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# **The Improved Conservation and Governance for Kenya Coastal Forest Protected Area System Project**

## **Terminal Evaluation Report**

**Submitted to UNDP Kenya and WWF Kenya  
Country Office**

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## I. Project Identification

**GEF Project ID:** 2848 (*Medium-Sized Project – MSP*)

**Agency Project ID:** 00055949

**Countries:** Kenya

**Project Title:** *Improved Conservation and Governance for Kenya Coastal Forest Protected Area System*

**GEF Agency (or Agencies):** UNDP- Kenya

## II. Important Project Dates

Milestone	Expected date	Actual date
CEO endorsement/approval		May 14 2007
Agency approval date	May 14 2007	May 14 2007
Implementation start	August 2007	August 2007
Midterm evaluation	August 2009	December 2010
Project completion	August 2011	June 2012
Terminal evaluation completion	August 2011	June 2012
Project closing	August 2011	June 2012

## III. Project Framework

Project component	Activity type	GEF financing (in \$)		Co-financing (in \$)	
		Approved	Actual	Promised	Actual
1. Outcome 1	Technical assistance	645,000	645,000	2,080,000	2,080,000
2. Outcome 2	Technical assistance	75,000	75,000	120,000	120,000
3. Project management		80,000	80,000	90,000	90,000
<b>Total</b>		<b>800,000</b>	<b>800,000</b>	<b>2,290,000</b>	<b>2,290,000</b>

## IV. Co-financing

Source of co-financing Type	Type	Project preparation		Project Implementation		Total	
		Expected	Actual	Expected	Actual	Expected	Actual
Host gov't contribution GEF Agency (ies)	In-kind	Not Applicable	Not Applicable	250,000	195,000	250,000	195,000
Bilateral aid agency (ies)	Grant	Not Applicable	Not Applicable	500,000	450,000	500,000	450,000
Multilateral agency (ies)		Not Applicable	Not Applicable				
Private sector	Cash	Not Applicable	Not Applicable	200,000	290,000	200,000	290,000
NGO	Cash / in-kind	Not Applicable	Not Applicable	1,190,000	1,190,000	1,190,000	1,190,000
Other	Grant	Not Applicable	Not Applicable	150,000	150,000	150,000	150,000
<b>Total co-financing</b>		Not Applicable	Not Applicable	<b>2,290,000</b>	<b>2,275,000</b>	<b>2,290,000</b>	<b>2,275,000</b>

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## Executive Summary

The Medium-Sized Project entitled “Improved Conservation and Governance for Kenya Coastal Forest Protected Area System Project” started in October 2007 and was wound up in June 2012. The project sought to improve the efficacy and sustainability of coastal forest resources management within the Kwale Landscape which covers three new administrative Districts of Kwale, Kinango and Msambweni carved out of the former Kwale district at the Kenya Coast in 2008.

The total protected area as identified in the Project Document was 24,752 hectares, though small and fragmented, these protected areas are of critical importance to the country. It is worth noting that by the end of the project, it had impacted upon 31, 762 hectares. Despite their importance, the forests are under great pressure from the surrounding population. The forests are a target for provision of wood fuel (charcoal and firewood), timber, mining, expansion of settlements and tourism development.

The project objective was that coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scales. The project had two technical outcomes and a project management unit outcome; the first was a demonstration of innovative conservation methods in the Kwale District Forest Landscape, covering 12 Protected Areas of several categories. The second outcome was the integration of Kwale Forest Landscape Restoration model as best practice into protected area policy and programmes in all coastal forest landscapes in Kenya. The management outcome was enabling of timely and efficient of project activities through effective project administration, M&E, and coordination.

The Implementing Agency of the GEF project was UNDP. The Implementing Partner of the project was WWF who were responsible for delivery of the project tasks and activities. The management and implementation of the project was overseen by the Kwale Management Team (KMT), a multi-disciplinary implementation group which comprised of the Kenya Forest Service (KFS), the Kenya Wildlife Service (KWS), National Museums of Kenya (NMK) and the Kenya Forest Research Institute (KEFRI). KEFRI was however not an active partner because they are not well represented at Kwale. WWF provided a facilitation role and a secretariat. A Project Steering Committee (PSC) and a National Task Force (NTF) respectively provided policy and technical support. Implementation of this project benefited from in-kind contribution provided by the central government and co-funding provided by the private sector and Non-Governmental Organisations (NGOs).

This purpose of this terminal evaluation is to assess the project results and impacts as required by UNDP/GEF Project Monitoring and Evaluation Policy. The evaluation rated the project using the GEF 6-point rating system in terms of Sustainability, Outcomes / Achievements, Implementation Approach, Stakeholder participation / Public Involvement, Monitoring and Evaluation. A further important purpose of this final evaluation is to provide recommendations and define lessons learnt in the course of project implementation to facilitate in informing the future direction of similar projects and to identify best practices.

The evaluation used a combination of document review and stakeholder interviews to provide information by which to evaluate the project. Stakeholder interviews in the Kwale area were carried out during eight days of fieldwork in June 2012. A total of 51 stakeholders were interviewed either individually or in small groups. The stakeholders covered governmental organisations, non-governmental organisations, community enterprise groups and the private sector.

Using the GEF rating system (Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory and Highly Unsatisfactory), the overall performance of the project was rated as follows:

