through:
     - 4.1.1. Establishment/strengthening of CBOs, NGOs County Councils and other grassroots organisation
     - 4.1.2. Strengthening of GOK district technical services for service delivery to communities

5. **Project Management**
   - 5.1. Effective implementation and management of project activities

would contribute towards achieving.

Budget

The total cost of the project was US$25,800,000 of which US$5,050,000 was GEF financing.
Cost to the GEF Trust Fund: US$5,050,000
Government of Kenya Contribution: US$1,810,000
IFAD Contribution: US$16,740,00

3 Objective and Scope of the Evaluation

The objective of this Terminal Evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will also synthesize lessons learned that may help in the design and implementation of future IFAD GEF initiatives. The evaluation will focus on the following main questions/issues:

Did the methodology of the **Mount Kenya East Pilot Project for Natural Resource Management** project contribute to IFAD's ENRM Policy and Climate Change Strategy[1]. Specific reference where appropriate should be made to the ENRM Core Principles and Best Practice Statements.

[1] http://www.ifad.org/climate/policy/enrm_e.pdf
http://www.ifad.org/climate/strategy/e.pdf

Special attention should be paid to the linkages/synergies achieved between the GEF components and the parent MKEPP project.

Review the GIS facilities, products and operational procedures developed by the project.

4 Methods

This Terminal Evaluation will be conducted as an in-depth evaluation using a participatory mixed-methods approach, including field visits to the project site, during which the IFAD-Regional Climate and Environmental Specialist (RCE) and the Country Programme Director (CPD), key representatives of the Executing Agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the IFAD Evaluation Office, the RCE and the CPD on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. In addition, the consultant should engage with the GEF Operational Focal Point for Kenya when feasible and relevant[2]. The draft report will be delivered to the CPD[3]. The CPD will circulate the report to RCE, who will then distribute the report to the Director of IFAD Evaluation Office, Director of Environment and Climate Division (ECD) and key country stakeholders and representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the RCE for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

1. A desk review of project documents including, but not limited to:
   (a) The project documents, outputs, monitoring reports (such as progress and financial reports to IFAD and GEF annual Project Implementation Review reports) and relevant correspondence.
   (b) Notes from the Steering Group meetings.
   (c) Other project-related material produced by the project staff or partners.

2. Interviews with project management and technical support teams, supported by complementary field visits as appropriate

3. Interviews and telephone interviews with intended users of the project outputs and other stakeholders involved, including Governments, especially Parties to the biodiversity-related conventions and other MEAs, and agencies and organizations involved in developing and delivering the indicators, such as UN agencies and programmes, international organizations, NGOs and research/academic institutions. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with field visits to the project sites and electronic surveys.

4. Interviews with the RCE, CPD and Fund Management Officer, and other relevant staff in IFAD dealing with project related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

Key Evaluation Principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions ***"what happened?"*** and ***"what would have happened***

[2] Permanent Secretary, Ministry of Environment and Mineral Resource, NHIF Building - 12th Floor, Ragati Road, PO Box 30126-00100, Nairobi, Kenya
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EMail: psoffice@environment.go.ke

[3] As per email 3/5/2012 from Kevin Cleaver to PDMT and ECD staff on 'GEF grants implementation'

anyway?". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance.

5 Project Evaluation Parameters and Ratings

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the **eleven categories (A-K)**[4] defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the 'achievement of objectives and planned results' is closely linked to the issue of 'sustainability'. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of 'catalytic effects/ replication' and, often, 'country ownership' and 'stakeholder participation'.

The ***ratings for the parameters A-K will be presented in the form of a table (see Annex 1)***. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

6 = Highly Satisfactory
5 = Satisfactory
4 = Moderately Satisfactory
3 = Moderately Unsatisfactory
2 = Unsatisfactory
1 = Highly Unsatisfactory

A. Attainment of Objectives and Planned Results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness:* Evaluate the **overall likelihood of impact achievement**, taking into account the "achievement indicators", the achievement of outcomes and the progress made towards impacts. IFAD's Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 1) to establish this rating.
- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies and country priorities? The evaluation should also assess the whether outcomes specified in the project document and or logical framework are actually outcomes and not outputs or inputs. Ascertain the nature and significance of the contribution of the project outcomes to the wider portfolio under GEF's Strategic Priority/|Goals.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project's achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and/ or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

[4] However, the views and comments expressed by the evaluator need not be restricted to these items.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 1 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks, and environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources.* Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? An assessment of the co-financing and leveraged resources is required. To what extent are the outcomes and eventual impact of the project dependent on continued financial support?

- *Socio-political.* Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/ stakeholder awareness in support of the long term objectives of the project?

- *Institutional framework.* To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/ benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place, partnerships developed and engagement with the private sector.

- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

C. Catalytic Role and Replication:

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and showing how new

approaches and market changes can work. GEF aims to support activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) "**foundational**" and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

> The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

- INCENTIVES: To what extent have the project activities provided incentives (socio-economic/ market based) to contribute to catalyzing changes in stakeholder behaviour?
- INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviours?
- POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and/ or other donors? (This is different from co-financing.)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

  (Note: the **ROtI analysis** should contribute useful information to address these questions)

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects: *replication proper* (lessons and experiences are replicated in different geographic area) or *scaling up* (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy/ approach adopted by the projected to promote replication effects.

D. Stakeholder Participation/ Public Awareness:

This consists of three related and often overlapping processes: (1) information dissemination, (2) consultation, and (3) "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. Note: the RoTI analysis should assist the evaluator in identifying the

key stakeholders in each step of the causal pathway from activities to objectives. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses with respect to the achievement of the intended outcomes and objective of the project..
- Assess the degree and effectiveness of collaboration/ interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

E. Country Ownership/ Drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership and commitment. Specifically, the evaluator should assess whether the project was effective in providing and communicating information improve decisions relating to selection of appropriate biodiversity indicators in each country.

F. Achievement of Outputs and Activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in **quantity and quality** as well as **usefulness and timeliness**.
- Assess to what extent the project outputs produced so far have the weight of authority / credibility, necessary to influence policy and decision-makers, particularly at the national or regional levels.

G. Preparation and Readiness:

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

H. Implementation Approach and Adaptive Management:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed and whether the project document was clear and realistic to enable effective and efficient implementation.
- Assess the role of the various committees established and the project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day project management in each of the country Executing Agencies.
- Assess the extent to which the project responded to the mid-term evaluation.
- Evaluate the effectiveness, efficiency and adaptability of project management and how well the management was able to adapt to changes during the life of the project.

- Identify administrative, operational and/ or technical problems and constraints that influenced the effective implementation of the project.

I. Monitoring and Evaluation:

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 below). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

(1) M&E Design. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

SMART-ness of Indicators

- Are there specific indicators in the logical framework for each of the project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?

Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

Arrangements for Evaluation

- Have specific targets been specified for project outputs?
- Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

(2) M&E Plan Implementation. A Terminal Evaluation should verify that:

- An M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logical framework or similar);
- Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

- That the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- And that projects had an M&E system in place with proper training for parties responsible for M&E activities.

(3) Budgeting and Funding for M&E Activities. The Terminal Evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

J. Financial Planning and Control:

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant IFAD Fund Management Officer of the project (table attached in Annex 2 "Co-financing and leveraged resources").

K. IFAD Supervision and Backstopping:

The purpose of supervision is to work with the Executing Agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/ substantive issues in which IFAD has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by IFAD including:

(i) The adequacy of project supervision plans, inputs and processes;
(ii) The emphasis given to outcome monitoring (results-based project management);
(iii) The realism/ candour of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
(iv) The quality of documentation of project supervision activities; and
(v) Financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 5). In the case of MKEPP please note that initial supervision was by UNOPS before transition to direct IFAD supervision. The evaluation may also examine any differences in quality between the two.

L. Complementarity with IFAD Strategies and Policies:

IFAD aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that IFAD GEF projects designed prior to the production of the IFAD Strategic

Framework 2011-2015[5] would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with IFAD's Strategic Framework will not be formally rated, however, the evaluation should present a brief narrative to cover the following issues:

Linkage to IFAD's Overarching Goal and Strategic Objectivess The IFAD Strategic Framework specifies desired results in five strategic areas. The desired results are termed Strategic Objectives. Using the completed **ROtI analysis**, the evaluation should comment on whether the project makes a tangible contribution to any of the Strategic Objectives specified in the IFAD's MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

South-South Cooperation is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

Scaling Up: An additional brief narrative on the following would be most welcome "Scaling up is regarded as expanding, replicating, adapting and sustaining successful policies, programs or projects in geographic space and over time to reach a greater number of rural poor."

M. Overall Project Achievement

In addition, we recommend including a rating on the *overall project achievements* as an overarching criteria which provides a consolidated overview of project achievements. We refer to the IOE Evaluation Manual on how to determine this rating[6].

6 Evaluation Report Format and Review Procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Chapter 3 of this TOR. ***The ratings will be presented in the format of a table (Annex 1)*** with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

i) A **Project Identification Table**: Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, Partners, (7) and Budget.

ii) An **Executive Summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;

iii) **Introduction and Background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006,

[5] http://www.ifad.org/sf/strategic_e.pdf

[6] page 43, http://www.ifad.org/evaluation/process_methodology/index.htm)

requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology;

iv) **Scope, Objective and Methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;

v) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A − L above);

vi) **Conclusions and Rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);

vii) **Lessons (to be) Learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:

- Briefly describe the context from which they are derived;
- State or imply some prescriptive action;
- Specify the contexts in which they may be applied (if possible, who when and where).

viii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations. In order to make the evidence trail transparent we would advise that the main recommendations are cross referenced to the main conclusions and the main conclusions cross-referenced to the relevant sections of the evaluation report.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high **quality recommendation** is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available;
2. Commensurate with the available capacities of project team and partners;
3. Specific in terms of who would do what and when;
4. Contains results-based language (i.e. a measurable performance target);
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

ix) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference **(TOR)**,
2. A **list of interviewees**, and evaluation timeline,
3. A **list of documents** reviewed/ consulted,
4. Summary **co-finance information** and a **statement of project expenditure by activity,**
5. Details of the project's 'impact pathways' and the '**ROtI' analysis,**
6. The expertise of the evaluation team (**brief CV**).

TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of IFAD GEF Terminal Evaluation Reports are available at http://www.ifad.org/evaluation.

Review of the Draft Evaluation Report

Draft reports shall be submitted to the Chief of Evaluation. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The ECD/IFAD staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where, possible, a consultation is held between the evaluator, Evaluation Office Staff, the Task Manager and key members of the project execution team. The consultation seeks feedback on the proposed recommendations and lessons. IFAD Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

7 Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent directly to:

Kevin Cleaver
Associate Vice President, Programme Management Division
International Fund for Agricultural Development
Via Paolo di Dono 44
00142 Rome, Italy
e.mail: K.Cleaver@ifad.org

The Director of PMD will share with the IFAD IOE, ECD and the CPD.

The final Terminal Evaluation report will be published on the ECD website https://xdesk.ifad.org/sites/gef/ and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

8 Resources and Schedule of the Evaluation

This final evaluation will be undertaken by Lead Evaluator (LE) **Ms Harriet Matsert** supported by associate GIS specialist Rose Mayienda contracted by the IFAD Country Programme Management Office in Kenya. The contract for the Lead evaluator will begin on 1 September 2012 and end on 21 December 2012 (30 days spread over 12 weeks). The evaluation process by the LE will be broken down as follows:

- review of documentation (inception report) – 5 days.
- Fieldwork (interviews in Nairobi and Mt Kenya region), stakeholder workshop? – 15 days (preparation and implementation).
- Report preparation, response to stakeholder comments etc – 10 days.

The evaluator will submit a draft report on **10 November 2012** to Kenya Country Programme Management Office, the IFAD Regional Climate and Environmental Specialist, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to IFAD /IOE for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **22 November 2012** after which, the consultant will submit the final report no later than **21 December 2012**.

The contract for the Associate Evaluator (AE) will begin on **15th September 2012** and end on **21st December 2012** (15 days spread over 12 weeks including). The evaluation process by the AE will be broken down as follows12 days to review the GIS facilities, products and operational procedures developed by the project and prepare draft and 2 days for finalizing the report). The AE will submit a draft report by **1st November 2012** to the LE. Comments to the final draft report will be sent to the Evaluators by **22nd November 2012** after which, the AE will submit the revisions no later than **14th December 2012** to the LE.

In accordance with IFAD/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants for EOU through ECD/Country Programme Office. The evaluators should have the following qualifications:

The evaluators should not have been associated with the design and implementation of the project. The evaluator will work under the overall supervision of the Chief, Evaluation Office, IFAD. The evaluator should have a Master's degree or higher in Agricultural Sciences/Economics or Natural Resource Management or from a related field and at least 10 years of experience working with international policy concerning the natural environment and capacity building. The evaluator should possess a sound understanding of Agriculture, Rural development, strategic policy development, legislation and have the following minimum qualifications: (i) experience in information management and capacity building for information-related issues; (ii) experience with management and implementation of global projects and in particular with a particular emphasis on use of the internet to access information relevant to decision-making; (iii) experience with project evaluation. Knowledge of IFAD country programmes and GEF activities is desirable. Fluency in oral and written English is a must.

a. Overall project evaluation time line

Team recruitment and initial research	1st September 2012
Review Documentation, design workplan and inception report (5 days) – LE responsible	15 September 2012
Field Visit to Mount Kenya PMU and Project sites by LE (5 days) and AE (5 days)	17-21 September , 2012
Further consultations and draft report preparation by LE (10 days) and AE (5 days)	September to October 2012
LE Submit Draft report	10 November, 2012
Kenya Country Programme Management Office, the IFAD Regional Climate and Environmental Specialist, and key representatives of the executing agencies review draft and collate comments	10-22 November, 2012
LE revise draft report based on feedback and submit final documents (5 days)	21 December, 2012

Annex 1

Overall ratings table

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)		
A. 1. Effectiveness - overall likelihood of impact achievement		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework		
B. 4. Environmental		
C. Catalytic Role and Replication		
D. Stakeholder Participation/ Public Awareness		
E. Country Ownership/ Drivenness		
F. Achievement of Outputs and Activities		
G. Preparation and Readiness		
H. Implementation Approach and Adaptive Management		
I. Monitoring and Evaluation (overall rating) Sub criteria (below)		
I. 1. M&E Design		
I. 2. M&E Plan Implementation		
I. 3. Budgeting and Funding for M&E activities		
J. Financial Planning and Control		
K. IFAD Supervision and Backstopping		
Overall Rating		

Rating of project objectives and results

Highly Satisfactory - 6: The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory -5: The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory-4: The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory -3: The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory - 2 The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory - 1: The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

Ratings on sustainability

Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal Evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives/ or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for Sustainability sub criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Highly Likely – 6 : There are no risks affecting this dimension of sustainability.

Likely - 5: There are minor risks that affect this dimension of sustainability.

Moderately Likely - 4: There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely - 3: There are moderate risks that affect this dimension of sustainability.

Unlikely - 2: There are significant risks that affect this dimension of sustainability

Highly Unlikely - 1: There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an "Unlikely" rating in any of the dimensions then its overall rating **cannot be higher** than "Unlikely", regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

Ratings of project M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on "M&E Design", "M&E Plan Implementation" and "Budgeting and Funding for M&E activities" as follows:

Highly Satisfactory - 6: There were no shortcomings in the project M&E system.

Satisfactory - 5: There were minor shortcomings in the project M&E system.

Moderately Satisfactory - 4: There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory -3: There were significant shortcomings in the project M&E system.

Unsatisfactory - 2: There were major shortcomings in the project M&E system.

Highly Unsatisfactory - 1: The Project had no M&E system.

"M&E Plan Implementation" will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will **not be higher** than the rating on "M&E plan implementation."

All other rating

All other ratings will be on the GEF six point scale.