- **Sustainability** – “*Satisfactory*”. Sustainability was built into the project from the start. Well selected interventions led to increased sustainability in community enterprises. The governance structured was well primed and functional and will largely remain so for some period after the project completion. Future funding has been leveraged to maintain and build on project gains. Recurrent costs for maintaining the governance platform are relatively low and covered by new funds. The limited GoK ratification of Forest Management Plans and the lack of operationalisation of these plans through Forest Management Agreements, as per the Forests Act 2005, limit some aspects of governmental institutionalisation. There are currently reforms being undertaken with regards to the formulation of the National Forestry (Conservation and Management) Bill, 2012 (as it is presently named) which has slowed down the implementation of the Forests Act as earlier envisaged.
- **Outcomes / achievements** – “*Satisfactory*”. Most outcomes were delivered. Outcome 1 had shortcomings in management plan ratification and monitoring; outcome 2 had been fully delivered. Gains in outcomes have flowed through to outputs and the objective. Management outcome 3 had largely been achieved though there are minor weaknesses identified in use of M&E and information management. The interventions have been consistent with the needs of Kwale Country and the coastal forests. The project objective of conservation and sustainable management of the coastal forest has been largely met. Forest management monitoring using METT scores noted an average 47% increased rather than the target of 50%. The project was deemed to be cost-effective. No cases were identified, from documentation or stakeholder interviews, where the interventions were not considered as the least-cost option.
- **Implementation Approach** – “*Satisfactory*”. The outputs generated were of high quality with regards to those envisioned during project start-up. The resource inputs relating to the project produced optimal outputs as pertains to quality and impact. The outputs were generated within the stipulated timeframes and to budget. The Kwale Management Team, Project Steering Committee and National Task Force were in place and functioning during the life of the project. The alluded to project management structures were instrumental in providing policy guidance, technical assistance and backstopping to the project facilitating smooth implementation. Owing to disbursement of funds in March 2008, the project expenditure for year one was lower than anticipated, this underspend was however incorporated into the year two budget. The budget amendment was ratified by the PSC and documented accordingly. There was minimal disruption to project implementation as a result of this amendment.
- **Stakeholder participation / Public Involvement** – “*Highly satisfactory*”. The project involved all relevant stakeholders which span the governmental, NGO, community enterprise, commercial representative bodies and commercial company sector. Stakeholders have in most cases been actively engaged in the project and perceive that they have been able to air their views openly. Existing communication channels and new communication channels were consistently developed. There has been considerable cross-linking between various stakeholders, especially between the GoK and community sectors, which ensures further stability in engagement and communication. Policy/project briefs and a video have been produced and disseminated. Media campaigns to the wider public were undertaken.
- **Monitoring and Evaluation** – “*Moderately satisfactory*”. The project designed an M&E plan but some elements of the plan were confounded in terms of indicators / targets and there was room for improvement. Some logical links between higher level objectives were not clear. Results were based on baseline and target levels, though a few of these had imperfect logical links. Monitoring reporting was delivered as required throughout the project. PSC meetings were held as planned. The mid-term review was rather late in the project timeline but was responded to in a robust way through revised or supplementary interventions.

Practices of relevance for future projects included:

- **Project visibility:** A majority of the stakeholders interviewed, more so the community beneficiaries and members of the targeted community based organizations were not aware of the fact that the UNDP-GEF project had provided the funds for capacity development, constitution development and establishment of the income generating associations which they were undertaking for the past four years. The project gains realized may thus have been greater had the stakeholders been explicitly aware of the Project’s underlying aims and principles. However, it should be noted that this project was part of a larger forest landscape restoration (FLR) project led by WWF which had secured resources from many organisations such as the Ford Foundation and WWF Network. For many stakeholders, identification of the specific GEF project as opposed to the multiple donor inputs under the FLR banner may well have been confusing and not led to any further gains on the ground.

- ***Incomplete upstream gains:*** The project registered very impressive and significant landscape level gains as pertains to the promotion of the principles of participatory forest management, the creation of sustainable livelihoods, as well as the promotion of gender and youth mainstreaming in natural resource management. It was however noted that these same gains did not translate to upstream gains at the national level during the life of the project in all cases. This was attributed to the relatively short time-frame of the project vis-à-vis the length of time required to register upstream gains in a project focused in a landscape setting. It was however noted that the lessons learned and the best practices in landscape level forest governance and management were used in designing a project in Lamu, the Boni-Dodori Sustainable Forest Management project, and a WWF Tanzania Country Office UNDP-GEF Full Sized Project (FSP).
- ***Staff rotation in governmental partners:*** The project experienced a number of project partner staff moving from their post to alternative posts within the organisation and consequent loss of direct involvement in the project. Such staff rotation is common in government departments and although it may have the benefit of dispersing project knowledge to new areas (as experienced in this project with PFM initiation in Nyeri by rotated Kwale staff) it could also weaken within-project inputs. It may have been beneficial for agreements to have been made with governmental project partners prior to project implementation to ensure that staff directly and actively involved in the project will not be included in the rotation patterns of the organisation.

Best practices recommended for use in future projects included:

- ***Effective sensitisation of judiciary to strengthen enforcement:*** Capacity building on the provisions of the Forests Act, 2005 with regards to fines and penalties for forest offenders resulted in a heightened appreciation for natural resource management and protection by the police and magistrates resulting in expedited issuance of arrest warrants by the police and the awarding of stiffer fines and penalties by magistrates. This has had the positive effect of drastically reducing the rate of forest related crimes in the Kwale landscape.
- ***Credible and valued advocate who is responsive to stakeholder needs:*** All the stakeholders interviewed were unanimous in their acknowledgement of WWF's impressive efforts in serving as a credible convener as pertains to facilitating collaboration between the governmental, non-governmental and private sector players in the Kwale landscape. WWF, being viewed as independent and non-partisan, has fostered greater confidence in stakeholders with regards to co-management arrangements built into the project.
- ***Developing cross-links within governance system to form more robust network:*** The project co-ordinated the development of cross-linkages between organisations which had traditionally low levels of trust. This collaboration will serve as an enduring model to ensure continued co-management within the Kwale landscape facilitating strides towards the realisation of sustainable development for the forest adjacent communities and the wider populace.
- ***Active linkage into policy enhancements:*** The strong governance links developed within this project, and the experiences in forest management, are directly instrumental in the development of the proposed new National Forestry (Conservation and Management) Bill, 2012 which will succeed the existing Forests Act (2005). On a regional level the project has also strongly informed the on-going revision of the 20-year WWF strategy for the coastal forests to realign it with the Coastal East Africa Initiative that has a 25 year conservation strategy comprising the terrestrial, marine and energy sectors.

Through the collaborative efforts engendered within the Project, two developments of global importance have emerged. The first of these is the development of a Sable Antelope Conservation Strategy for the Shimba Hills National Reserve spearheaded by Kenya Wildlife Service (KWS). The second development relates to the first mangrove conservation project in Kenya under the Reduction of Emissions from Deforestation and Forest Degradation (REDD+). The project known as Mikoko Pamoja ("mangroves together") has been developed under the Plan Vivo standard.

The combination of features of global significance, sound pilot achievements in creation of a PFM approach and a governance nexus to take this forward and the high priority of the Coastal East Africa Initiative, create a positive platform for future project developments.