GEF Performance Description	
6	= Highly Satisfactory
5	= Satisfactory
4	= Moderately Satisfactory

3	= Moderately Unsatisfactory
2	= Unsatisfactory
1	= Highly Unsatisfactory

Annex 2

Co-financing and leveraged resources

Co-financing (basic data to be supplied to the consultant for verification)

Co financing (Type/Source)	IA own Financing (mill US$)		Government (mill US$)		Other* (mill US$)		Total (mill US$)		Total Disbursement (mill US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants										
Loans/Concessional (compared to market rate)										
Credits										
Equity investments										
In-kind support										
Other (*)										
Totals										

***** Other refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Table showing final actual project expenditure by activity to be supplied by the IFAD Fund management Officer. (insert here)

Annex 3

Review of the draft report

The draft report will be delivered to the CPD[7]. The CPD will circulate the report to RCE, who will then distribute the report to the Director of IFAD Evaluation Office, Director of Environment and Climate Division (ECD) and key country stakeholders and representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the RCE for collation and the consultant will be advised of any necessary or suggested revisions. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All IFAD evaluation reports are subject to quality assessments by the Evaluation Office. These are used as a tool for providing structured feedback to the evaluator. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	IFAD EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
IFADP additional Report Quality Criteria	**IFAD EO Assessment**	**Rating**
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?)'. Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

Quality = (2*(0.3*(A + B) + 0.1*(C+D+E+F))+ 0.3*(G + H) + 0.1*(I+J+K+L))/3

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports:

[7] As per email 3/5/2012 from Kevin Cleaver to PDMT and ECD staff on 'GEF grants implementation'

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

Annex 4

Minimum requirements for M&E

Minimum Requirement 1: Project Design of M&E[8]

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
  - a description of the problem to address
  - indicator data
  - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART indicators GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be "SMART":

1. **Specific**: The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

***[TE Note:** The remainder of the original of this text repeats the "M&E during Project implementation" part of Section I of ToRs above, and so is not included again here]*

[8] http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html

Expectations regarding the role of the GEF task managers in GEF project supervision and a list of documentation relevant for the evaluation of project supervision (provided to evaluator by IFAD GEF)

Project start-up phase

- GEF Documentation
- Co-financing arrangements
- Project Document, QE and CPMT documents
- PPG expenditure report signed off by CFS

Inception mission and workshop

- Preparation
- Review of institutional arrangements and project implementation responsibilities
- Workshop including providing training (important to discuss at inception how project will be evaluated at exit)
- First Steering Committee meeting
- Revised project implementation, M&E or supervision plan as necessary.

Project implementation

- Grant Agreement
- Audit Reports
- AWPBs, Withdrawal Applications and Disbursement Reports from LGS
- Steering committee meeting preparation and attendance
- MTR and Supervision Mission Reports
- GEF PIR, AMR
- Any available M&E, Thematic, KM reports

Project completion

- Clearance of terminal report and review of final audited financial statement
- Completion Report
- Support to Evaluation Office for Terminal Evaluation

(if applicable) Possible additional documents;

- Milestone Extension documentation

(if applicable) Has a formal revision of project activities or objectives occurred?

- Project revision documentation

(if applicable) Has a formal budget revision occurred?

Budget revision documentation

Annex 5 Review of Outcomes to Impacts analysis

This Annex examines the project's "impact pathways" and its "theory of change" or "intervention logic", according to the GEF methodology known as the "Review of Outcomes to Impacts" or ROtI analysis. The methodology is given as an annex in the Terminal Evaluation Terms of Reference, but instead of including it with the body of the ToRs in Annex 1 of the present report, it is reproduced below (adapted very slightly for the context). The results of the application of this analysis to the 2010BIP project are then described.

Extract from TE ToRs: Introduction to the theory of change/impact pathways, the ROtI method and the ROtI results scoresheet

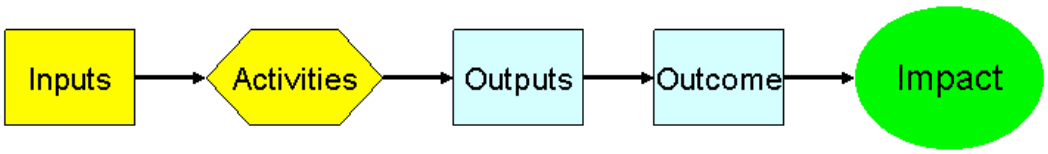
Terminal Evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (TOC) / impact pathways

Figure A5-1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

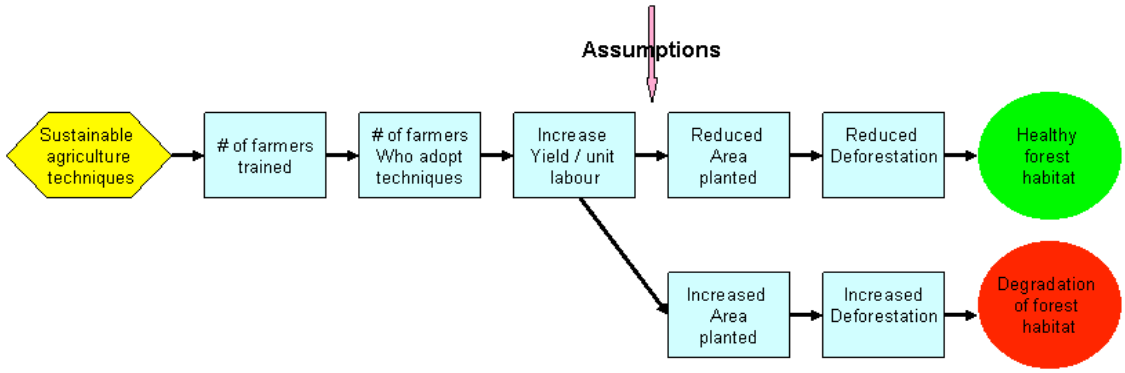
Figure A5-1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in figure A5-2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and

create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure A5-2. An impact pathway / TOC for a training intervention intended to aid forest conservation



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)[9] and has three distinct stages:

(a) Identifying the project's intended impacts;
(b) Review of the project's logical framework;
(c) Analysis and modelling of the project's outcome-impact pathways.

The **identification of the project's intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method[10]. The aim of this stage is to develop and understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impacts often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the **'assumptions'** and **'impact drivers'** that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure A5-3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

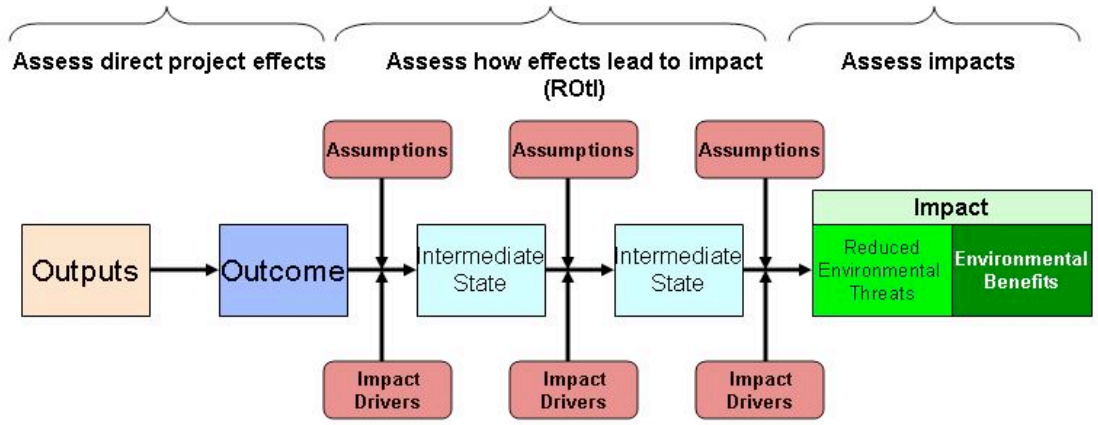
[9] GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

[10] Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within IFAD Terminal Evaluations.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

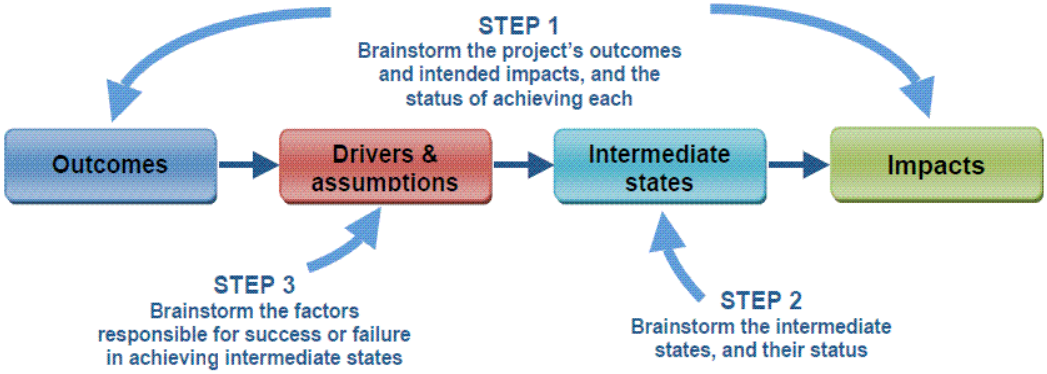
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway?

Figure A5-3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009)



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure A5-4 below shows the suggested sequence of the group discussions needed to develop the TOC for the project.

Figure A5-4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of

implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROtI method requires ratings for outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. According to the GEF guidance on the method; "*The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be "penalized" for not achieving impacts in the lifetime of the project: the system recognizes projects' forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks."*

For example, a project receiving an "AA" rating appears likely to deliver impacts, while for a project receiving a "DD" this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table A5-1).

Table A5-1. Rating scale for outcomes and progress towards 'intermediate states'

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

Thus a project will end up with a two-letter rating, e.g. AB, CD, BB. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six-point rating scale used in all IFAD project evaluations in the following way (a + score above moves the double-letter rating up one space in the six-point scale).

Table A5-2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states' translate into ratings for the 'overall likelihood of impact achievement' on a six-point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

The ROtI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Scoring guidelines

The achievement of **outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These are not rated: projects generally succeed in spending their funding.

Outcomes:

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they had gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no-one used it. (Score - D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because intended end users had no access to computers. People had meetings that led nowhere. Outcomes hypothesized or achieved, but either insignificant and/or *no evident linkages forward* to intermediary stages leading towards impacts. (Score - C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score - A)

Intermediate stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. (Score - D)

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public–private sector relationships. (Score - C)

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. (Score - B)

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. (Score - A)

Impact: Actual changes in environmental status. "Intermediate stages" scored B to A; measurable impacts achieved at a globally significant level within the project life-span. (Score - '+')

Annex 2 – People Consulted and Sites Visited.

Field Trip

Monday September 17th	**Contact details**
Simon Gitau – Senior Warden, Mt Kenya National Park	tel 0722 279502 lenkutoto@yahoo.co.uk sgitau@kws.go.ke
Humphrey Munene, Field Coordinator, Mt Kenya Trust	www.mountkenyatrust.org humphrey@mountkenyatrust.org
Maurice Onyimo Nyaligu, Project Manager, Mt Kenya trust (send draft report).	Maurice@mountkenyatrust.org
Mr Chalo, Procurement officer, KWS Mt Kenya National park	mulualeyaloll@yahoo.com
Kephas Okash – MKEPP GEF Monitoring and Evaluation officer	
Field visit – Kangaita Forest station	
Meeting with Forest Officer David Nyangaa	
Visit to fence and tree nursery	
Discussion with Community members Francis Karanga Muriithi (Gikumbo Youth) Jane Wacuka (Gitaraga group). And other group members including Kiranja Wildlife group Nyegithuei Mivevi goat Umoja Green thicket Rundu building Gikumbo network Gikumbo youth group Beti Network Kangaita environmental group Miginga Sh. G Munyaka m/s/group	
Tuesday September 18th	
MKEPP – GEF office Met with office staff, Martin, Catherine and Felix and George Wabwire, Civil Works officer MKEPP- GEF and KWS	
Kinongo research station Tour of research station Discussion with Kephas Okach and Peter Maina, GIS technician on project monitoring and communication of results.	petermainamu@gmail.com pmuriithimaina@yahoo.com Pmaina@kws.go.ke Tel 0721796030
KFS Mr Mathinji, County Forest Coordinator (Nyeri – which county?) Member of PIT	
Wednesday September 19th	

Visit to Gathiuru Community Forest Assocation.	
Joseph Mwangi, Clerk, Forest station	
CFA Members:- Josphat Mwiti Martin Bundi – Youth group Luke Mengo, Bantu Self Help group Susan Mwari, Bantu Self Help group	
CETRAD Centre for training, integrated research and development. Caroline Ouko Evanson Churu Njuguna	b.kiteme@africaonline.co.ke
Meru KWS Deputy Warden Jimnah Pertet	
Meru KFS Zonal Manager Mr Evans Muneno	PIT member
Thursday September 20th	
Mr James Maina, Mrs Judy Kigamba, WRMA Meru	PIT members (though only Judy attends)
Damaris Maina, NEMA officer,Meru	
Mr Muthenge Chair and Susan Kome Secretary, Gachiega RUA	
Patrick Mwirigi Mugambi, Chair and Frieda Wanja, Assistant Secretary, Mariara RUA	
Ellen Kamami, Treasurer and Japhet Mwenda Alexander, Member, Mt Kenya East CFA	
Friday September 21st	
Faith Livingstone Muthoni. Project manager, MKEPP.	
Justus Makau, Monitoring and Evaluation Officer, MKEPP	
Joseph Nyamai Mwanzia, Accounts Officer, MKEPP GEFF	Tel 0720 346487
Godwin Leslie Muhati, Project Manager, MKEPP- GEF	
Esther Kareithi - Water lab, MKEPP	
Regional Technical Manager, Gatunga, WRMA Embu Office	

Nairobi Interviews

Tuesday October 2nd	**Contact details**
KWS GIS unit	
Mr Edwin Wanyonyi Director Resource Mobilisation, KWS Project PSC member.	0722784895 ewanyonyi@kws.go.ke

Senior project accountant (Mr Arum KWS Hq)	0733778966
Dr Erustus Kanga, Assistat Director and Head Ecosystems and Landscape conversion.	ekanga@kws.go.ke 0736 663400
Maushe Kidundo	M and E consultant to IFAD mhkidundo@yahoo.com
Wednesday October 3rd	
Sunya Orre, Deputy Director Programs and Projects. Ministry of Environment and Mineral Resources	orsuny@yahoo.com orres@environment.go.ke EMail: psoffice@environment.go.ke
Thursday October 4th	
Ms Jane Musundi, Ministry of Finance/Treasury or	j.musundi@treasury.go.ke 0722 248904
Mr Joseph Karungu, Ministry of Water and Irrigation.	
Dr Winnie Musila, National Museums of Kenya	
Mr Wycliffe Mutero, Mr Joseph Mukeka KWS GIS unit	
Friday October 5th	
Hellen Kilonzo, Finance Officer, IFAD	

Phone/Email interviews

Name	**Email Address/Phone number**
Muoka Cornelius, KWS District Warden Embu/Kirinyaga (ex community warden, Naromoro).	CMuoka@KWS.go.ke ketunata@yahoo.com
Mr Wilson Ole Saiya DPP (Provincial Administration Eastern).	proveasten07@yahoo.com 068-30784
First project manager, Liz Esiromo – Rioba	<liz_ammo2002@yahoo.com>
Min of Agriculture – PSC member	muiamuindi@yahoo.com 0710973132 Cathedral road
Engineer Kariuki, PSC	engkariuki@gmail.com
CETRAD – Mr Mitune	
MWEKON	Gerald Ngatia 0722 451966 ngatiagerald@yahoo.com

	ngatiagerald@gmail.com
Greenbelt Movement	James Kamanga <jmaliti2006@yahoo.com>
GTZ	<naomi.maina@gtz.de>
Green Zone Development support project	
Nature Kenya	Mr Muchiri <mtkenyafc@yahoo.com>
COMPACT	Mr Kihara Fredrick Kihara <fkihara@TNC.ORG>
CRS	Mukenya Mail Isaac_mukenya@yahoo.com
Joseph Wakihaga	KFS Zonal manager, Chuka jowakiaga@gmail.com
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Not able to contact (no response to phone or email).

Mr SK Sigalai, Ministry of Livestock Development
Ministry of Gender, Culture and Social Development, Mr Mwakio Righa Dr Ndufa, KEFRI James Mathenge, Research Scientist, Mweiga Research Station.

Annex 3 Documents Consulted

Start up reports
Project Brief – CEO Endorsement September 2006
Grand Agreement November 2006
MKEPP GEF Formulation report July 2004
Inception Workshop report July 2007
Negotiations for the GEF Grant Nov 2006
Start up workshop report June 2007
MKEPP Baseline Survey Report for the Base Year 2005 (Vol 1 and 3)
MKEPP GEF Appraisal Report March 2005

Annual Reports
2007 – 2008
2008 – 2009
2009 - 2010
2010 - 2011
2011 - 2012

Annual Workplans and budgets
2007 – 2008 (full report)
2009-2010 (excel spreadsheet)
2011 – 2012 (full report)
2012 – 2013 (excel spreadsheet).