## List of abbreviations and acronyms

CBO	Community Based Organisation
CEAI	Coastal East Africa Initiative
CEPF	Critical Ecosystem Partnership Fund
CFA	Community Forest Association
CFCU	Coastal Forests Conservation Unit
CORDIA	Coastal Oceans Research & Development – Indian Ocean
CPAP	Country Programme Action Plan
EAWLS	East African Wild Life Society
FCC	Forest Conservation Committee
FLR	Forest Landscape Restoration
GEF	Global Environment Facility
GoK	Government of Kenya
HS	Highly Satisfactory
HU	Highly Unsatisfactory
IBAs	Important Bird Areas
IGAs	Income Generating Activities
KCDP	Kenya Coast Development Programme
KEFRI	Kenya Forestry Research Institute
KFS	Kenya Forest Service
KFWG	Kenya Forests Working Group
KWAP	Kwale Agricultural Project
KWS	Kenya Wildlife Service
LOAM	Landscape Output Assessment Method
M&E	Monitoring and Evaluation
ME&MR	Ministry of Environment and Mineral Resources
METT	Management Effectiveness Tracking Tool
MF&W	Ministry of Forestry and Wildlife
MMMB	Miti Mingi Maisha Bora
MoU	Memorandum of Understanding
MS	Marginally Satisfactory
MSP	Medium Size Proposal
MTR	Mid-Term Review
MU	Marginally Unsatisfactory
NBSAP	National Biodiversity Strategy Action Plan
NEAP	National Environment Action Plan
NEMA	National Environment Management Authority
NGO	Non-Governmental Organization
NMK	National Museums of Kenya
NTF	National Task Force
PAs	Protected Areas
PFM	Participatory Forest Management
PIRs	Project Implementation Reports
PSC	Project Steering Committee
S	Satisfactory
SHICOFA	Shimba Hills Community Forest Association
SHIFOGA	Shimba Hills Forest Guides Association
ToR	Terms of Reference
TPR	Tri-Partite Review
U	Unsatisfactory
UNDP SGP	United Nations Development Programme Small Grants Programme
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WCK	Wildlife Clubs of Kenya
WWF ESARPO	World Wide Fund for Nature Eastern and Southern Africa Regional Programme Office
WWF	World Wide Fund for Nature

# 1. Introduction

## 1.1 PURPOSE OF THE EVALUATION

This terminal evaluation of the Medium-Sized Project (MSP) entitled *Improved Conservation and Governance for Kenya Coastal Forest Protected Area System Project* is to assess the project results and impacts as required by the UNDP/GEF Project Monitoring and Evaluation Policy. A final evaluation is a mandatory requirement of UNDP/GEF Projects of this magnitude. As defined in the GEF guidelines for conducting terminal evaluations, the terminal evaluation must provide a comprehensive and systematic account of the performance of a project by assessing its project design, process of implementation, achievements vis-a-vis project objectives endorsed by the GEF including any agreed changes in the objectives during project implementation and any other results.

In line with the aforementioned guidelines, this evaluation sought to analyse and assess the achievements and progress made so far towards achieving the original objectives of the Project. The evaluation also reviewed the sustainability, implementation, stakeholder participation, monitoring and evaluation (M&E) of the project. An important aspect of this final evaluation is to provide recommendations and define lessons learnt in the course of project implementation to facilitate informing the future direction of similar projects and to identify best practice.

## 1.2 KEY ISSUES ADDRESSED

The following key issues were addressed by the final evaluation:

### **Project Design**

The evaluation reviewed the original project intervention strategy including objectives, outcomes, outputs and activities, and assessed the quality of the design and delivery of planned outcomes. The review also assessed the conceptualization, design, effectiveness, relevance and implementability of the project. These elements were reviewed with reference to the Project Document, various progress reports and the logical framework matrix.

### **Project Impact**

The evaluation assessed the achievements of the Project to date juxtaposed against the original objectives, outcomes and activities using the indicators as defined in the Project Document during Project Inception, as well as any amendments made thereafter in the course of project implementation. The alluded to achievements were measured against the indicators as described in the project logframe and the monitoring and evaluation plan. An assessment was made of project impact; in biodiversity terms the reality that gains predominantly accrue at some point after project intervention and often post-project is important to appreciate.

### **Project Implementation**

With regard to project implementation, the review assessed:

- Project management structures and sought to determine the effectiveness of UNDP/GEF, the UNDP Country Office, the Project Steering Committee (PSC), and the Kwale Management Team (KMT).
- The quality and timeliness of delivering outputs and activities in the light of the fact that this project was implemented through multiple partners.
- The financial situation with regards to the project budget and expenditure status.
- The level of cooperation among partners including but not limited to GEF, UNDP, Government counterpart ministries, Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), National Museums of Kenya (NMK), and private companies such as Bamburi-Lafarge Ecosystems, Camp Kenya and Coast Calcium. The synergies that these partners brought to the fore were also assessed.

- The responsiveness of the project management structures to adapt and implement changes in project execution, based on partner and stakeholder feedback, during the life of the project.

### 1.3 METHODOLOGY OF THE EVALUATION

The terminal evaluation methodology was informed by the GEF guides<sup>1 2</sup> and involved the use of the following methodology:

**Review of documents:** The initial stage was a review of documents. The documents reviewed are presented in Annex D. Further background documents were collated from internet publications and are presented as footnotes in the text.

**Evaluation matrix:** An evaluation matrix was devised for the evaluation based around the five components to be assessed, the ToR and the Project Document (Appendix E). This matrix was designed to unpack each of the components into a number of indicators and then to elaborate questions based on those indicators to be used to structure the interviews; the sources of information used to assess the indicators is also indicated.

**Interviews:** Interviews were conducted with persons from lead institutions such as WWF, UNDP, KFS, Kenya Wildlife Service (KWS), National Museums of Kenya (NMK), NGOs and private sector representatives. In addition, focused group meetings were organised with local community groups implementing components of this project. A full list of stakeholder interviewed is presented in Annex C. The evaluation matrix was used as a guide to structure interviews. Initially in the interviews a general discussion on (i) what the organisations does and (ii) what their involvement in the project, was carried out. Then a number of more directed questions were asked. Not all stakeholders interviewed were asked all questions, and in many cases identified questions were not asked directly but in a partial or roundabout way (such as using “*what if..*” scenarios).

**Field Visits:** A request was made to WWF to arrange meeting with a range of identified groups. Field work in Kwale area was carried out between 9-15<sup>th</sup> June, 2012. Annex C presents the itinerary of these visits.

**Analysis of data and meetings on findings and recommendations:** Analysis of the interviews was carried out during the process and subsequently and this was combined with provided documentary resources to help to identify the status of the aforementioned indicators. From this, the report was structured based on the structure provided in the ToR. A PSC meeting was held for the key outcomes to be disseminated and discussed.

Annex B provides the schedule of this evaluation.

### 1.4 STRUCTURE OF THE EVALUATION

The structure of the terminal evaluation report mainly follows the structure provided in the ToR. Firstly, the project and its development context are considered (section 2) and then findings and conclusions on a number of project elements are elaborated (section 3). The project implementation (section 4) and results (section 5) are then determined. This is followed by an additional section compared to the ToR in which ratings are provided for the 5 evaluated components (section 6) – this section was put separately to facilitate the reading of the document. Finally, recommendations are made and lessons learnt described (section 7).

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<sup>1</sup> GEF (2010) The GEF Monitoring and Evaluation Policy. GEF Evaluation Office, Evaluation document no. 4.