Planning documents
PIT Minutes
Steering Committee minutes

Project Monitoring documents
Participatory Impact assessments
Monitoring register
MKEPP RIMS forms 2011 and 2012
Training needs assessment 2009 (report and powerpoint)
KWS strategic plans for communities 2010

Financial Documents
Final status of funds by category (October 5 2012)
Letter authorising reallocation of funds Aug 2011

Environmental Impact Assessments
EIA Study Report – Mt Kenya fencing project 2009
Environmental Audit for MKEPP activities 2012

Supervision Reports
Supervision Mission 2008
Supervision Mission 2009
MKEPP 2010 Supervision Report
Back to Office report MKEPP Sept 2010
MKEPP GEF Mid term review 2010

Mid Term Review Complimentary assessment –GEF (MTR Addendum report on the project relevance, coherence with GEF policies and Guidelines and overall achievement of Global environmental benefits). April 2011.
Back to Office report MKEPP March 2012
Supervision and Implementation support mission (June 2012)

Closing reports/Assessments
Completion Report Draft October 2012
MKEPP M&E Learning and KM Assessment September 2012-10-09
MKEP IAS
Assessment of Effectiveness of Project's training and sensitisations.
Effectiveness of Wildlife Barriers around Mt Kenya Forest Ecosystem July 2011Assessment of Appropriateness to local conditions, uptake , replicability and profitability of technologies transferred under the MKEPP's livelihood component September 2011
Minutes of the Environmental Component Exit strategy meeting August 15 2012

Project Outputs
Project information leaflet
Mount Kenya Ecosystem Management Plan 2010 – 2020 (draft)
Fence Strategy (draft)
Biodiversity Assessment Mount Kenya
Abundance and Distribution of Large Mammals in Mt Kenya Ecosystem (Biodiversity Assessment in Mt Kenya Ecosystem) April 2009
Subcatchment Management Plan (Mariara and Gachiege)
Success stories (case studies) Castle, Kangaita, Chuka
Fire Management Strategy Document.
DVD: Poverty Eradication through environmental conservation 2011 Ministry of information and communications
Conservation as business (MKEPP GEF quarterly bulletin) Issue 2 April 2010 and Issue 3 March 2011

Additional Documents of Relevance
Constitution of Kenya
IFAD Office of Evaluation, Evaluation Manual 2009
IFAD strategic framework
GEF 5 Biodiversity Strategy
GEF Policy Focal Area strategies (GEF 4)
Upper Tana Catchment Natural Resources Management Project. Environmental and Social Impact Assessment. Dec 2011
Upper Tana Catchment Natural Resources Management Project. Draft Main Report January 2012
IFAD Country Programme Evaluation Kenya July 2011
Environment and Natural Resources Management Policy, IFAD 2012-10-09
Climate Smart Agriculture. What's different. IFAD Occasional Paper 2011
www.ruralpovertyportal.org
Kameri – Mbote, P 2005 Sustainable management of Wildlife resources in East Africa. A critical analysis of the legal policy and institutional frameworks. IELRC Working paper.

Gitahi N 2007 The Physical Planning Act and Its Implications to Land Planning within AWF Samburu and Kilimanjaro heartlands, Kenya.
http://www.rhinoark.org/news/65-mtkenya-fence-update-another-10kms-built.html
TIST - The International Small Group Tree Planting Program
www.**tist**.org/

Annex 4: MKEPP-GEF Log frame (from Annual Report 2011 – 2012)

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Assumptions
Goal: Poverty reduction through more productive, equitable and sustainable use of natural resources through integrated ecosystem management	• Percent increase in food security • Percent increase in income among small scale farmers	Survey reports monitoring reports Impact assessment report	• Relevant legislation framework enacted and enforced
Purpose/Objective: 1. Improved conservation, management and sustainable and equitable use of biological resources of Mount Kenya ecosystem by farmers and in the protected Areas 2. Improved biodiversity conservation, more equitable and sustainable use of natural resources and enhanced overall management capacity with the involvement of stakeholders in National Park and Reserve	• Forest integrity maintained and biodiversity protected on 3 800 ha of land • Degree of community involvement and participation to conservation activities • benefits enhanced by 50 % in target communities	• M&E reports • Ground and aerial survey reports • FD/KWS/Community reports	Improved rural livelihoods reduce human threats to NP&R Mandates of KWS and FD on Mt. Kenya ecosystem management are clarified and enforced
Outputs:			
1. Enhance role of stakeholders in watershed management and improve the monitoring system in upper catchments.	• No of Research Scientists trained in Water Resource Management • *No of WRUA committees trained in Water Resource Management* • No of guidelines document for issuance of water permits and decision support tools prepared • No of Water abstractions and works monitored and controlled • % of abstractions regularized in old schemes	• Training Register • Guidelines produced • M&E reports • Project reports	• Approved water abstractions in NP&R in line with hydrological assessments • Resource persons with training skills are available • Technical assistance provided in time
2. Enhance effective ecosystem management in Mt. Kenya National Park and Forest Reserve	• Area (Ha) of indigenous forest rehabilitated • Area (Ha) of plantation forest rehabilitated • Survival % of tree seedlings 5 years after planting • No. of trainings in participatory forest management and No. of people trained by gender • No. of training for staff on participatory methodologies and No. trained by gender • No of Rangers trained in Wildlife Conservation • No of Accountants trained	• KWS reports • KWS Research Station Reports • Training Register • Mt. Kenya National Park tourist records • Asset Register • Progress reports	• Adequate from GoK • Absence of extreme climatic or fire events • Rainfall continues to remain constant during planting season • Wildlife incursion into plantation forest &

	• No of tourism plans for Mt. Kenya National Park developed and implemented • No of Mt. Kenya Management Plans finalized • No of participatory operational forest plans developed • % reduction of forest area burned annually • Reduction in frequency and impact of illegal fire • Reduction in frequency and extent of illegal forest activities • Reduction in frequency and extent of wildfire • % increase in canopy cover • No of fire towers constructed • No of water bowsers acquired • No of water pumps acquired • No of power saws acquired. • No of bridges constructed • Length of road rehabilitated • Rehabilitation of Mweiga Research Station • Upgrade radio communication system in NP, • Supply electricity to the National Park gates • No of mountain rescue kits purchased • No of vehicles purchased. • No of outposts rehabilitated, • No of rangers houses constructed, • No of GIS system installed • No of research outposts established	• Survey reports • Case studies	indigenous forest are prevented • Timely provision of technical assistance
3. Reduction in human-wildlife conflict	• Length of wildlife protection barriers erected • No of strategy document developed on elephant migratory corridors • No of training sessions on maintenance of barriers • No of farmers trained on maintenance of barrier • Reduced reported frequency and impact of animal incursions into farmlands • Reduction in number of animals/people killed or injured due to conflicts • Changes in elephant population and behaviour • Changes to condition of elephant habitat attributed to barriers • No of CBOs and institutions involved in barriers establishment and maintenance	• KWS incident reports. • Community verbal report • Infrastructure register • Strategy document • Training Register • Group register • Survey reports/ Case studies	• Wildlife incursion into farmlands are prevented • Meaningful beneficiary participation in project implementation

4. Community empowerment	• No trained in IGAs • No engaged in different enterprises • % Increase in income levels		
5. Effective implementation of GEF Activities in the National Park and Reserve	• KWS - Mt. Kenya Office fully operational • Integration of M&E System integrated with MKEPP • Disbursement of IFAD grant (Time and amount) • No of AWPBs produced on time • No of l periodic progress reports submitted • No of Environmental Impact Assessments carried • Operational ecological monitoring and information management system established	• Activity and performance monitoring system established • KWS reports	• Financial flow are timely • KWS in Mt. Kenya NP&R is strengthen by additional rangers • Technical assistance provided on time
Activities: 1.1 Training Research Scientists in Water Resource Management 1.2 Training of WRUAS/WUAS 1.3 Development of guideline document for water permits and decision support tools 1.4 Monitoring and regularization of Water abstractions and works 2.1 Rehabilitation of degraded forest areas 2.2 Trainings in participatory forest management 2.3 Training of staff on participatory methodologies 2.4 Enhancing forest fire management 2.5 Fire towers construction 2.6 Procurement of fire equipments (water bowsers, water pumps) 2.7 Construction of bridges, rangers houses 2.8 Rehabilitation of roads, bridges 2.9 Rehabilitation of Mweiga Research Station, outposts 2.10 Upgrading of radio communication system in NP, 2.11 Supply electricity to the National Park gates 2.12 Procurement of mountain rescue kits, vehicles 2.13 Procurement and installation of GIS system	Budget Project costs and budgets	Field reports	• Adequate resources • Cooperation from staff • Political stability • Financial flow are timely • KWS in Mt. Kenya NP&R is strengthen by additional rangers • Technical assistance provided in time

3. 1Training Rangers in Wildlife Conservation 3.2 Training Accountants in accounting 3.3 Develop and implement Mt. Kenya National Park tourism plans 3.4 Finalizing Mt. Kenya Management Plan 3.5 Develop participatory operational forest plans 3.6 Construction of wildlife protection barriers 3.7 Develop strategy document on elephant migratory corridors 3.8 Protect communities from wildlife incursions and damages 3.9 Monitoring changes in elephant population and behavior, and habitat 3.10 Mobilize and train CBOs and institutions in barrier establishment and maintenance 4.1 Training on IGAs 5.1 Integration of M&E System integrated with MKEPP-Loan 5.2 Disbursement of IFAD grant 5.3 AWPBs produced on time 5.4 Preparation and submission of progress reports 5.5 conduct Environmental Impact Assessments 5.6 Develop and operationalize ecological monitoring and information management system			

ANNEX 5 - REVIEW OF GIS FACILITIES, PRODUCTS AND OPERATIONAL PROCEDURES

I. INTRODUCTION

MKEPP GEF project was designed to complement and enhance the impact of the Mount Kenya East Pilot Project (MKEPP) (financed by an IFAD loan) which ran from July 2004 to September 2012. Its 'intermediate purpose in the National Park and Reserve was:- '*Improved biodiversity conservation, more equitable and sustainable use of natural resources and enhanced overall management capacity with the involvement of stakeholders in the National Park and Reserve'*[1].

The management and conservation of these protected areas was critical to the health of the catchment downstream[2]. Despite concerted efforts by the Kenyan government (see MKEPP-GEF appraisal report), the protected areas were becoming degraded, threatened by poverty, population pressure, institutional constraints, climate change, unregulated and excessive water use, poor agricultural practices, illegal activities, fire and human/wildlife conflict.

One of the driving forces behind the degradation was noted to be "*lack or failure of adequately supported monitoring and information systems meant it was not possible to accurately assess the status of biodiversity and condition of natural resources and to implement long term and proactive ecosystem management plans and strategies*[1]*"*. To address this, the project would develop and implement an adaptive ecological monitoring and information management system for the Mt. Kenya Ecosystem to be based at the KWS Research Station in Kingogo, including geographical information systems (GIS), which could guide decision making, enhance the management capacity of all stakeholders and allow on-going monitoring of key indicators of the environmental health of the Mount Kenya ecosystem.

II. What is GIS?

GIS is defined as a *"Collection of information technology, data, and procedures for collecting, storing, retrieving, manipulating, analyzing, and presenting maps and descriptive information about features that can be represented on maps."* It's an **information database, analytical and decision support tool** that combines spatial data

[1] from MKEPP-GEF project brief (September 2006).

[2] Mount Kenya and the Aberdares form the watershed and water catchment for both the Tana and the Ewaso Nyiro rivers which serve about three quarters of the surface area of the country. In global terms the National Park and reserve were declared a World Heritage site in 1997. The Reserve surrounding the mountain contains the single largest block of continuous forests in Kenya. The ecosystem provides multiple goods and services that benefit human's e.g water, climate regulation, erosion control, waste and pollution control and heritage. In addition the forest products (firewood, grass harvesting, grazing, bees, medicinal plants, fruit etc) and income from tourism are important to the livelihoods of communities living around the forest. (Final GEF-Complimentary Mid Term Review April 2011).

with non-spatial data and can be used for research, resource management, and development and planning. Within projects, GIS can support project planning and implementation by providing information to address project objectives and support monitoring and evaluation. It can be used to:

- Organize baseline data
- Map indicators;
- Map results;
- Map indicator trends;
- Show distribution of program activities;
- Identify program overlaps;
- Identify areas not covered

Planning for a GIS requires commitment of time and resources and entails user needs analysis, software/hardware assessment, database development and a clear implementation plan. A successful GIS implementation is one that is technically sound, relevant to project goals and objectives, improves organizational/project efficiency and effectiveness and improves decision making

III. METHODS

The evaluation used a participatory mixed-methods approach, including a desk review of project documents, field visits to the project site, face to face, phone and email interviews with project and IFAD staff and key project stakeholders. However due to lack of documentation on specific outputs and activities for the installation of GIS, the evaluation heavily relied on expert knowledge on GIS and an examination of data and GIS products. Specifically, the evaluation looked at:

- The GIS facilities (equipment, software, staffing)
- Geospatial products (data and maps)
- Relevance of the geospatial products to meet information needs and support decision making
- Impact of GIS
- Availability of data
- Access to data by stakeholders
- GIS awareness (literacy)
- Dissemination of information products

. See Annex 3 for list of people and documents consulted during the evaluation.

IV. FINDINGS

A. *ACHIEVEMENTS*

A considerable number of achievements were made towards the installation of GIS software and hardware at the rehabilitated Kingongo Research Station. ArcView GIS software with one license, computer equipment and a HP 500 42" plotter were procured in the 2007/08 financial year. [3] However these were not installed pending the completion of the rehabilitation of the Kingongo Research Station.

During the 2009/2010 financial year 10 officers received advanced GIS training in ArcGIS I, II and III Oakar Services, Nairobi. These were 8 officers from KWS, 1 officer from NEMA and the project M&E Officer[4]. A further 16 officers drawn from KFS, NEMA and WRMA were also training in GIS and GPS use at the Center for Training and Research in ASAL Development (CETRAD), Nanyuki. In 2009, a GIS Technician Peter Maina was posted to the station. He subsequently received advanced training in ArcGIS 1, II and III at Oakar Services, Nairobi in 2012.

Existing basic GIS layers for Mt. Kenya Ecosystem were provided from the GIS Lab based at KWS Hqs as confirmed from interviews with the GIS Analyst Mr. Joseph Mukeka and the GIS Manager, Mr. Wycliffe Mutero both based at KWS Hqs. The GIS Hqs team was the technical backstopping support for the project.

During the project the GIS facility provided mapping technical support to the project. Mapping of the fencing activity was carried out; data on types of CBOs was incorporated into the GIS as well as data from wildlife dung counts conducted during the biodiversity assessment of 2009.

B. *LIMITATIONS*

A major limitation to the success of the GIS was its late implementation, a challenge attributed to the slow procurement process. The project had to adhere to Government procurement procedures. The GIS unit did not become functional until late 2009. Almost 3 years into the project. However, the biggest limitation was the lack of a plan for the GIS implementation. No evidence of a plan was found in the project design documents and no deliverables were explicitly stated. Interviews with project staff and the GIS HQs team also confirmed no planning was done. As a result of this omission, this activity suffered serious setbacks that affected its functionality.

There was no evidence that a representative from the GIS Office at KWS Hqs was included in any of the MKEPP-GEF project committees. This was an omission and it affected the successful implementation of the GIS activity as they were not directly

[3] Annual Report 2007-2008
[4] Annual Report 2009-2010

involved. Although it is appreciated that GIS Hqs team is understaffed with only 2 GIS staff supporting all KWS activities countrywide, their inclusion in the committees would have provided the technical backstopping that was needed.

GIS like any other information system, requires planning (section D of this report). This requires commitment of time and resources and a clear implementation plan. A successful GIS implementation is one that is technically sound, relevant to project goals and objectives, improves organizational/project efficiency and effectiveness and improves decision making. Failure to plan was a limitation which could be attributed to the project design.

It is against this background that this evaluation looks at the limitations. In addition, for a better appreciation and understanding of the implications the lack of planning had on this activity, a description of what should have happened is also given.