<sup>2</sup> GEF (2008) Guidelines for GEF agencies in conducting terminal evaluations. GEF Evaluation Office, Evaluation document no. 3.

## 2. The project and its development context

### 2.1 PROJECT START AND ITS DURATION

The Improved Conservation and Governance for Kenya Coastal Forest Protected Area System four-year project commenced in October 2007 with the Project Document having been signed on August 16<sup>th</sup> 2007. The actual funding of activities by GEF started in March 2008 when the first disbursement of funds was received by WWF. The project was due to end in December 2011 but was granted a six month no-cost extension; the official end date is the 30<sup>th</sup> of June 2012.

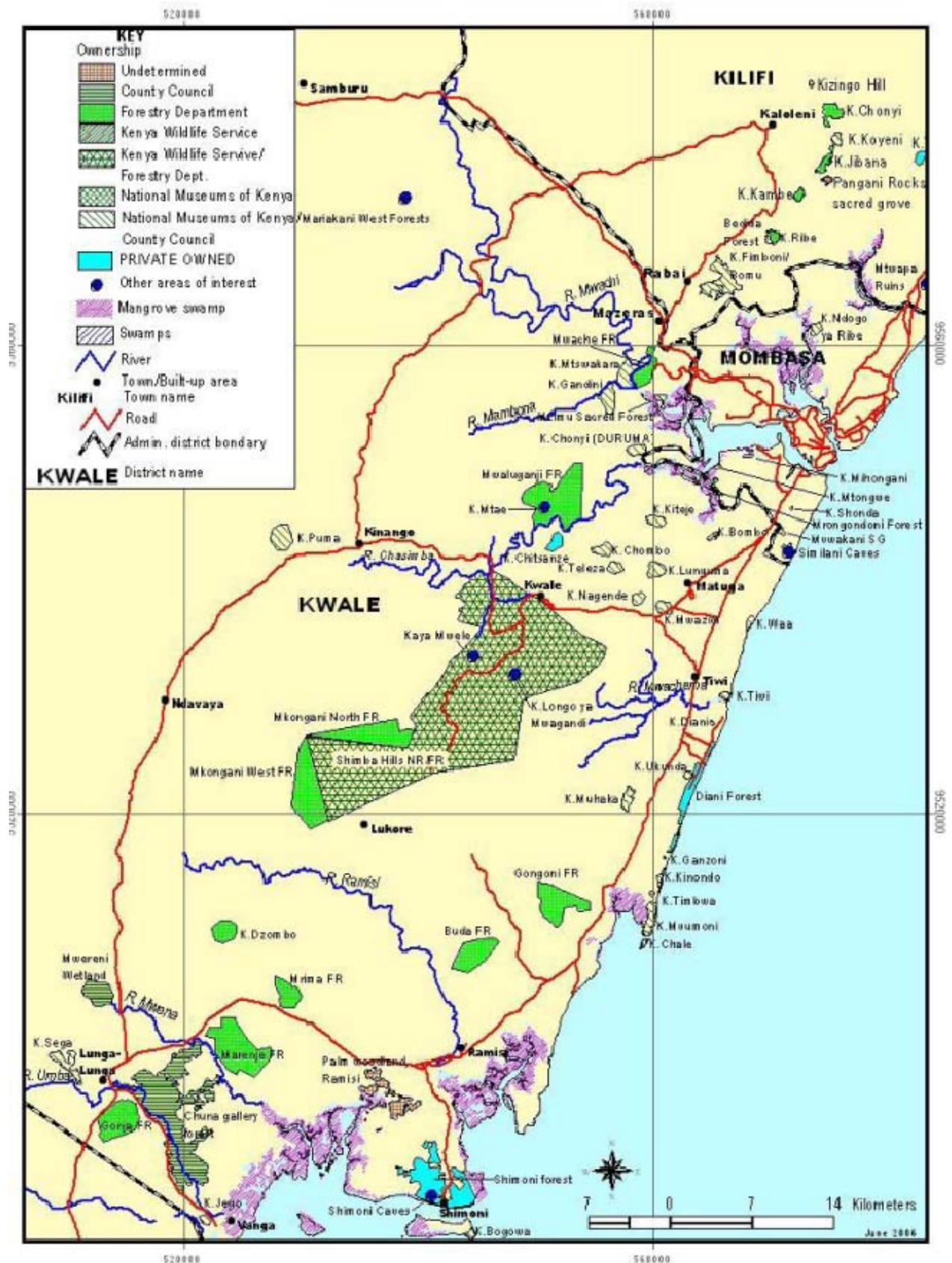
### 2.2 PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS

The Kwale landscape is located on the southern-most part of the Kenyan coast, adjacent to the international border with Tanzania. The boundaries of the Kwale landscape directly correlate with the three new administrative Districts of Kwale, Kinango and Msambweni carved out of the larger former Kwale district. The landscape covers an area of 8,260 km<sup>2</sup> and has a population of over 550,000 people. The total protected area is 24,752 ha, though the project eventually covered 31,762 ha, with Shimba Hills being the single biggest forest block with 19,260 ha. Though small and fragmented, these forest blocks are of critical importance to the country as they are situated at the centre of the country's tourism industry, its largest foreign exchange earner. They are important water catchment areas for the rivers and streams on which the local people in the coastal areas depend on. They also provide the basis for a number of different forms and scales of economic activity, which provides food for national and international consumption.

The landscape is extremely diverse; notably for plant and animal endemism. Despite their importance, the forests are under great pressure from the surrounding population, a majority of who are living below the poverty line and rely heavily on the forests for daily subsistence. The forests are a target for clearing by small – scale farmers, for provision of wood fuel (charcoal and firewood) as well as timber extraction. Kwale forests are also facing threats from major cities like Mombasa for supply of timber, firewood, charcoal and water. Other threats include; uncontrolled fires, mining (recently, titanium and niobium), expansion of settlements and private development.

The project focused on building institutional capacities to manage Forest Protected Areas through a Participatory Forest Management (PFM) system involving local communities, government institutions and private stakeholders. The project addressed conservation needs at the landscape level, bringing together the varied institutional players and stakeholders responsible for forest management (Government at central and district level, through wildlife, forestry, agriculture and community sectors, as well as private sector, civil society and communities). The project capitalized on the new opportunities offered by the Forests Act 2005, which emphasises the need for public-private sector partnerships and community involvement in the management of Forest Protected Areas.

## Map of the Kwale Forest Landscape





## 2.3 IMMEDIATE AND DEVELOPMENT OBJECTIVES

The goal of the project was that Kenya's Forest Protected Area System was based on best practice landscape scale management. The project objective was that coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scales.

The project had four areas of focus:

- a. **Afforestation and re-forestation:** This included development of protected forest blocks management plans; and, restoration and rehabilitation activities in degraded sites within the landscape.
- b. **Livelihood component:** This included establishment of sustainable alternative livelihood options.
- c. **Forest law enforcement and governance (FLEG):** Support for gazettement and protection of protected areas and farmlands was provided.
- d. **Partnerships and institutional support:** The project addressed institutional resource gaps, technical capacity enhancement and establishes linkages for effective project implementation.

Effective PFM systems and traditional forest management practices were also important components of this project.

The full project logical framework is presented in Appendix E.

## 2.4 MAIN STAKEHOLDERS

The main stakeholders in this project were: Ministry of Forestry and Wildlife (MF&W), World Wide Fund for Nature (WWF), United Nations Development Programme (UNDP), Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), National Museums of Kenya – Coastal Forest Conservation Unit (NMK-CFCU), Kenya Forestry Research Institute (KEFRI), Kenya Marine and Fisheries Institute (KMFRI), private sector representatives (Camp Kenya, Bamburi Cement Company Limited (Bamburi-Lafarge Ecosystems), Coast Calcium and Colobus Trust), beneficiaries (Lima Self Help Group and Msambweni Beekeepers Association) and local communities in the project area such as Community Forest Associations (SHICOFA, Mrimadzo, Gogoni-Gazi). The breadth of stakeholders involved in the project was a significant feature.

## 2.5 OUTCOMES / RESULTS EXPECTED

The project objective was that the coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape level. The project had two technical outcomes and a project management outcome; the first is a demonstration of innovative conservation methods in the Kwale District Forest Landscape, covering 12 Protected Areas of several categories. This included one National Reserve, several Forest Reserves, Community Sacred Groves or Kayas, a privately owned forest, and two ungazetted Kaya forests. The second outcome was integration of Kwale Forest Landscape Restoration model as best practice into protected area policy and programmes in all coastal forest landscapes in Kenya. The management outcome was enabling of timely and efficient of project activities through effective project administration, M&E, and coordination.

## 3. Findings and conclusions

### 3.1 PROJECT FORMULATION

The project was formulated in a robust and coherent way. Previous experiences and lessons were drawn into the design of the project such as the Coastal Forest Conservation Unit (CFCU) (funded by WWF/DFID), the Arabuko Sokoke Forest Management Plan (USAID) and the Shimba Hills Project (GTZ) initiative. In particular, the Arabuko Sokoke Forest Management project developed a participatory strategic forest management plan that acted as a relatively-direct analogue for the management plans in the planned project and the Participatory Rural Appraisal (PRAs) undertaken during the inception of the Shimba Hills informed proposed livelihood developments in the project formulation.

A review of lessons on the East Africa Coastal Forests Ecoregion published in 2004<sup>3</sup> can be clearly seen in the project formulation. General cross-cutting issues included:

- Strategic plans make investment and action easier.
- Implementation through local partners has worked well.
- Small budget projects have had a significant impact.

Originally, the project was to cover an area of coastal forest wider than the Kwale area. However, following stakeholder consultations during the formulation stage the area was limited to the Kenyan coastal forests around Kwale. This was partly due to the conservation and livelihood experience and knowledge platform provided by the previous aforementioned projects, but also due to the severe threats associated with the remnant Kaya areas and relatively strong government institutions in a relatively secure geographical area. This limitation of the project to a relatively small area of the coastal forest ecoregion led to, by the end of the project, more secure and interconnected governance structures. This represents a better outcome than more widely dispersed inputs and more fragile and less enduring governance structures which would have been the case with inclusion of a larger area with no greater resources.

Following the original Project Document in 2005 the Forests Bill gained assent in November 2005. This Act restructured the Forest Department to the Kenya Forest Service (KFS), a process which still seems to be going on and partly affecting operational issues as of mid-2012. However, the project formulation was supported by this Act as it proposed the development of Community Forest Associations (CFAs) who were to be involved in drafting a management plan (Article 46). The Act also permitted communities to assist in the management and conservation of forest areas and confer to the CFAs user-rights in areas such as eco-tourism, honey, forest produce for community use, plantation and silviculture operations and medicinal plants (Art. 47). As such, the Forests Act 2005, validated the approach taken previously at Arabuko Sokoke, and through the new legalisation, strengthened the formulation of the project within the policy landscape.

### 3.2 IMPLEMENTATION APPROACH

The approach used in the implementation of the project followed the one designed at the project formulation stage. UNDP Kenya Country Office was the GEF Implementing Agency for the project. The Implementing Partner was WWF KCO (Kenya Country Office). The project was administered under the overall framework of the Coastal East Africa Initiative (CEA-I) of WWF-Eastern and Southern Africa Regional Programme Office (ESARPO). This project was designed to be implemented through a Project Steering Committee (PSC) and the National Task Force (NTF). PSC membership was comprised of the Ministry of Forestry and Wildlife (MFW) and its agencies namely KFS and KWS, Ministry of Environment and Mineral Resources (ME&MR), National Environment Management Authority (NEMA), UN Desk Officer within Ministry of Finance, a representative of the Forest Conservation Committee (FCC), Zonal Manager (previously District Forestry Officer) Kwale District,

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<sup>3</sup> Githitho, A. (2004) Capture of lessons learned by WWF in the Eastern African coastal forest ecoregion.

UNDP Kenya and WWF-ESARPO. PSC was a policy level decision-making organ for the implementation of the project and meets before the Tri-Partite Review (TPR) to identify issues that the TPR can advise on for effective project implementation.

The PSC, as envisaged at project formulation, met twice per year. The TPR was an institutional arrangement under GEF where representatives of government such as the line ministry, funding partners such as UNDP and the implementing institution such as an NGO or private sector agency meet and discuss the progress of the project. As indicated in the project document, it met annually. The TPR comprised of a representative from the Ministry of Forestry and Wildlife, WWF and UNDP.

Being the topmost organ that oversees implementation of the project at policy level, the PSC ensured that the project delivered on set outputs, accounted for the resources and ensured that the implementation of the project adhered to the policies of the parties involved, including government, partners and UNDP. The PSC was informed by the technical sub-committee, the NTF, which was responsible for delivery of outcomes and monitoring in terms of technical, financial and management aspects. NTF was also responsible for coordination and implementation of project activities. Like the PSC and as envisaged in the project formulation, NTF also met twice per year and conducted site visits each time it met. The other duties performed by the PSC since project inception were receiving of project reports and documents, making recommendations and approving budgets and work plans. The NTF acted as the technical arm of the PSC, to which the three key agencies (KFS, KWS and NMK), including community representation (through Forest Conservation Committee - FCC, Coast Conservancy) were members. Coordination and linkage between government institutions and WWF in Kwale was addressed through the formation of the Kwale Management Team consisting of Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), National Museums of Kenya (NMK) and Kenya Forestry Research Institute (KEFRI). This team met quarterly to plan, monitor and evaluate progress in their annual workplan and related plans. These agencies also sat on the NTF and attend and contribute to PSC meetings of the project.