1. Weaknesses

a) Technological

i. The specifications for the GIS workstation were minimum. The computer procured had 160 GB hard disk capacity and 3 GB RAM. A computer with a 3.2 GHz Dual Core Processor 4 GB of RAM or higher and 500GB SATA HDD would have been more suitable. Alternatively a dedicated server would have been preferred to a stand-alone computer.

ii. The GIS System in the MKEPP-GEF project was meant to enhance the capacity of all stakeholders in the Mt. Kenya Ecosystem. The GIS software and hardware installed was for a single stand-alone computer. Server based architecture would have been more robust, efficient and cost effective as it would have offered distributed GIS and Web services. (See figure 1 below)

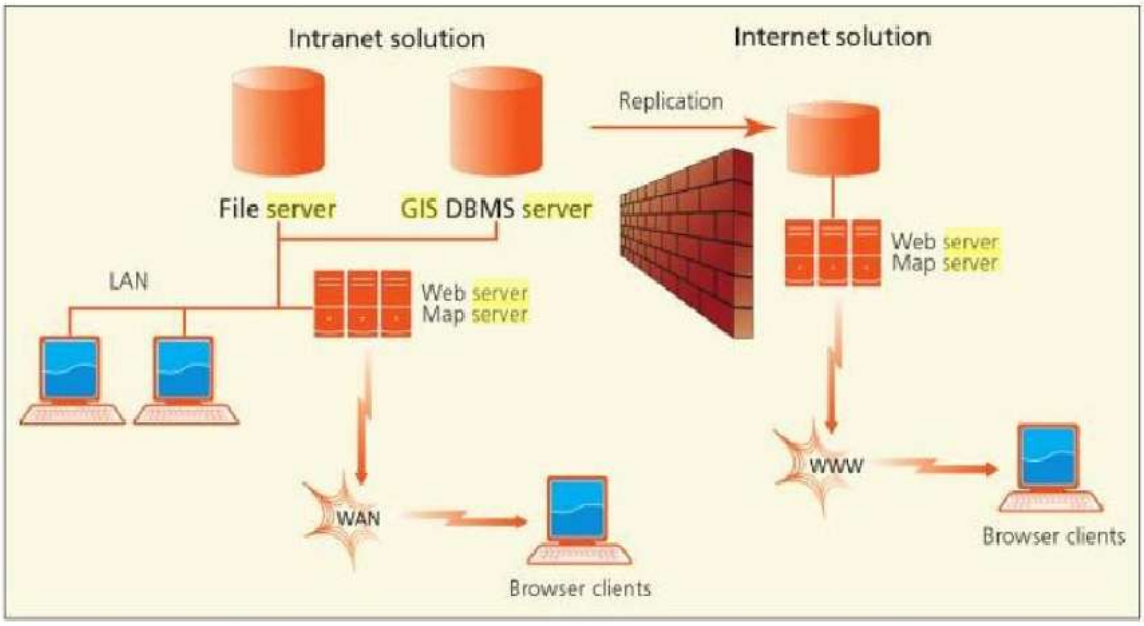

Figure 1: Central Server with Work Station Clients

iii. In the Project Brief Document of 2006, Section B Project Impact Evaluation[1], it was stated that remote sensing would be used to measure forest diversity and distribution and further that the project would detect damage from disturbances or threats using the same methodology used in a previous survey conducted by KWS and partners[5]. This survey carried out a time-series analysis of satellite imagery as part of its methodology. Despite this the MKEPP-GEF project did not procure image processing software or satellite images. A fact confirmed by the GIS Technician and GIS Analyst. Nevertheless, in 2011 the GIS facility obtained freely downloadable Land sat images from the IGAD Climate and Prediction Centre (ICPAC). This process was however not initiated by the MKEPP-GEFF project but by KWS GIS Hqs. No land-cover products have been updated from these images due to lack of image analysis software.

b) Data and Data Handling and Management

iv. There was no database structure developed for the collection/processing and integration of GIS data for monitoring project outputs and impacts. As a result the data layers are not representative of all the project outputs or impacts. For example there are no data layers on threats from illegal human activities, human/wildlife conflict, fire at the start of the project and

[5] Vanleeuwe H, Woodley B, Lambrechts C and Gachanja M, February 2003, Change in the state of conservation of Mount Kenya forests: 1999-2002: An Interim Report. DICE, KWS, UNEP, KFWG

subsequent years. The spatial temporal distribution of the threats could have been mapped and used for measuring project progress and impact, especially impact of the wildlife barriers. This data is collected by KWS and should have been incorporated in the geo-database for MKEPP-GEF. The social and economic indicators were also not geo-referenced. For example tree nurseries, poultry, rabbit keeping, goat rearing, bee keeping projects, fish ponds. Such information could have been collected in a participatory way using community members and would have been useful in spatially demonstrating the positive impact of the project. Further some important data is still in reports and was not processed and integrated into the GIS system. For example not all data from the baseline biodiversity surveys was processed. Only data from the large mammal dung-counts survey was processed.

v. No procedures were established to update the GIS with information from all stakeholders involved in the project. As a result key data needed for decision making from project outputs is missing in the GIS. For example data on PELIS sites, fire incidents, human/wildlife conflict incidents, poaching, participatory forest management plans, and sub-catchment management plans has not been integrated in the GIS. It is also not possible to track data held by various stakeholders or individual officers. Most of this data could have been geo-referenced in a participatory way by empowering community members to carryout GPS data collection.

vi. According to the Project Brief 2006 under Section B Project Impact Evaluation[1] the research and information management program was to carryout baseline biodiversity and impact surveys. However, some limitations in data collection were noted. The baseline biodiversity assessment carried out in 2009 by National Museums of Kenya did not cover the extent planned. 6 transects were planned but only 3 were carried out due to budgetary constraints. This was confirmed in during an interview with Dr. Winnie Musila who was the Team Leader for the survey.

vii. Lack of procedures for data quality control and metadata standards. No evidence was seen of any written procedures for data quality control and metadata. This is necessary especially in multi-stakeholder projects so that data can be collected in a standardized way and information on the source of data can be tracked.

c) Information Dissemination

Information dissemination was inadequate as confirmed from interviews with stakeholders and only a few map products were seen. This is because a considerable amount of data has not been integrated in to the GIS. For this reason there were no map products seen on Participatory Forest Management Plans, Sub-Catchment Management Plans, and trends in threat indicators or distribution of various project activities.

d) Human Resources

viii. The GIS facility is manned by 1 Technician. This was limitation. At the minimum they should have been 2. One way to overcome this challenge would have been by the use of GIS interns. There is adequate space and enough workstations should have been planned for.

ix. More attention should have been paid to providing timely training for the GIS Technician charged with managing the facility. He only received advanced training in ArcGIS I, II and III in 2012. Although advanced GIS training for 10 officers was carried out in the 2009/2010 financial year, he was not among the officers trained and yet he was the technical person on the ground charged with the day to day running of GIS activities.

C. *Implications of GIS Weakness*

1. Insufficient information to support the effective and efficient management and planning of the Mt. Kenya Ecosytem
2. Insufficient information for GOK to accurately report on Kenya's biodiversity status in the context of the National Biodiversity Strategy and Action Plan as per its commitment to the Convention on Biological Diversity
3. GIS system with low specifications. Additional resources required to upgrade it.
4. No database
5. Insufficient information products for decision support
6. Insufficient information to map project interventions, results or indicator trends

D. *What should have happened?*

Planning for a GIS

Adequate planning is a pre-requisite to the successful development of a GIS. Often organizations or projects invest considerable sums of money into technology, data and personnel without knowing exactly what they need from the system. It's always important to establish specific requirements and objectives from the start. It is also important to understand the scope of the project – single department; multi-department or multi-agency.

Components of a Geographical Information System
A GIS is made up of components (see figure 2 below):

1. Information Products
2. Data
3. Software
4. Hardware

5. Procedures
6. People

All components of a GIS cost money and therefore the importance of planning cannot be over-emphasized as lack of it can be costly to a project in the long run.

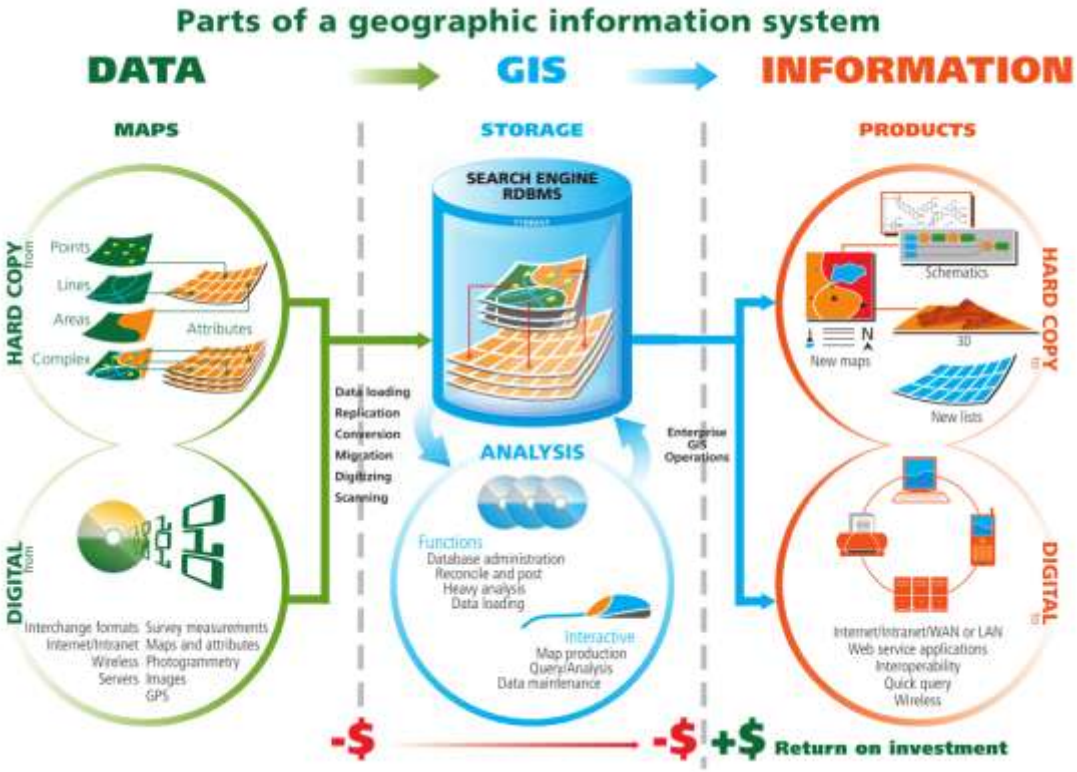

Figure 2 – Components of a Geographical Information System (Adopted from Thinking about GIS by Roger Tomilson)

Good practice for GIS design follows a Ten-stage GIS Planning Methodology[6]

1. **Consider the strategic purpose**
   It is important to understand the strategic purpose of the organization or project within which the system will be developed. What are its goals, objectives and mandates? A successful GIS understands the mission of an organization or project and helps it achieve that mission by designing appropriate information products.

2. **Plan for Planning**
   Planning for a GIS takes a commitment of resources and people. It is good practice to develop a project proposal clearly articulating what needs to be done and what it will take to get it done.

[6] Thinking about GIS by Roger Tomilson

3. **Conduct a technology seminar**
   It's important for the clients to understand GIS, its role and capabilities. A technology seminar is held to raise awareness on GIS, introduce the plan and get participants input on the information products they need to help them work better and efficiently.

4. **Describe the information products**
   Knowing what you want to get out of a GIS is the key to successful implementation. Information products needed to inform decision making and streamline workflows can be: maps, lists, charts or reports. This is a very crucial stage and requires users' involvement. Understanding the information products helps you determine the data requirements.

5. **Define the system scope**
   This involves determining what data to acquire, when it will be needed and how much data volume must be handled.

6. **Create a data design**
   Using the requirements identified in the earlier stages, develop a data design.

7. **Choose a logical data model**
   A database must fit together in a logical manner so that you can easily retrieve the data you need and efficiently carryout the analysis tasks required.

8. **Determine system requirements**
   This is an examination of what will be required of the system: GIS functions, user interface, communications bandwidth, core capacity. This is what determines the software and hardware products.

9. **Consider benefit-cost, migration, risk analysis**
   Compare expected cost of implementing system with the expected benefits within a time period.

10. **Plan the implementation**
    You need to plan for how the system will be put in place i.e. timelines, responsibilities, actions.

Lack of planning for GIS was a major omission in the project design. All the components of the GIS described in Figure 2 above were clearly not planned for. Emphasis was on the procurement of the software and equipment and even then, without an exhaustive assessment of the information requirements. Failure to understand that GIS is a system made up of several inter-related components is a common mistake made by non-GIS professionals.

A management information system (MIS) was developed for the project but is not linked to the GIS. Several products were obtained from the MIS which could have easily been

mapped had the information been collected for input in the GIS. Below are some of the products and possible maps that could have been prepared using data from other areas.

EXAMPLES FROM OTHER PROJECTS SHOWING HOW GIS TO CAN BE USED TO EVALUATE PROGRAM PERFORMM ANDASSESS EFFECTIVENESS OF ACTIVITIES AND INTERVENTIONS

i. GIS can be used to evaluate program performance i.e. mapping of indicators to see if project is on track.

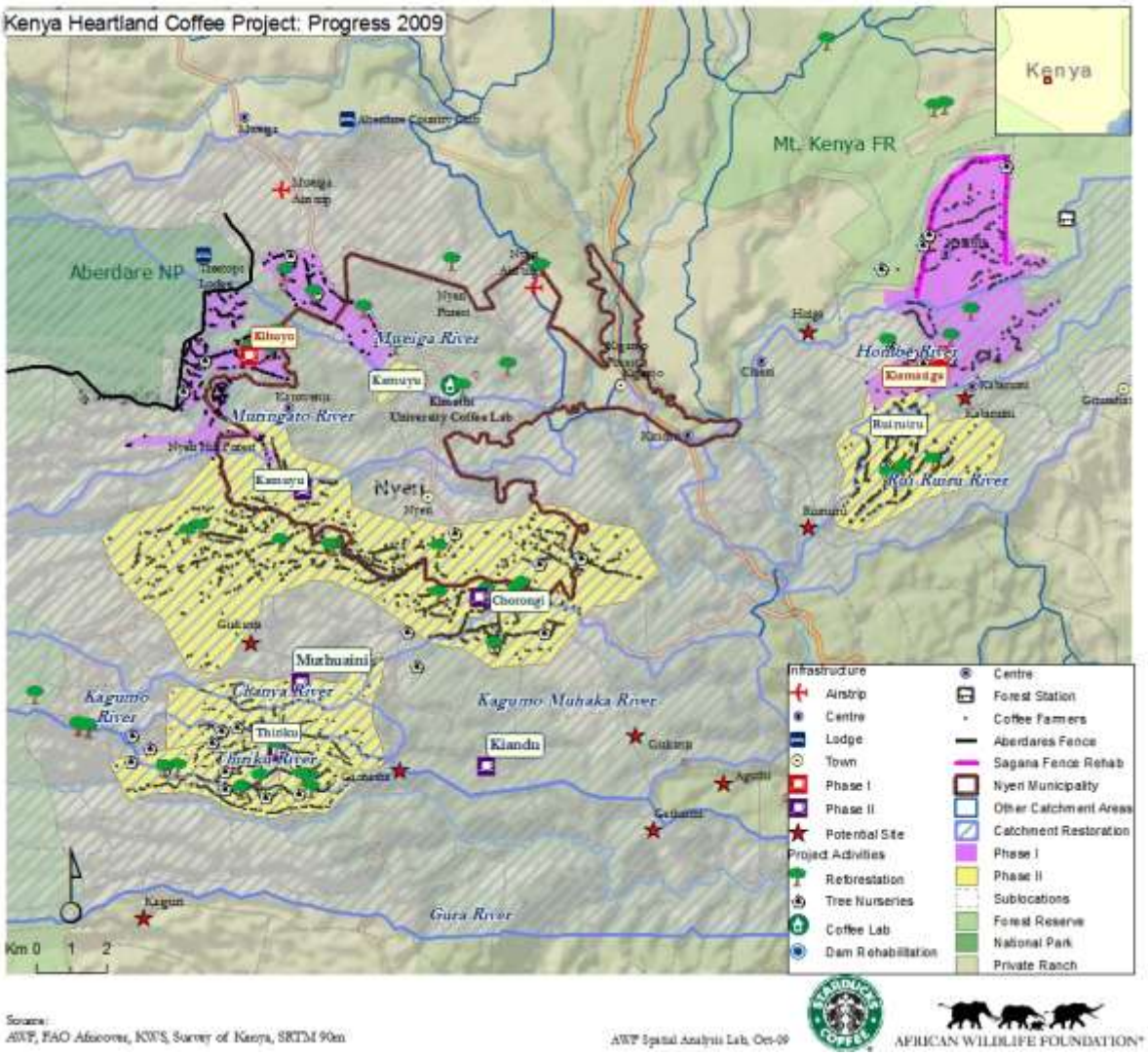

Figure 3: Map showing Project Progress in Coffee Project in Aberdare and Mt. Kenya Areas in Kenya(Map courtesy of African Wildlife Foundation, AWF)