A Coastal Forest Programme Coordinator (based in Mombasa, replaced later during project implementation by a Coastal Kenya Programme Coordinator based in Lamu) and a Project Executant (based in Kwale) were responsible for the overall project coordination, implementation and routine reporting. Project activities were undertaken by relevant governmental, non-governmental and community-based agencies and where appropriate, by the private sector.

### 3.3 COUNTRY OWNERSHIP / DRIVENESS

This project was part of the larger WWF Eastern Africa Coastal Forests Ecoregion programme which ended in 2009 and had been ongoing since the early 2000s, and is now under the Terrestrial Component of what is now referred to as the Coastal East Africa Initiative (CEAI). A Strategic Framework 2005-2025<sup>4</sup> was published which outlined the vision (*"The coastal forests of eastern and south-eastern Africa are conserved, managed and sustainably utilised for the benefit of present and future generations"*) and 6 strategic goals involving conservation, protection livelihoods, capacity, enabling policy and knowledge and monitoring. This Strategic Framework was developed through wide stakeholder participation and thus presents a strong degree of country ownership. The Forests Act also reinforced the country ownership of the project as it tasked the KFS and CFA with the development of management plans and management agreements for co-management of forest sites; just the approach favoured by the WWF Strategic Framework.

The involvement of a large private sector industrial company (Bamburi-Lafarge) as a co-financier was also positive in terms of country ownership. This linkage to the industrial private sector increased the scope of the project and experiences in forest regeneration. The large cement works in Mombasa is actively restoring mined land to forest and also growing trees on future mining areas with the objective of increasing their woodfuel base. The most appropriate analogue for the forest type favoured by Lafarge Ecosystems is the coastal forest habitat. To this end many of the trees were derived from the area around Shimba Hills, one of the sites of the project and which typifies this coastal forest habitat.

Of a more local nature, but of importance to the localities of the remnant fragments of forest, are the communities surrounding the Kayas. A number of respondents noted that the traditional fabric of the society

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<sup>4</sup> WWF (2006) Eastern Africa Coastal Forests: Strategic Framework 2005 to 2025.



was changing with increasing lack of engagement between the elders and the youth in these societies. The upshot of this was that traditional sacred forest was experiencing trivial or in some cases significant degradation mainly around the periphery. Reinforcement of the Kayas as sacred groves was deemed necessary to secure such degradation in the society, as such Kaya-secure livelihoods to include the youth were becoming a priority to stabilise these local communities.

### 3.4 STAKEHOLDER PARTICIPATION

Stakeholder participation in project formulation and during the project lifetime was good and in many cases excellent. This is especially important in light of the critical risks identified in the Project Document: *“mistrust between local communities and GoK field officers undermines their ability to work together”* and *“collaborative agreements between communities and government not honoured”*. Stakeholder involvement was with all of the institutional types involved in coastal forest management: governmental (KFS, KWS, NMK etc), NGO (e.g. Colobus trust), community groups with a legal basis (CFA’s such as Mrimadzo and Shimba), community enterprise groups (Lima self-help group) and private sector (e.g. Bamburi Lafarge).

The reasons for such positive stakeholder participation were elaborated by many respondents. The key element was the role played by WWF in promoting participation. This was for a number of reasons:

- Longevity and inclusion – WWF has been active in the area for many years prior to the project commencement and as such they had built up a wide and inclusive network of stakeholders. Over time it seems that trust and respect had been built up by WWF permitting open engagement and discussion.
- Independence and cross-linkages – WWF was seen as an independent body and thus could act as an arbiter or “go-between” in discussions. This allowed WWF to co-ordinate the development of cross-linkages between different organisations which in some cases have traditionally low levels of trust (e.g. community and governmental bodies). For example, the on-going collaboration between Buda Forest Station (KFS) and Mrimadzo CFA was brokered and supported by WWF through the project and has led to an strong co-management situation by the end of the project.
- Responsiveness – WWF were generally viewed as being very responsive to the needs of the stakeholders. As such the WWF provided very targeted inputs to support the development of the governance system, for example for specific training / capacity building, support for enterprise groups to receive KEBS (Kenyan Bureau of Standards) certification for products and for relatively emergency actions such as replacement of water storage system for Lima self-help group.

### 3.5 UNDP COMPARATIVE ADVANTAGE

Interventions under this project are anchored in UNDP’s Country Programme Action Plan (CPAP) for Kenya. In the forestry sector, UNDP has provided a lot of support to the Government of Kenya and NGOs in formulation of strategies, policies and laws and in implementation of forestry programmes. UNDP supported the preparation of the forest conservation and management strategy (2003) and the recently enacted Forests Act of 2005 which is one of the laws that this project sought to support in implementation. UNDP also supports the forestry sector reform process. UNDP Kenya also has a long history of providing technical assistance and support for capacity building for biodiversity conservation in Kenya which strengthens its oversight role in this project.

UNDP was the implementing Agency of the GEF funded East Africa Biodiversity project and the on-going forest strategies and policies project implemented by the East African Wild Life Society (EAWLS). UNDP has a long term experience and good working relationship with governments across all sectors in over 160 countries that make it easy to share knowledge and experiences. UNDP also has a governance programme and an enterprise unit that are available to provide technical support to the project. In addition, financial management tools are also available. These are some of the reasons why UNDP had comparative advantage in the formulation and implementation of this project. Further, UNDP has a successful history of GEF projects including forest resource conservation projects through full sized projects and the GEF Small Grants Programme.

To remain globally competitive Kenya has to manage and sustain the environment and the natural resource base. The country subsistence and national economies, foreign exchange and significant contribution to GDP depend on agriculture and agro-based industries, tourism, water resources and hydropower. Despite this

reality Kenya is facing many environment challenges that include deforestation, soil erosion, and land degradation, desertification, and loss of biodiversity, water scarcity and pollution from industry. The challenges are exacerbated by floods, droughts and other related risks associated with climate change, thereby threatening national security and increasing societal and national economic vulnerability. The management of environment and natural resources is under the Social Pillar of Vision 2030 - *“nation living in a clean, secure and sustainable environment”* and with strategic thrusts in conservation, pollution and waste management, enhancing disaster preparedness and improving capacity for adapting to global climate change, arid and semi-arid lands and environmental planning and governance. The Energy and Environment component of the current Government of Kenya – UNDP programme responds and contributes to this Pillar 3 of Vision 2030, MDG7 and UNDAF Outcome 3.2 *“To enhance environmental management for economic growth with equitable access to energy services and response to climate change”*, focusing on challenges and opportunities of climate change, management of natural resources for poverty reduction and managing energy for sustainable development and achievement of MDGs for sustainable development. The component contributes to Goal 3 of MYFF and Strategic Goal 4 of the UNDP Global Programme.

With regards to the GEF funded project, *“Improved Conservation and Governance of Kenya’s Coastal Forest Protected Area System”*, the Project fell under the ambit of the Energy, Environment and Climate Change Unit of the UNDP Kenya Country Programme Office. The overall goal of the Energy and Environment component of the Country Programme is to support Kenya meet its obligations to international environment agreements while enhancing the contribution of natural resources and the environment to poverty reduction and sustainable socio-economic development. This is realized through supporting development of appropriate policies, strategies, tools and innovative programmes that integrate environment into national planning and budgeting processes together with promoting effective management of natural resources for production and income diversification. Within UNDP special mandate of furthering agenda for sustainable development the programme component assists Kenya in the domestication of Multilateral Environment Agreements and Conventions through development of projects that build capacity at grassroots and national levels under various funding facilities such as GEF, Multilateral Fund of the Montreal Protocol and Kyoto’s Cleaner Development Mechanism.

Of particular relevance, as pertains to this project, is the second strategic focus area which is Sustainable Management of Land and Natural Resources which seeks to enhance environment services with focus on support for development of pro-poor policies, tools and innovative practices for equitable access to, sustainable management and utilization of living natural resources to generate socio-economic benefit. Special attention is given to important assets that are currently being utilized unsustainably. Specifically UNDP support targets three main outputs: national level advocacy and capacity for sustainable management of natural resources; building capacity of local communities and local level community and civil society institutions with focus on women and youth for sustainable management and use of natural resources and capacity for public institutions such as government ministries, National Environment Management Authority and the Kenya Forest Service to enforce and ensure compliance to policies, laws and guidelines.

UNDP Kenya bio-diversity conservation programs are geared towards helping communities maintain and benefit from their biodiversity and ecosystems. Well balanced biodiversity and ecosystems underpin human welfare and economic development, and provide the poor with food security, fuel, shelter and other vital livelihoods including reduced vulnerability to climate change. It is also worth noting that one of UNDP’s mandates in the environment sector - is to support the enhancement of national capacity in the management of the environment and natural resources through an integrated approach. The WWF executed Project brings to the fore the alluded to issues through the adoption of participatory forest management (PFM) in the focal project sites.

UNDP’s comparative advantage as outlined above means it was thus well poised to provide strategic oversight of this project based on the afore-mentioned focal strengths and its longstanding experience on issues relating to sustainable development underpinned by the pillars of social, economic and environmental sustainability.

### 3.6 RISKS AND RISK MANAGEMENT

A detailed breakdown of the indicators, assumptions and risks associated with the project were included in the Project Document in the form of a table. A summary of the main risks and assumptions for the MSP are presented below.

Assumptions:

- Political constraints do not impede best practice landscape scale management across the National Forest Protected Area System.
- Government remains committed to implementing the new Forests Act, 2005.
- Government and local partners remain committed to collaboration on forest management.

Based on the alluded to assumptions, a risk log matrix outlining the final risk mitigating measures undertaken during the life of the project was included in the terminal evaluation.

Critical Risks (reflecting assumptions in the log frame)		
Risk	Rating	Risk Mitigation Measure
<b><i>Mistrust between local communities and Government of Kenya field officers undermines their ability to work together</i></b>	S	The project was able to build trust by joint training in conflict resolution and participatory management and by working together during the course of the project to achieve the common identified objectives.
<b><i>Insufficient political will and commitment exists to support project objectives</i></b>  <b><i>Vested interests exert political pressure for excisions and degazettements</i></b>	S	The project was able to build support for conservation of the Kwale Protected Areas (Pas) at 3 levels: <ol style="list-style-type: none"> <li>1) The general public through awareness creation campaigns</li> <li>2) The local communities through regulated sustainable utilisation of forest resources and in so doing nipping in the bud, through Participatory Forest Management (PFM), the alienation of these communities from forest management</li> <li>3) The Government and Provincial Administration through District Environment Committees (DECs), National Environment Management Authority (NEMA), the Project Steering Committee (PSC), Directors of Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), National Museums of Kenya (NMK) and Kenya Forestry Research Institute (KEFRI), magistrates and judges, and the police.</li> </ol>
<b><i>Collaborative agreements between communities and government are not honoured</i></b>	S	The project undertook extensive consultations with the various stakeholders before the management plans were signed. Within the yet to be ratified management agreements, monitoring procedures for the early detection of any violations with prescribed penalties

		have been incorporated.
<i>Collective benefits to communities are too meagre/ intangible to motivate them to contribute to PFM and project activities.</i>	S	Project Income Generating Activities (IGAs) have been based on sound training, informed product development, a strong marketing strategy, quality assurance and product certification. The NMK/USAID Mombasa exhibit will also ensure local markets for community enterprise products.
<b>Overall Risk Rating</b>	<b>S</b>	

Given the multiplicity of reporting requirements in the project the Risk Log Matrix added another useful tool for effective risk management in project implementation

Risk management approach is rated as **Satisfactory**.

### 3.7 LINKAGES BETWEEN PROJECT AND OTHER INTERVENTIONS

The Project has provided linkages between the project, government institutions and ministries, communities and the private sector. These linkages are of vast importance owing to the cross-cutting nature of forestry issues which need to be addressed in consultation with other sectors. The project is working with the private sector and government Ministry of Agriculture, Ministry of Youth and Sports and Ministry of Livestock to deliver on the poverty alleviation and forest restoration components. The delivery of these two components is also linked to Kenya's Vision 2030, the National Climate Change Response Strategy (NCCRS) and the Millennium Development Goals (MDGs). The alluded to are embedded in aspects related to eradication of extreme poverty and hunger, working towards environmental sustainability and development of a global, national and local partnership for development. The NCCRS also seeks to address issues relating to climate change adaptation and mitigation and forestry plays a key role as pertains to climate change resilience and reduction of vulnerability.

### 3.8 MANAGEMENT ARRANGEMENTS

The United Nations Development Programme (UNDP) was the GEF Implementing Agency of the Project. The Implementing Partner was WWF- Eastern and Southern Regional Programme Office (WWF-ESARPO).