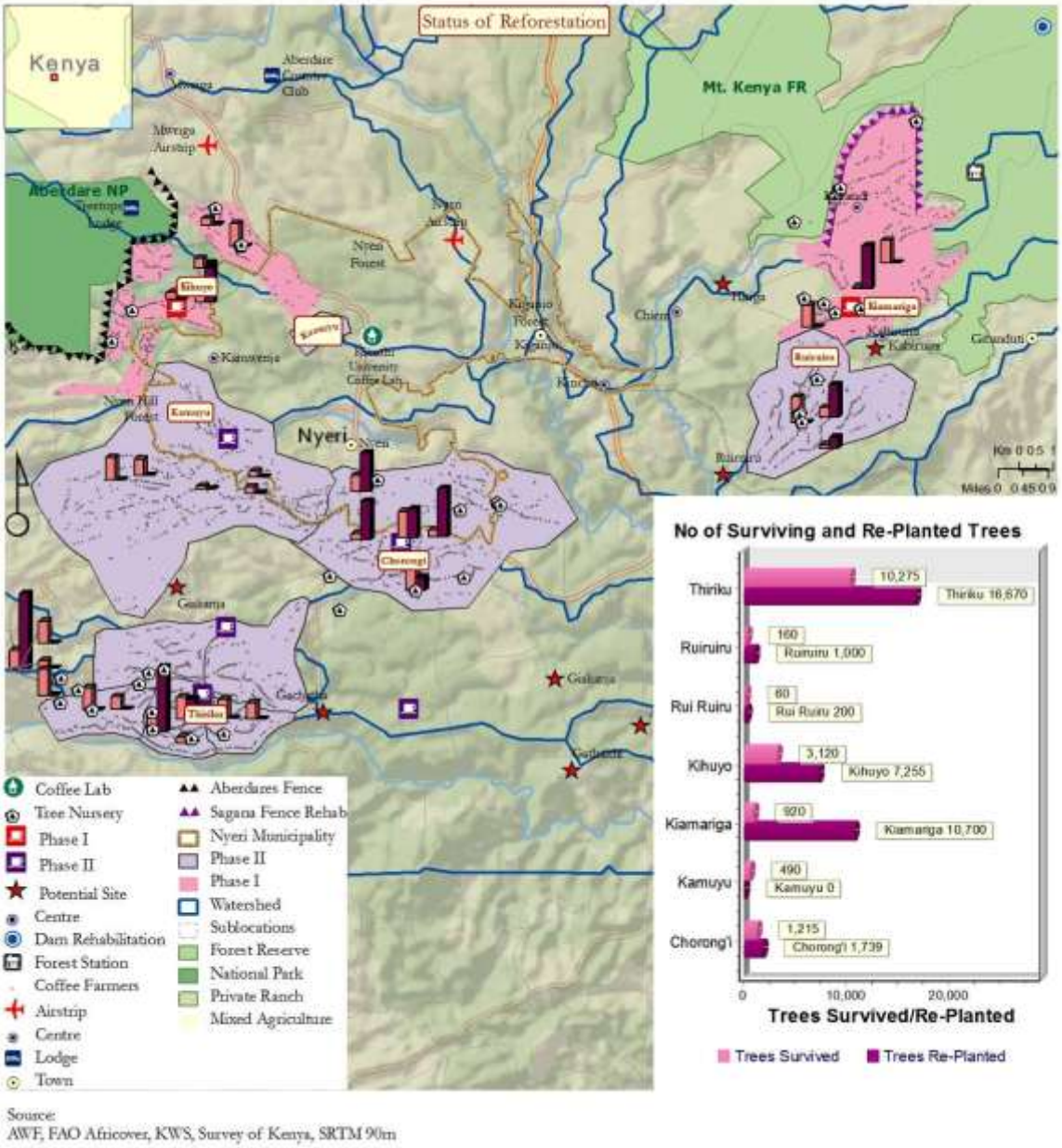

Figure 4: Map showing survival rates of trees in reforestation sites in Aberdare and Mt. Kenya areas in Kenya (Courtesy AWF)

ii. GIS can be used to assess impact of program interventions and activities.

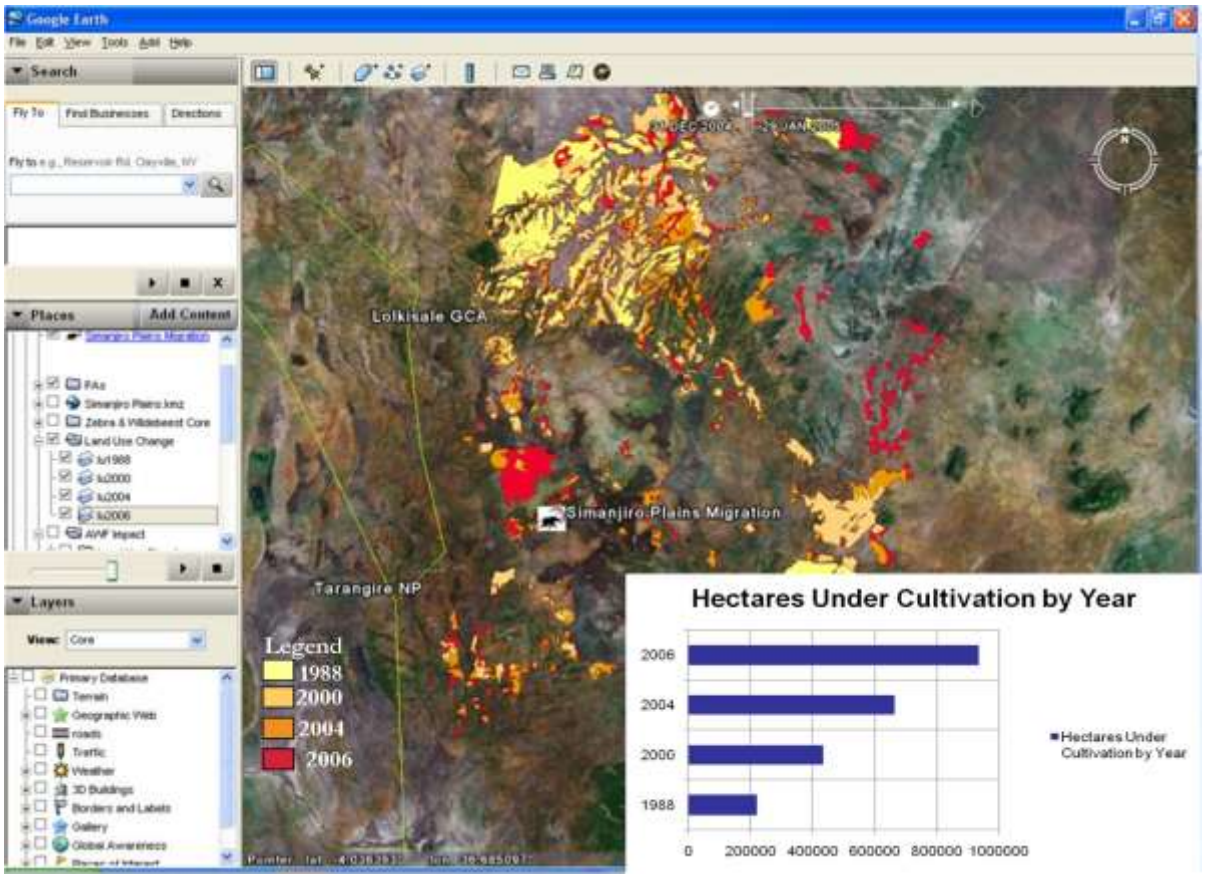

Figure 5: Map showing trends in cultivation in Simanjiro Plains, Tanzania. Same methods could have been used to map fire trends shown in graph below (Courtesy AWF)

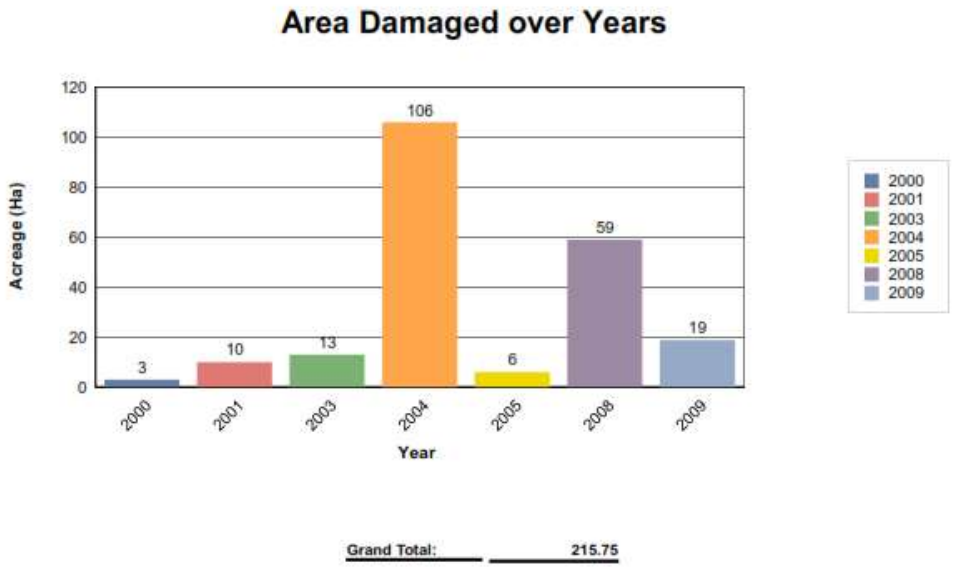

Figure 6: Graph of Trends in Areas damaged by Fire (Courtesy MKEPP-GEF MIS)

iii. GIS can be used to monitor land-use changes in the project area

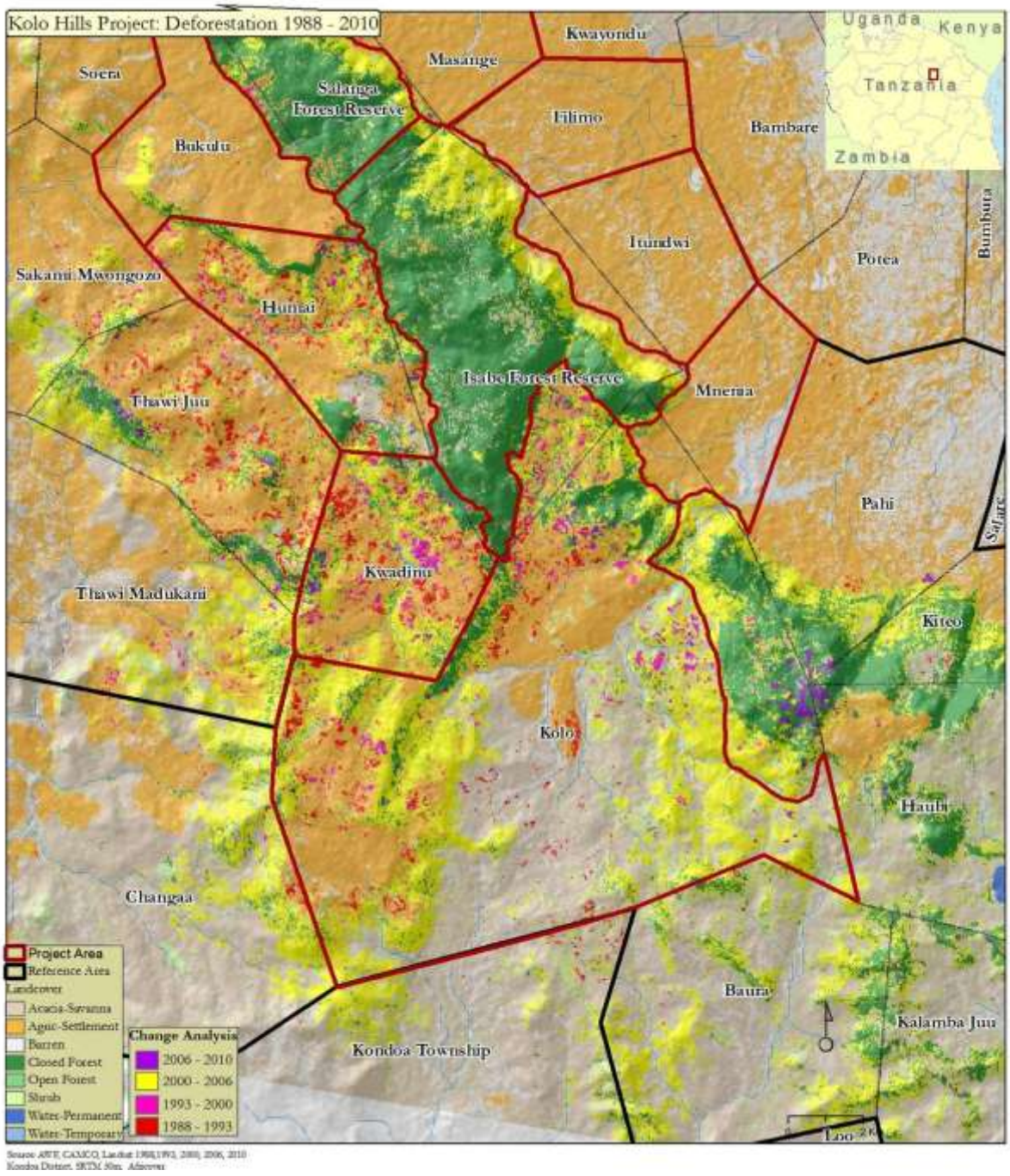

Figure 7: Time Series Analysis of conversion of forest cover to agriculture in Isabe and Salange Forest Reserves and surrounding villages in Kondoa District, Tanzania. (Courtesy AWF)

iv. GIS can be used to map trends in threats

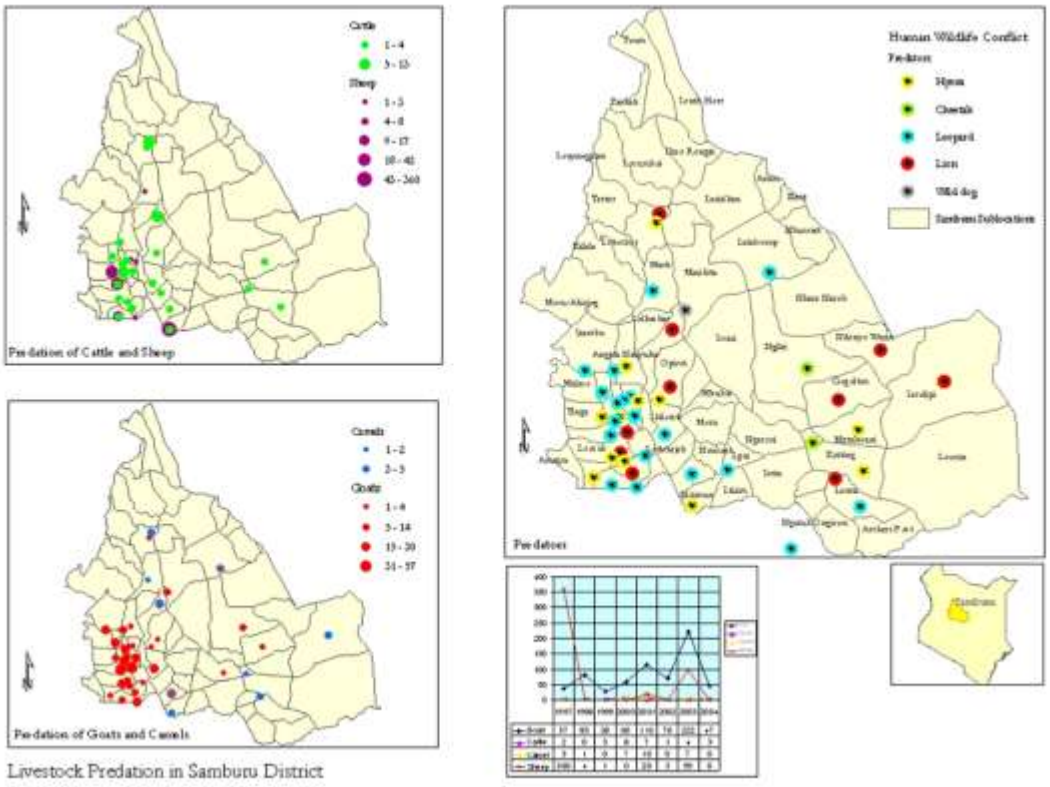

Figure 8: Map showing of human/wildlife conflict in Samburu District, Kenya, showing livestock predation and predators involved in conflict. (Courtesy AWF) Same methods could have been used to map conflict trends from the graph shown below from MKEPP-GEF MIS

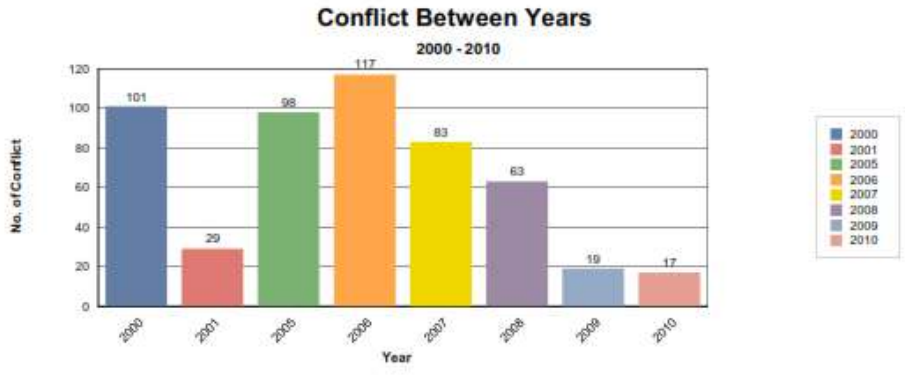

Figure 9: Graph of Human/Wildlife Conflict Threats (Courtesy MKEPP/GEF MIS)

V. RECOMMENDATIONS

1. It is not too late to re-design the GIS. In fact the need for adaptive environmental ecosystem monitoring and evaluation is equally important under Upper Tana River Natural Resources Management Project (UTaNRMP) it was under MKEPP and GIS has potential use to the project. GIS technology can be used to visualize and analyze hydrologic data for tasks such as assessing water quality, estimating water availability, planning flood prevention, understanding the natural environment, and managing water resources. Decision support tools for water resource management like ArcHydro are freely available for use with GIS software. The GIS facility in Kingongo has the potential, if supported, to serve as a resource centre for the stakeholders in Mt. Kenya Ecosystem.

2. KWS needs to urgently develop a plan using the Ten-Stage GIS Planning Methodology and involve all stakeholders.

3. All stakeholders and/or UTaNRMP should be actively involved in the re-design of the GIS system and should provide/contribute the necessary resources.

4. All existing data not yet integrated into the GIS should be processed and converted into GIS layers.

5. Protocols for data collection and sharing should be developed and agreed upon by all stakeholders.

6. Issues of staffing and building staff capacity should be addressed

7. GIS training needs assessment should be carried out to determine different levels of GIS users and their training requirements. That way training can be more specific and targeted. Often resources are wasted training users who have limited interaction with GIS.

8. Depending on availability of cloud-free data, time series analysis should be done using satellite imagery from 2005, 2008 and 2011. This should build on the survey done in 2002[5]. In the absence of satellite imagery, information on changes can be digitized from Google Earth which has recent high resolution imagery covering the project area. This can be compared with the data collected in the 2002 survey.

Annex 6 - Actual project costs by activities compared to budget (variances) as at 30th June 2012 (provided by Project Finance Officer)

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
Training of Researcher on Water Based Management	6,471.65	13,246.52	(6,774.86)
Rehabilitation of degraded areas in the Forest Reserve	1,068,690.02	995,601.99	73,088.03
Development of strategy and guidelines for decision support tools for RBM	16,247.09	0	16,247.09
Rehabilitation of Mweiga Research Station Phase I & II	118,540.91	103,141.32	15,399.59
Supply Works of power to Mt Kenya National Park	287,341.44	289,250.65	(1,909.21)
Study on Water management	3,882.99	5,353.31	(1,470.32)
Imawesa field exchange tours	3,882.99	0	3,882.99
Exchange tours for WRUAs	15,570.80	0	15,570.80
Extensive Workshops with stakeholders	25,147.55	3,233.24	21,914.32
Training for WRUAs on River Basin Management	18,804.04	18,269.87	534.17
Training of Staff on database development & management	15,703.47	19,591.08	(3,887.61)
Formation and strengthening of WRUAs	5,720.94	0	5,720.94

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
Training of Staff on Watershed Management & River Basin Mgt	18,929.59	0	18,929.59
Construction of 1 barrack for rangers/Rangers Houses	196,738.29	185,386.94	11,351.35
Procurement of Vehicles, Tractors and Water Bowser Engine	433,600.83	418,394.28	15,206.55
Purchase of 10 power saws	7,765.98	0	7,765.98
Purchase of GIS system	50,271.81	32,358.27	17,913.54
Procurement of security equipment	38,829.92	0	38,829.92
Purchase of research equipment	22,003.62	0	22,003.62
Purchase of Mountain rescue & search kits	23,297.95	12,353.09	10,944.86
Upgrading of radio communication	78,747.09	67,564.07	11,183.02
Establishment of Monitoring stations in Mt Kenya	13,564.59	0	13,564.59
Undertake a training needs and assessment	12,943.31	0	12,943.31
Training of Accountants in Financial Management	55,468.55	54,779.60	688.94
Training of staff on Biodiversity Inventory	30,416.77	42,359.31	(11,942.53)
Plantations Establishment and maintenance			

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
	11,623.09	9,318.26	2,304.83
Team building workshop	12,943.31	0	12,943.31
Training of Community in Participatory methodologies	23,297.95	0	23,297.95
Rehabilitation of rangers' outposts	77,659.85	85,418.48	(7,758.63)
Training Implementing Staff training on M&E (PRA & OCTAGON)	16,082.06	3,195.94	12,886.12
Training of implementing officers in Strategic Leadership Management	6,795.24	58,413.73	(51,618.50)
Finalization of Mt. Kenya Management Plan	25,886.62	18,142.07	7,744.54
Guiding, Customer care, and mountain rescue Training (Porters/guides)	5,172.15	7,295.07	(2,122.92)
Vehicles & equipment for Districts	28,475.28	25,187.68	3,287.60
Development of Tourism Plan	20,709.29	6,490.77	14,218.52
Training of staff in integrated natural resource management	96,790.06	124,060.07	(27,270.01)
Monitoring Biodiversity Assessment/Wet Season Survey	172,922.60	145,898.67	27,023.93
Conducting Baseline and Aerial Surveys for the project Area	116,489.77	79,305.09	37,184.69
Conducting Environment Impact Assessment (EIA)	90,279.58	31,571.27	58,708.31

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
Fire Fighting Equipment	25,886.62	20,023.95	5,862.67
Construction of Wildlife Barriers (Wildlife Fences)	675,640.69	504,088.84	171,551.86
Training of Staff in Record Management & Store keeping	3,921.82	721.01	3,200.82
Determining variations in carbon sequestration	31,497.54	80,768.80	(49,271.26)
Procurement of lab. Apparatus & furniture	38,829.92	53,011.21	(14,181.28)
Training of Officers in Environmental Impact Assessment (EIA)	4,918.46	0	4,918.46
Training of DEC Members on Environmental Governance	14,235.05	10,490.21	3,744.84
Training for communities in Proposal Writing/Resource Mobilization	10,243.33	6,103.53	4,139.80
Training of staff on public Procurement and Management	11,325.39	2,373.67	8,951.72
Training of Staff in Participatory Methodologies	4,853.74	258.22	4,595.52
Development of Mt.Kenya Ecological Information Management System	24,747.61	24,983.96	(236.36)
Training for communities scouts on maintenance of barriers and PAC	19,557.34	18,215.82	1,341.52
Training of Officers PFM	31,063.94	23,620.93	7,443.01
Training for communities on Fire Management			

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
	6,554.49	1,040.06	5,514.43
Exchange tours for communities	17,432.05	19,020.28	(1,588.23)
Support to Community Projects on NRM	88,991.72	10,518.56	78,473.16
Developments of sub catchment management plans	7,636.55	20,021.33	(12,384.78)
Mid Term Review Mission	34,946.93	31,753.83	3,193.10
Training Implementing staff on Proposal & Report writing	14,528.86	1,659.33	12,869.53
Training Implementing Staff on Project Management	6,471.65	17,486.41	(11,014.76)
Workshops For Knowledge Management /Rural Finance/Implementation	11,150.66	112,412.32	(101,261.66)
Develop a strategy paper on wildlife migratory corridors	32,358.27	248.86	32,109.41
Training for communities in PFM/Nursery management	38,785.92	13,795.28	24,990.64
Forest degradation surveys and trends, mapping of rehabilitation Sites	25,886.62	21,494.62	4,392.00
Training for communities in group dynamics,HIV and Leadership skills	40,284.75	30,103.51	10,181.25
Training of Administrative Secretaries	6,183.02	10,259.84	(4,076.82)
Training of staff on conflict resolution	31,063.94	0	31,063.94

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
Community sensitization on eco-tourism	906.03	0	906.03
Basic advanced and refresher defensive driving course	8,413.15	7,834.05	579.10
Training in Civil Works & Engineering - AutoCAD	5,177.32	2,286.95	2,890.37
Training Officers on Result Based Management	6,471.65	0	6,471.65
Training Rangers & Officers on Fire Management	36,241.26	0	36,241.26
Workshops for conflict resolution & management	6,471.65	799.55	5,672.11
Training staff on computer skills	2,588.66	0	2,588.66
Training Staff on mountain rescue	86,979.03	67,875.87	19,103.16
District in-Training for communities in IGAs	13,608.59	15,990.34	(2,381.75)
Development of site specific Management plans	51,773.23	86,379.46	(34,606.23)
Training of staff on climate change, mitigation and adaptation	6,471.65	0	6,471.65
Training of Staff on GIS and Remote Sensing	25,886.62	24,319.16	1,567.46
Formation of conflict resolution committee (CRC) in-district	962.98	0	962.98
Disaster Management Seminar		0	

PLANNED ACTIVITY	BUDGET (USD)	ACTUAL EXPENDITURE (USD)	VARIANCE (USD)
	3,604.71		3,604.71
Annual Workplan & Budget and Review Workshops	38,015.46	35,170.92	2,844.54
Patrols and Surveillance of Mt.kenya Ecosystem	31,063.94	29,464.57	1,599.37
Salaries for Technical Staff	203,209.94	96,722.75	106,487.19
Operation costs, Allowances ,Meetings and Vehicles Maintenance	494,619.47	623,484.04	(128,864.57)
Internal Rolling Audit	19,414.96	0	19,414.96
Completion of boundary delineation	40,771.42	40,771.42	0
Project Impact Assessment survey	34,946.93	26,606.07	8,340.86
Project Monitoring and Evaluation	80,947.45	30,906.11	50,041.34
Totals	**5,711,837.12**	**4,978,266.27**	**733,570.85**

Annex 7 Project response to the Mid Term Review

See page 49 – 50 of the Mid Term Review

Recommendation (summarised)	Project response/comment on why not done.
Water resources management	
1. Develop comprehensive guidelines for subcatchment management	This output became less relevant as WRMA took on this role.
2. Research scientist needs to support to develop decision support tools (tools to measure sustainable abstraction levels).	This was not done.
Environmental conservation	
3. Project interventions should develop a baseline Environmental and Social management framework.	Audit of project activities was carried out in 2012.
4. Rehabilitation of further 65 km of roads.	Not done (due to shortage of funds?).
5. Find funding for further fencing.	Funding pledged by GOK and Rhino Trust and UTaNRMP
6. Proceed with electrification	Done
7. More human resources, research equipment: camera, binoculars, topofills for elephant surveys	This was not done (presumably due to reallocation of budget).
8. Introduce alternatives to firewood and charcoal.	This was discussed in training activities. A partner NGO, COMPACT, introduced fueld saving jikos.
9. Appropriate methods to ensure gender equity	PIA, Octagon exercises were introduced.
Rural livelihoods	
10. Complete strategy document on elephant corridors which should include practical proposals.	This was not done, presumably due to reallocation of budget. Project team stated that this was not prioritised because KWS is mapping corridors at the National level.
11. More training for communities on maintenance of barriers.	No record of this.
12. Develop market linkages for IGAs	The project team made attempts to link communities to the seedling market outside the project are (through KFS). Contact was also made with supermarket chains and hotels. Marketing continued to be an issue and was identified as a weakness in the community participatory impact assessments.
Community empowerment	
13. Allocate more resources to community empowerment.	This activity continued to be funded through the Rural livelihoods budget (see comments in Section H and J)
Others (way forward)	
Scaling up successful lessons	TOT Information shared through DVD and collection and publication of success stories and through community exchange visits. Limited use of the website.
Harmonisation of allowances for project staff	Done in 2011

Recommendation (summarised)	**Project response/comment on why not done.**
and associates.	
Continue community sensitisation	Community trainings were scaled up using TOTs; exchange tours were done for further knowledge management; sensitization was sustained through various fora during project implementation; training manuals were also developed for various thematic trainings[11]
Continue development of strategic plans for groups.	Strategic plans were developed for 4 CFAs and 3 WRUAs.
Train communities in proposal development.	Training activites carried out.
Develop a communication strategy for the project.	Attempts were made to improve communication from the various layers, communities, zonal managers, foresters, NEMA, KEFRI, etc; this was through emails, letters, PIT, PCU, thematic meetings, regional meetings, success stories, documentaries, annual reports etc
Make use of Green Water Credit and Payment for Environmental services.	Not carried out . Project manager states that "*The project design did not anticipate this and no monies were allocated for the same*."
Use participatory monitoring evaluation	Attempts were made to include all stakeholders especially communities who monitored activities on a daily basis through the community registers. Donors participated in missions, knowledge management days, financial days etc
Improve procurement process	Proper planning through procurement plans enshrined in the AWPB; training was done on procurement and financial management to stakeholder staff over time.
Conduct impact studies: efficacy of training, technologies, microenterprise, biodiversity and community studies.	Team commissioned assessments of the efficacy of training, efficacy of technologies, efficacy of knowledge management, community studies, carbon sequestration study, barrier efficacy studies, impact assessment study, environmental audit, etc

[11] Not seen by evaluators.

Annex 8 Review of Progress from Outcomes to Impact (see diagram)
Outcome rating

Desired Outcome	Comment
CBOs work together with KWS, KFS and stakeholders in planning, implementing and monitoring environmental conservation practices and water resource management.	**Achieved:** Effective partnerships between KWS, KFS and communities have been developed.[12] The project worked with 331 groups in 18 forest stations. Forest management plans were developed with 4 community forest associations. Subcatchment management plans were developed with two Water User Associations. KWS has improved its management and response to crises[13] Forest management plans being implemented in 4 locations.[14] WRUAs supported have formed committees and carried out some activities: tree planting, clearance of eucalyptus, negotiation of factories to reduce pollution, community sensitisation, negotiation to reduce water intakes. KWS Mt Kenya NP Head warden is using tourist map to plan potential developments. Community members actively participating in PELIS resulting in growth in income and reforestation with high levels of tree survival. (observed, but data needed to quantify benefits and distribution of these in the community). **Not yet achieved:** The two WRUAs visited were largely inactive after two years because they had not received any funding to carry out the plans developed in their management plans. (groups

[12] Pers comm project staff and key stakeholders met on field visit.
[13] Based on data on human/wildlife conflict, fire and park revenue
[14] Observed in two locations though evaluators were not able to see a forest management plan

Desired Outcome	**Comment**
	could have been supported by assistance in fund application – DoC). WRUAs had formed monitoring and evaluation committees but these were not active as they had not received training or data. Ongoing support to WRUAs will be provided by the forthcoming UTaNRMP project, so it is likely that this outcome will eventually be achieved. Mt Kenya Ecosystem Management plan has not been signed, nor has it been used in the planning of the UTaNRMP project. Evaluators found no evidence of stakeholders other than KWS using the plan. Mapping has occurred but there is no evidence of stakeholders other than KWS using these maps for planning purposes. Joint park patrols stopped because of lack of funding[15]. KWS and KFS are currently attempting to integrate this activity into their budgets. Constraints on data collection for water management because of lack of clear understanding of roles or agreements between the different agencies involved.
GIS/Decision support tools accessible and used by stakeholders to effectively monitor change, share information and make decisions.	**Achieved** Tourism map is being used by KWS Data on fire incidence, human/wildlife conflict and tourism levels is being collected **Not yet achieved** Development of monitoring indicators. Availability and use of data by stakeholders. Analysis of data
KWS and communities act to reduce	Increased participation of community in fire control.[16]

[15] Environmental component exit meeting August 2012
[16] Personal communication Senior Warden KWS

Desired Outcome	Comment
human/wildlife conflict and fire hazard.	Improved capacity of KWS evidenced in faster and more effective response.[17] Data collection shows reduced incidents of human/wildlife conflict
Households adjacent to Mount Kenya National Park have diversity of income sources and improved market access.	Case studies, the results of participatory impact assessments and the observation of the evaluators indicate that households are diversifying income sources by adopting a number of new enterprises (dairy goats, bee keeping, rabbit production etc). 3316 people, 1310 men and 2008 women have received training in IGAs[18]. PELIS plantation activities and tree seedling production have had significant impact on incomes[19]. Village savings and loan schemes are enabling investment into new income generation projects (described in the case study documents). 1085 people are now members of these groups with a cumulative saving of 1,536,065.[20] Some problems with market access and lack of market e.g for tree seedlings reduced the beneficial outcome of these activities. No data collection to quantify the scale and distribution of impact on household incomes.
Reduction of logging and poaching in protected areas.	Evaluators were informed that poaching and logging by local communities has greatly reduced. However commercial poaching of large game is still a problem on the Mountain. Data should be available from the occurrence books and patrol reports but has not yet been analysed so we cannot quantify this outcome.

Overall outcome rating.

[17] Pers communication Fred Kihara, COMPACT
[18] Annual report 2011 - 2012
[19] Pers comm CFA members interviewed at Gathiuru CFA. Evaluators were unable to access any quantitative data.
[20] Annual report 2011 - 2012

Despite the fact that some outcomes have not yet been achieved, the evaluators consider that it is likely that they will be delivered in time. The project has been designed to feed into a continuing process and allocation of responsibilities for project funding has been made. Therefor the project rating for outcome is A

Rating on Progress towards intermediate states

Desired Intermediate State	Comments on Progress
Effective and adequately resourced GIS facility and decision support tools accessible to all stakeholders.	Progress towards this state but a number of barriers remain: capacity building of personnel, MOUs between key government ministries, upgrading of equipment, ongoing resources for fieldwork. Accessibility of information (see Annex 4 on GIS)
Integrated, participatory and effective planning, management and monitoring of protected areas institutionalised.	Good progress. KWS capacity building has improved ability to respond to poaching, crises and human wildlife conflict as well as creating a better tourist product. All but 4 of the 21 forest stations in the Mount Kenya ecosystem now have forest management plans or are in the process of developing them. Joint patrols with KWS, KFS and Woodley Trust initiated.
Participatory and environmental management and sustainable farming practices become widespread and institutionalised in areas adjoining the NP and NR.	Stakeholders, particularly at the community level commented on the change of attitudes towards conservation as being a major impact of the project.[21] Potential to reach this state if the Mt Kenya ecosystem management plan is adopted.
Increasing areas under forest and plantation and increased tree cover on farms.	There appears to be good progress towards this intermediate state. Forest rehabilitation will be continued under the UTaNRMP project. Data collection including high resolution imagery is needed to quantify the scale of progress.

[21] Pers comm community visits to Kangaita, Gachiege and discussions with project and KFS staff.

Desired Intermediate State	**Comments on Progress**
Efficient and sustainable water management practices become widespread and institutionalised in areas adjoining NP and NR.	Slow progress. Only 7 of 35 catchment plans are complete. There are now 17 WRUAs formed (supported by MKEPP) from a baseline of 1 at the start of MKEPP. WRUAs supported by the project had not been able to access the funds more than a year after completing their SCMP. No data availability to WRUAs to support decision making. However WRUAs will continue to be supported during the forthcoming UTaNRMP project.
Widespread and institutionalised fire and wildlife management reduces level of fire and human wildlife conflict.	Good progress and likely to increase with ongoing construction of fence secured[22]. Need to adopt measure to manage animal populations within the fence (corridors or population control). Monitoring of fire shows causes of fire are becoming less. Fire strategy developed and funding for this is being sought. Issue of fence management need to be addressed. Levels of subsistence poaching and logging decreased (need data to substantiate).
Households adjacent to NP and NR increase productivity, food security and incomes.	Good progress. Need data collection to monitor level and distribution of benefits
Long term funding or income generating mechanisms enable ongoing research and monitoring activities.	CFA and tourism plans contain income generating mechanisms. Also potential to develop carbon and other funding. Monitoring shows an increase in revenue from visitors to the park in last years. KWS has committed itself to ongoing funding of activities generated[23]. However the level of funds will depend on income generated by the organisation.

[22] Funding obtained from Rhino Ark and Government of Kenya (pers comm Jane Musundi, Min of Finance).

Rating on progress towards intermediate states
Measures designed to move towards intermediate states have started and have produced results. If recommended action on GIS system, Ecosystem monitoring plan is carried out, it is likely that progress will be made toward the long term impact. Therefore the rating given is A.

Global Environmental Benefits
The work of the project can already be seen to have achieved global environmental benefits in the following areas:-

- increased forest cover
- integrated management of protected area
- reduction of pressure on forest resources through livelihood diversification.
- environmental data collection that form a baseline for future assessments.
- conservation of carbon stocks in forest through enhancement of carbon sequestration.

Overall likelihood of impact achievement.
The evaluators impression is that given the current level of support and commitment, and if recommendations are followed the likelihood of impact achievement is AA+

Assumptions made in project planning:-
The intentions of the PRSP and Water and Forest Acts with regard to natural resource management are being rolled out and are highly compatible with the work of the project. However some contradictions between policies e.g water, forest, wildlife and NEMA penalities for logging and poaching have made the project's work more difficult. Project financial resources, though delayed, were managed effectively by the project. The project managed to continue its work despite the political disruptions after the 2007 elections. Improved livelihoods have reduced levels of poaching (particularly small game) and logging in the NP and NR.

Anecdotal reports are that fire and commercial poaching (elephants) have been higher than assumed leading to a reduction in the overall benefits[24]. The availability of resources to maintain activities initiated by the project e.g fence maintenance, joint patrols is not assured. These issues need to be addressed to support progress from outcomes to impact.

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[23] Pers comm. Mr Arum, Senior Project Accountant, KWS.
[24] Pers comm Senior Warden

Droughts in the project area led to the loss of 50 ha of plantations.

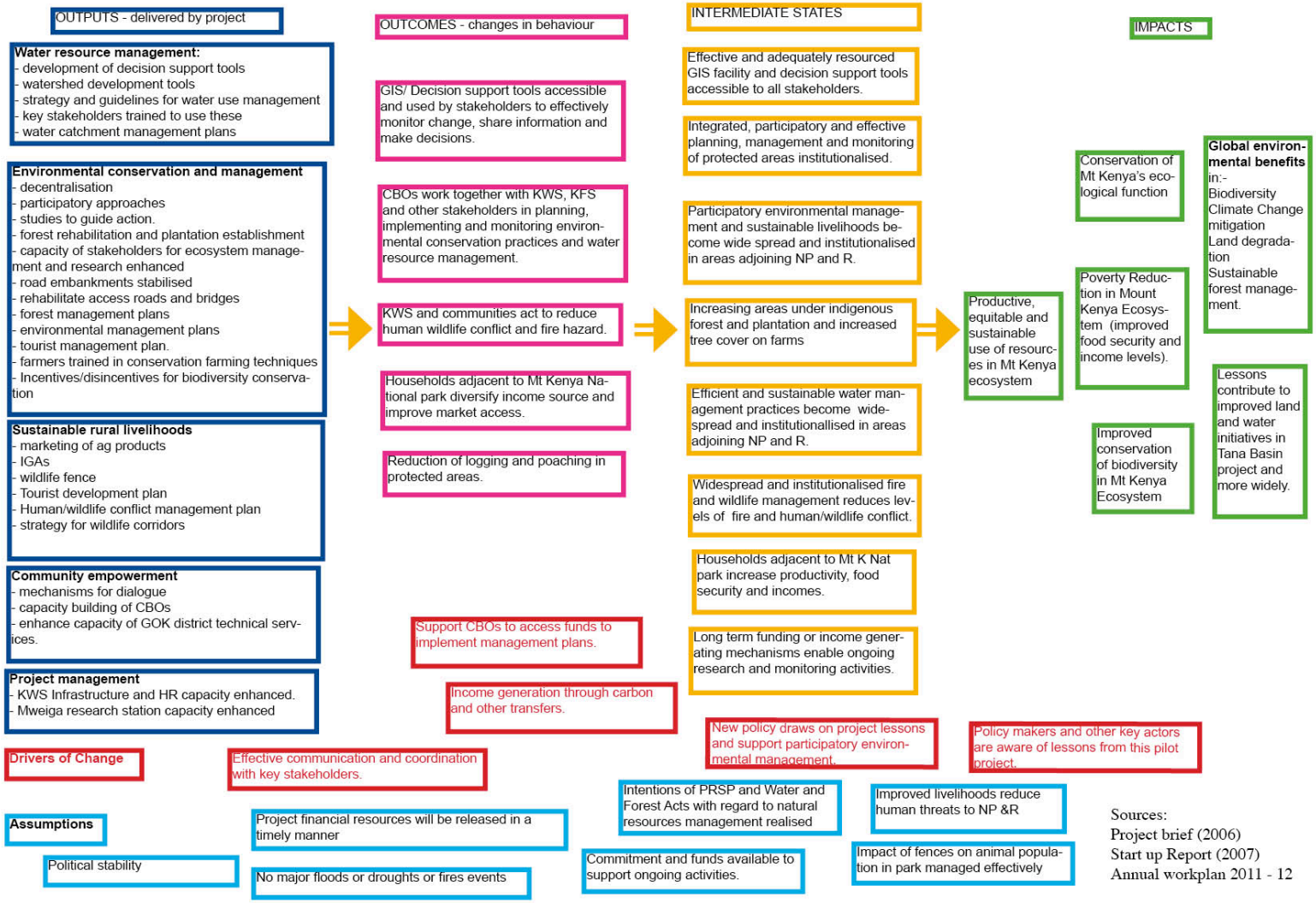
Drivers of Change

The project has worked hard in the implementation stage to build partnerships with key stakeholders. There is still work to be done in terms building consensus for an integrated ecosystem management plan, and developing an integrated environmental monitoring system accessible to all stakeholders (see Section B). More work could have been done in supporting CBOs to access funds to implement new management plans (particularly in the case of WRUAs)[25].

More work to be done in taking lessons to policy makers (e.g lack of harmonisation of policies).

[25] This point was noted in the 2011 complimentary MTR report.

Annex 8 Review of Outcomes to Impacts



Sources:
Project brief (2006)
Start up Report (2007)
Annual workplan 2011 - 12

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EDUCATION AND QUALIFICATONS

1989 MA Social Anthropology, Edinburgh University (1989) (upper second degree)
Awarded Medal and Merchant Company Prize in Economics (1987)
1990 MSc Soil and Water Management (Dryland Farming), Silsoe College, UK. (1990)
2004 Creativity, Innovation and Change (module in Masters in Public Administration at the Open University). Awarded a Distinction.

Short courses in Training for Trainers, PRA, Applied Anthropology, Management in Rural Development, Social Network Analysis.

EMPLOYMENT HISTORY

2011 - 2012	Evaluation Manager, UNEP	Six month contract to assist the UNEP Evaluation Office. Developed Terms of Reference, hired consultants, coordinated and mentored the terminal evaluation process for five UNEP projects (including GEF funded) in the following sectors: Renewable Energy Development, Biodiversity Indicators, Coastal Wastewater management, Multilateral environmental agreements. Working closely with UNEP Evaluation Unit staff, participating in evaluation methodology development and reflection on the recent peer review of the unit, enabled me to deepen my skills and understanding of the UNEP/GEF evaluation process.
2007 –2010	Innovation systems analysis. International Livestock Research Institute, Nairobi, Kenya. (part time)	Supported ILRI scientists in developing innovation systems analysis for project planning, monitoring and evaluation. Conducted an innovation systems analysis which contributed to a broader feasibility study for index based livestock insurance for pastoralists in N. Kenya (in collaboration with Cornell University, World Bank, DfID, Financial Sector Deepening Trust and the Rockefeller Foundation as well a Kenyan NGO, banks and Insurance providers).
2009	Terminal Evaluation of UNEP/GEF Marsabit Forest Conservation Project, Kenya.	Responsible for the evaluation of this project. The process involved a review of project outputs, site visits and interviews with a wide range of stakeholders at national, regional and community level to reflect on the impact and draw lessons from this project.

2007	Innovations systems analysis. DFID Research into Use Programme, Bangladesh.	Facilitated team innovation systems analysis for the initial country assessment for the Research into Use Programme in Bangladesh. Ongoing participation in the RIU programme as part of the innovation systems resource group.
2005 - 2006	Review of innovation in the Bangladeshi NGO sector. Synergynfp, UK.	Review of innovative not for profit organizations in Bangladesh, and lessons for UK NGOs.
2002 - 2004	Research Coordinator DFID's Crop Post Harvest Research Programme	Worked with a multidisciplinary and cross sectoral team to carry out action research on 'innovation systems' in remote river islands (chars) of Bangladesh. Research identified key actors and networks critical to innovation in livestock and crop production in the chars. Our methodology has been shared widely with research organizations in Bangladesh and elsewhere (see publications below).
1997 - 2002	Freelance Consultant NRI, UK ODG, University of East Anglia. CARE, Zimbabwe DFID (Zimbabwe and Bangladesh)	Assignments included:- • Evaluation of Research and Extension in Farm Power Issues DFID challenge fund, Bangladesh. • Facilitated a participatory post project evaluation of CARE's small dam project in Masvingo, Zimbabwe. • Provided socioeconomic input to NRI integrated pest management project in Botswana, and vegetable pest management project in Zimbabwe. • Prepared case study material for DFID intranet website on mainstreaming gender issues in natural resource management. • Taught module on institutional analysis for MSc Students at Greenwich University.
1994 - 1997	Social Scientist Ministry of Agriculture, Namibia. Natural Resources Institute, UK.	Development of cross-departmental teams for farming systems research and extension. Responsibilities included:- human resource development, design and implementation of surveys, developing regional planning,monitoring and evaluation systems, developing farmer research groups and implementing on farm research programme, building partnerships with key stakeholders.
1992 - 1994	Associate Professional Officer, DFID. Dryland Research and Extension Project, KARI **Embu, Kenya**.	• contributed to development of participatory dryland farming research programme • responsible for development of cross sectoral partnerships for technology development.

PUBLICATIONS **Publications include:**

Matsaert, H. Gichuki, K. Ng'weno, F. Mlamba, E. Muriithi, P. Wairasho,P (forthcoming Aug 2012) Being a Bird. A closer look at some of the wonderful birds of Kenya Nature Kenya.

Matsaert, H. Mude, A, Kariuki J (2011) *Index Based Livestock Insurance for Kenyan Pastoralists: An Innovation Systems Perspective.* (Development in Practice Volume 21, no. 2 pp 343 - 356)

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Biggs S. and Matsaert, H.(2004*) Strengthening poverty reduction programmes using an actor oriented approach: examples from natural resource innovation systems.* Agren Network Paper no. 134. January 2004, ISBN and book chapter in Hall et al Innovations in Innovation.

Biggs and Matsaert (1999) *An Actor Oriented Approach for Strengthening Research and Development Capabilities in Natural Resource Systems.* Public Administration and Development 19 pp 231 – 262.

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EXECUTIVE PROFILE

I am a GIS and Remote Sensing expert with over 10 years extensive experience creating and maintaining GIS data sets for use in integrated, multi-sector approaches to sustainable community development and environmental management projects. I have worked on short-term field deployments in Kenya, Tanzania, Democratic Republic of Congo, Rwanda, South Africa, Zambia, Zimbabwe, Botswana, Namibia, Burkina Faso, Cameroon and Nigeria. I am competent in the following areas:

§ Spatial and non-spatial database creation and maintenance
§ Quality control of data and map products
§ Compiling geographic data from a variety of sources and media including field data, satellite imagery, aerial photographs, existing maps, secondary data
§ Analyzing and integrating spatial data using various tools and technologies
§ Analyzing spatial data for geographic statistics to incorporate into documents and reports
§ Disseminating GIS information in appropriate graphic formats for multiple audiences
§ Training material design and training staff/partners on GIS /GPS
§ GIS software installation/troubleshooting
§ Website content management

PROFESSIONAL EXPERIENCE

African Wildlife Foundation
GIS Analyst 2003 to June 2012
Achievements:

1. Contributed to the initial set up of the Spatial Analysis Laboratory including creating country data sets, obtaining software and equipment. Streamlined collection of spatial data, implemented the GIS server and setup the geodatabase. The lab has developed into a fully functional spatial resource facility and contributes to the successful planning and implementation of AWF projects.
2. Team leader for the spatial component of Participatory natural resource management planning (PNRM), Community Based Natural Resources Management Planning (CBNRM), Participatory Forest Management (PFM), Participatory Land-use Planning (PLUM), Resource Zone Management Plans (RZMP), Protected Areas Management Planning Projects. I developed geodatabases and created requisite products for the following projects:

Kenya:

· Koija, Tiemamut, Kijabe, Nkiloriti PNRM (Laikipia District)
· Mukogodo Forest and adjacent Group Ranches NRM – Forest/Range Rehabilitation and Environmental Management Strengthening Program (FORREMS) (Laikipia District)
· Ngutuk Ongiron and Ngirgir Group Ranches NRM (Samburu District)
· CBNRM Plans for Group Ranches West of Kirisia Forest Reserve (Ledero, Nkiloriti, Bawa, Mbaringon, Lodokejek) (Samburu District)

· Kirisia Forest PFM
· Elerai PNRM (Loitokitok District)
· Olgulului Group Ranch NRM (Loitokitok District)
· Kimana Group Ranch NRM (Loitokitok District)
· Imbirikani Group Ranch Zonation (Loitokitok District)
· Shaba

Tanzania

· Enduimet WMA RZMP (9 villages in Longido District)
· Proposed Lake Natron WMA PLUM (27 villages in Longido District)
· Manyara Ranch RZMP (Arusha District)
· Makame WMA RZMP (Kiteto District)

Zambia

· Siavonga NRM Plan (4 Wards in Siavonga District)
· Sekute Conservation Trust NRM Plan (Southern District)
· Sesheke Fish Management Area Zonation (Sesheke District)
· Chiawa Game Management Area Development Zone Micro-Zonation Plan

Zimbabawe

· Mbire NRM Plan (Mbire District)

Namibia

· Bbalywerwa Conservancy NRM Plan

3. Provided GIS and remote sensing support to REDD projects using the Climate, Community and Biodiversity (CCB) Project Design Standards. Projects currently at validation stage.

Tanzania

Kolo Hills Forests (Kondoa District)

Kenya

Imbirikani Group Ranch (Loitokitok District)

4. Created a geodatabase of baseline information on land parcels from Survey of Kenya Registry Index Maps for 5 sites in Kenya.
5. Task Force member of the Mapping Wildlife Dispersal Areas and Migratory Routes/Corridors Southern Kenya Rangeland ecosystems Kenya Vision 2030 Flagship project Taskforce. Report completed.
6. Created a geodatabase for the Kenya Heartlands African Heartland Coffee Project with Starbucks Coffee Company aimed at improving the quality of coffee grown by small holders in priority forest, watershed and biodiversity areas in Thiriku, Ruiruiru, Kihuyo, Kamuyu, Kimariga and Charongi areas in Nyeri District.
7. Contributed to wildlife aerial surveys and scouts based monitoring program in Kenya and Tanzania program areas.

Duties:

· Provide mapping and geospatial analysis support to all project areas in AWF programs in Africa in activities such as heartland scoping, conservation logic for enterprise projects, participatory land-use planning, participatory forest management planning, general management planning for protected areas, wildlife corridor planning, suitability analysis, visibility analysis etc;
· Provide GIS and remote sensing support to REDD+ Climate Change projects within the organization.
· Carryout image analysis and interpretation
· Carryout server administration at the Spatial Analysis Lab, which include the installation, configuration, testing and maintenance of geographic information

systems, as well as server optimization of various functions including geodatabase and web applications.
· Develop data structures for the geo-database and develop and maintain metadata.
· Develop web services and templates.
· Undertake timely preparation, maintenance and dissemination of geographic information and maps including thematic maps and regional base maps.
· Provide technical support in desktop administration including troubleshooting, application software installations and updates, as well as the upkeep of peripheral equipment including plotters and scanners;
· Manage the distribution and maintenance of GIS software licenses and field equipment – GPS units, range finders and other related accessories.
· Provide technical support, including software, hardware and geographic information system support, to field staff in the Africa program.
· Populate GIS data repository with data from AWF Africa programs, and implement appropriate data security and access controls;
· Develop and conduct GIS training programs for AWF staff, partners and community members.
· Coordinate with other regional organizations in the sharing of GIS data
· Liaise with Information and Technology Department on the backup and recovery of the GIS server;
· Assist in procurement and budgetary matters for the GIS Department;
· Manage the technical work of junior staff;
· Perform other duties as required.

Kenya Wildlife Service
GIS Database Supervisor 2000 - 2003
Duties:
· Providing mapping and geospatial analysis support to user departments;
· Populating the GIS database with data from the field units;
· Collecting field data;
· Carrying out software installation and trouble shooting; collection of field data and integration into the database;
· Providing GIS technical support for wildlife aerial surveys;
· Processing NDVI data for the Biomass Assessment Project;
· Training students on attachment;
· Maintenance of software licenses;

Kenya Wildlife Service
Database Supervisor 1996 – 2000
Duties:
I was in charge of developing and managing databases for the Security Department to monitor elephant mortality, poaching and illegal trade in wildlife products.
· Designed Access database for the Security Department to monitor poaching and illegal trade in wildlife products;
· Designed the Elephant database to monitor elephant mortality; Designed Access database to manage vehicle fleet, staff and security equipment;
· Developed and implemented a database system to monitor efficient use of recurrent imprest by 12 field officers.

Kenya Wildlife Service
Executive Assistant 1992 - 1996
Duties:

Managed all office functions to support the Deputy Director Security and three Sectional Heads;
· Drafted correspondence and prepared reports as required;
· Prepared profiles for staff due for promotions;
· Maintained files;
· Maintained the Deputy Director's diary and made travel arrangements for him;
· Coordinated departmental requirements for special projects working directly with the Sectional Heads in the preparation of the Strategic Plans, Annual Work Plans, quarterly and annual reports;
· Organized monthly and adhoc meetings and quarterly seminars for the department.
· Managed all logistics and administrative arrangements for the meetings including –
o Preparation of seminar material and documentation;
o Preparation of the agenda;
o Negotiating and securing venues for the meetings;
o Making travel arrangements for the participants;
o Recording minutes and prepared final reports.
· Recorded minutes during joint meetings between the Security Department and Government agencies at District and Provincial level;
· Recorded minutes during MOU deliberations.

Walker Kontos Advocates 1990 – 1992
Kimani Kairu & Co. Advocates 1987 – 1990
Executive Assistant
Duties:
· General secretarial duties;
· Answering the telephone and dealing with clients' inquiries;
· Drafting correspondence;
· Maintaining a filing system;
· Preparing standard litigation and conveyance documents;
· Any other duties delegated to me by the advocate.

TECHNICAL TRAINING
1. MS-Training Centre for Development for Development Co-operation, Arusha, Tanzania
o Project Planning and Management (Feb-2012)
o Participatory Forest Management Planning (Nov-2011)
2. ESRI Virtual Campus
o Spatial Analysis of Geohazards using ArcGIS 9 (2009)
o Solving Disaster Management Problems using ArcGIS 9 (2009)
3. International Institute for Geo-Information Science and Earth Observation (ITC), Netherlands (Distance Learning)
o Multi-Hazard Risk Assessment (2010)
o Spatial Decision Support systems (2008)
o Hyperspectral Remote Sensing (2007)
o Principles of Remote Sensing (2006)
4. Environmental Systems Research Institute (ESRI) Software Training
o ArcGIS Desktop III – GIS Workflows and Analysis (2011)
o ArcGIS Server Administration (2007)
o ArcGIS II (2005)
o Advanced Analysis with ArcGIS (2005)

o ArcIMS I (2005)
o Working with ArcGIS Spatial Analyst (2005)
o Building Geodatabases (2005)
o PC ArcInfo (2000)
5. Oakar Services Limited
o Fundamentals of ERDAS I and II (2010)
6. GDTA Parc Techologique Du Canal
o Remote Sensing for Natural Resources Management (2001)
7. Kenya Institute of Management
o National Diploma in Business Administration (1998 - 1999)
8. CID Training School
o Prosecution and Investigations Course (1997)
9. Kenya School of Professional Studies
o Dbase Programming (1995)
10. Kenya Polytechnic
o Advanced Diploma in Legal Secretarial (1985 – 1986)

EDUCATION

Currently pursuing on-line distance course with International Institute for Geo-Information Science and Earth Observation (ITC) Netherlands leading to Msc Natural Resource Management.
Nyanchwa Adventist High School (1980) 'O' Levels

PUBLICATIONS

Parchyderm 33: July-December 2002
Decline of Elephants and other wildlife species in the Nasolot, South Turkana and Kerio Valley Kamnarok Conservation Areas of Kenya. *Omondi, P., Bitok, E., Mayienda, R. 2002*

Wageningen International: September 2009
Stakeholder dynamics: A challenge for Adaptive Collaborative Management – a case from Kenya. Emergent practice of Adaptive Collaborative Management in Natural Resource Management in Southern and Eastern Africa: Eight Case Studies.

Biological Diversity and Sustainable Resource Use (InTech): November 2011
Challenges of Linking Socio-Economic Significance and Conservation Value of Forests in Drylands of Kenya: Case Study of Kirisia Forest-Samburu Pastoralists Coexistence. *Joseph Hitimana, James Legilisho Ole Kiyiapi, Pauline Wambui Kibugi, Humphrey Kisioh, Rose Mayienda, Fiesta Warinwa, Philip Lenaiyasa and Daudi Sumba*

CONSULTANCY WORK

1. WWF – Cameroon
o Total aerial count of elephants, giraffe, roan antelope and other wildlife species in Waza National Park, Cameroon, 2007.
o Total Aerial count of elephants and other wildlife species in Faro, Benoue, Bouba Ndjidda National Parks and adjacent hunting blocks in Northern Cameroon, 2008.
2. IUCN CITES – Monitoring of Illegal Killing of Elephants (MIKE) West Africa Programe
o Total aerial count of elephants and other wildlife species in Yankari National Reserve, Nigeria, 2006.
o Total aerial count of elephants and other wildlife species in Sambisa National Reserve, Nigeria 2006.

OTHER INTERESTS

Founder member of Society for Conservation GIS Kenya Chapter

Member Society for Conservation Biology

REFERENCES:

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Annex 10 Analysis of Log Frame and other Planning Documents

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
Terminology used.	Talks about 4 key outputs.	Talks about outputs, called components in brackets.	2007 – 2008 , 2008 – 2009, 2009 – 2010 and 2010 - 11 Annual Reports talk about components	Talks about outputs	Talks about to components
Project outputs listed.	Outputs are :- a)Improved water regulatory systems and water use efficiency. b) Enhanced natural resource management and biodiversity conservation. c) increase sustainability of rural livelihood systems d) strengthened local governance capacity and community empowerment.	This log frame lists MKEPP outputs with GEF outputs listed in italics within the broader output categories. **1. Water resource management.** No GEF activity mentioned. (though 160,000 is budget for GEF activity in this output) **2. Environmental conservation** Under this output, GEF outputs are the following. 2.1.4 improved ecosystem management capacity by all stakeholders 2.1.5 Improved capacity of KWS for research, monitoring and information	**2007 – 2008 Annual Report:** Exec summary says the log frame was revised this year but there is no mention of this in the report. There is no log frame in the report. No community empowerment component, though need for this component is discussed. Coordination and management component added. **2008 – 2009 Annual report.** Exec summary (most cut and pasted from last year) says the log frame was	Exec summary (most cut and pasted from last year) says the log frame was revised this year but there is no mention of this in the report. For the first time a log frame is included! Outputs are 1. Enhance role of stakeholders in watershed management and improve the monitoring system in upper catchments. 2. Enhance effective ecosystem management in Mt Kenya National park and forest reserve. 3. Reduction in human-wildlife conflict.	There is no log frame is the MTR. However project progress is mapped against components. These are:- 1. Water resource management. 2. Environmental conservation. 3. Rural livelihoods 4. Project management. Records activity in Community empowerment even though this is not funded or stated in the MKEPP log frame.

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
		management. (indicator is data and information coordinated collated and disseminated for effective management). (GEF budget 2.74 mill US$) **3. Rural livelihoods** GEF output:- 3.14 Reduction of human/wildlife conflict over land. (GEF budget 1.1 million USD) **4. Community empowerment** No GEF output (and no financing) **5. Project management** No GEF output mentioned. (GEF funding 0.7 mill USD)	revised this year but there is no mention of this in the report. There is no log frame in the report. Activities recorded for Water management, Environmental conservation, rural livelihood component and coordination and management components. Community empowerment activities mentioned but no budget for this activity! **2009 – 2010** Exec summary (most cut and pasted from last year) says the log frame was revised this year but there is no mention of this in the report. There is no log frame in the report. Again no budget for community empowerment. Community empowerment is now included (and	4. Community empowerment. 5. Effective implementation of GEF activities in the NP and reserve. No budget for output 4. Activities are subsumed within Output 3.	

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
			budgeted) under the rural livelihoods component. **2010 – 2011 Annual Report** Exec summary (most cut and pasted from last year) says the log frame was revised this year but there is no mention of this in the report. There is no log frame in the report. Rural livelihood/community empowerment outputs are again combined.		
Reference to environmental monitoring/ GIS unit.	Need for strong monitoring and information system emphasised in the text of this report. P 23 need to rehabilitate Mweiga research status and provide resources to this unit, and outpost Budget of 0.57 million US	Activity 2.1.12 Research monitoring and information management. 2.1.13 Strengthen Mweiga research station for long term monitoring and research. 2.1.15 Set up research outpost in NP headquarters.	2007 – 2008 report mentions procurement of GIS equipment. 2008 – 9: 8 staff training in GIS Baseline surveys by NMK and KEFRI initiated. Mweiga research station rehabilitated and equipped.	States 27 officers in total trained in GIS, GPS and remote sensing. States that ecological information and management system will be complete in 3rd quarter and that consultation with stakeholders has been done (evaluators saw no	States that the development of an ecological information management system is in progress. States that 26 researchers, based at Mweiga have been trained (this is inaccurate) No mention of monitoring indicators.

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
	dollars. Of which GOK to provide 4.6%.	OVIs physical structures. MOV reports, aerial surveillance surveys.	2009 – 10 states the ecological information management system is under development. However no discussion in the text. No mention of indicators. Dry season biodiversity survey complete. 2010 – 2011 Mentions mapping of forest degradation (not seen by evaluators). States development of ecological information system is 75% complete. 2010 supervision report notes that each district has trained 3 officers who are forming district mapping teams and starting to map intervention areas and also update maps (p14). Evaluatoators found no evidence of this.	evidence). No mention of indicators.	Constraints to effective development in this unit are not identified. States that KEFRI carbon sequestration study is concluded p viii. However it was still not concluded at the time of the terminal evaluation.
Stakeholders	P32 institutions to be involved in		No analysis of stakeholder relations.	No analysis of stakeholder relations.	Recommends greater integration of private sector.

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
analysis.	implementation:- KWS, KEFRI, KARI, NGOs, CBOs				
Reference to wildlife barrier	Specific budget not given (falls within output 3, sustainable livelihoods with total GEF funding of 1.1 million USD). Total funding for this output was 1.58 Mill USD, GOK to provide 0.1 mill USD, beneficiaries to provide 0.37 mill USD).	Activity 3.3.1 establishment of wildlife barriers. OVI 397 km of barrier established.	2007 – 2009 EIA conducted and submitted to NEMA. 2010 – 11. States 26 km achieved. Target in text now seems to be 50km but in tables remains 397. No explanation given.	No mention of why targets were changed.	New target of 50 km of barriers (claims that this is due to lack of funding
M&E	M& E planned for 1. Project performance 2. Impact monitoring and evaluation of: - biodiversity - carbon sequestration - trends in forest degradation. - Impact of wildlife barriers - Social and economic indicators Plan to develop specific indicators with relevant actors p 36	Indicator for impact monitoring is reports. NB a separate Annex (8) in this document lists different indicators and omits Output 3.	Reports are formulaic and largely copied and pasted from year to year. Changes in strategy are not mentioned e.g. decision to reduce wildlife barrier from 397 to 86 km is not mentioned anywhere. Each report says the log frame has been reviewed and changed but log frame is never included. No OVIs concerning impact monitoring and evaluation except	No discussion or analysis of final achievements. No OVIs concerning impact monitoring and evaluation except - area of forest rehabilitated and survival of tree seedlings.	Does not identify the fact that impact, monitoring and evaluation is not taking place.

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
			- area of forest rehabilitated and survival of tree seedlings.		
Mt Kenya management plan	Annex in Brief describes the complementarity of the plan and project. It has been a central document in the design of the GEF project.	Not mentioned	2007 – 2008 Finalisation of management plan mentioned. Budget of 1 million shillings of which 952,173 is spent (used for project start up workshop). 2008 – 9 : listed as planned activity with budget of 2 million shillings, expenditure to date 1.4 million. Says conversion to PAPF is in progress. 2009 – 10 – no mention. 2010 – 2011 no mention.	Activity listed: 3.4 Finalising Mt Kenya management plan. Progress not discussed in text.	MTR states this has been completed and is awaiting launching.
Funding	GEF funding 4.73 Cofunding: Forest rehabilitation GEF 1.43 GOK 0.09 Benef 0.44 Ecosystem management capacity GEF 1.5 GOK 0.33 Benef 0		2009 – 2010 notes that 10% of government contribution and 8% of community contribution have been made. 2010 – 2011 notes that 26% of gove contribution and 45% of community contribution has been received.	2011 – 2012 Final Annual report notes that 52% of expected gov contribution and 67% of community contribution has been received. No discussion of reasons.	Cofunding is not mentioned.

Item	Project Brief for CEO endorsement Sept 2006 and Project Grant Nov 2006. Written description of the project.	MKEPP log frame (in grant and brief document 2006)	Annual planning documents 2007 - 2011	Final MKEPP GEF Annual report 2011 - 2012).	MKEPP GEF Mid Term Review.
	Research, Monitoring and info. GEF 0,33 GOK 0.06 Human/wildlife conflict resolution GEF 1.03 GOK 0.14 Bene 0.36 GOK funding to be in form of taxes and duties.				