At site level, the project was implemented by WWF with the active participation of the Kwale Management Team (KMT) comprising of technical personnel from lead government agencies including KFS, KWS and NMK. The involvement of private sector represented by Lafarge Ecosystems Services, Colobus Trust and Camp Kenya was a key element of management arrangements in this project. The coordination of project activities in the Kwale landscape was undertaken by a WWF Project Executant based in Ukunda and a National Coordinator based in Mombasa and later replaced by a Coastal Kenya Programme Coordinator based in Lamu. The National Coordinator/ Coastal Kenya Programme Coordinator provided strategic oversight of the project while the Project Executant supported the coordinator in all administrative, communication, technical and financial issues of the project. A Coordination Secretariat provides overall project guidance and monitoring from Nairobi. At policy level, a Project Steering Committee (PSC) comprising KFS, KWS, NMK, National Environment Management Authority (NEMA), UNDP and WWF provided guidance with regards to annual work planning and budgets, while the National Task Force (NTF), which is the technical arm of the PSC, was responsible for coordination and implementation of national programme activities.

During the project design Kwale was one administrative district but was split into 3 districts namely; Kwale, Msambweni and Kinango in 2007. Despite the envisaged challenges it was thought these new administrative structures would pose, implementation of the project continued smoothly. The KMT ensured this through regular communication with the administrators in the newly created districts ensuring that they were kept apprised of ongoing project implementation.

## 4. Implementation

### 4.1 ADAPTIVE MANAGEMENT

Adaptive management is a structured and systematic process for continually improving decisions, management policies, and practices by learning from the outcomes of decisions previously taken. The mid-term evaluation for this project made specific recommendations which required a few changes with regards to a few aspects not anticipated during project design.

The National Environment Management Authority (NEMA) is represented in the National Task Force (NTF). It was recommended that NEMA be incorporated into the Kwale Management Team (KMT) so as to ensure that issues arising during the NTF meetings can be brought to the attention of the KMT for follow-up and incorporation during project implementation. The inclusion of NEMA assisted in improved project management.

With regards to follow up of actions that required advocacy and lobbying, none of the members of the KMT had this activity within their mandate and it was viewed as a critical component with regards to emerging issues such as niobium mining in Mrima Forest. It was proposed that a Non-governmental Organisation (NGO) be included in the NTF for this purpose and the Kenya Forest Working Group (KFWG) was incorporated into the NTF.

With the emerging issues of charcoal trade, titanium mining and niobium mining, the mid-term evaluation also recommended capacity building of the project stakeholders in Environmental Impact Assessment (EIA) process to proactively address emerging environmental degradation as a result of the alluded to emerging issues. This was undertaken with further support being provided to NEMA to undertake an environmental sensitivity mapping exercise of sensitive areas in the newly created districts of Kinango, Msambweni and Kwale.

It was also noted during the life of the project that there are numerous actors involved in natural resource management and conservation but there is poor coordination among these actors. The project was able to initiate the development of the Kwale County Natural Resources Network with a view to bringing together the environmental NGOs working in the project area to discuss the development and conservation agenda for Kwale landscape. This network served to greatly improve project implementation.

### 4.2 FINANCIAL PLANNING

Though the project started in October 2007, the first tranche of funding was disbursed in March 2008. The use of electronic fund transfers ensured that funds were received within 3 weeks upon request. Transfer delays occurred but this was attributed to seeking clarifications on certain issues on request between WWF, UNDP and GEF. WWF was however able to respond to this by using co-financing funds to undertake urgent activities, further indicating the importance of co-financing funds.

Fund allocation to some of the project activities was not adequate especially in the detailed activity budgets. This was probably as a result of reduction of the initial funding from USD 1 million to USD 800,000. Budget re-allocation accompanying this change may have contributed to reduction of some budget lines (for example the implementation of landscape level management planning). WWF was able to overcome this challenge by making use of the increased co-funding and implementing closely related activities simultaneously without compromising achievement of outputs and outcomes.

Financial planning was done by the KMT on a quarterly basis while accounting by partners (who are provided with funds to carry out agreed upon activities) to WWF was done on a monthly basis. However, there are expenses such as fuel that were paid by WWF directly to the supplier. Financial assessment shows that on

quarterly basis between 35% and 38% of funds provided were used for management and the remainder of between 62% and 65% were used for implementation of project activities.

### 4.3 MONITORING AND EVALUATION

Monitoring and Evaluation (M&E) are key aspects of projects and programmes. The GEF defines monitoring as *“a continuous or periodic function that uses systematic collection of data, qualitative and quantitative, for the purposes of keeping activities on track”* and evaluation as *“is a systematic and impartial assessment of an activity, project, program, strategy, policy, sector, focal area, or other topic”*<sup>5</sup>. Monitoring and evaluation help contribute to knowledge sharing and organisational improvement.

With regard to monitoring the Project Document identified a number of key indicators. The project developed a monitoring plan for the project which covered (i) goal, objectives and outcome monitoring and (ii) annual activity monitoring. This plan identified the indicators, a baseline and then a suite of *“how, when, who, where?”* for each indicator. The annual Project Implementation Report (PIR) monitored progress of the project in terms of achievement of objective and outcomes in terms of moving from baseline to target levels for each indicator and the level of achievement at the data of reporting. The Quarterly reports reported on the outcome, output and activity level through *“actual achievements, progress against outputs, targets and indicators”*. PIR and Quarterly reports during the project were produced to the planned timeline. Implementation of the M&E activity fits under activity 3.1.5.

A detailed view of the approach to monitoring displays and number of weaknesses:

- **Some indicators are confounded.** Some indicators were rather confounded and did not fit the SMART criteria recommended by GEF. For example, the target level of the indicator at the objective level is that *“man-power training levels show 50% above baseline levels, in all cadres, and in local NGOs”*, this is unclear especially when the baseline is that only one KFS staff/person is trained in PFM and none in M&E. The indicator *“at least 3 Landscape-level, participatory management plans developed and implemented for Kwale coastal forests”* is used for both the objective and outcome 1, thus deriding the logical flow of the logical framework hierarchical structure.
- **Some monitoring mainly based on activity and not results.** Especially in the activity level monitoring the focus is on indicators related to the number of activities e.g. number of workshops held / products certified / meetings held / IGA's supported. Even at the activity level there is the possibility for more results based appreciation of the activities in terms of for example *“capacity developed in PFM to level to draft management plan”* or *“products certified and accessed one or more new markets”* or *“key constraints in IGA development of 5 IGA's removed”*.
- **Lack of coverage of outcome 3 in the M&E plan.** In the M&E plan there was a lack of indicators, targets and baseline for outcome 3. Outcome 3 was not included in the Project Document or the PIR reports. Indicators were identified in the MTR but no baseline or targets were alluded to. M&E of this outcome seems to have been somewhat disjointed and this seems to originate from the project formulation stage.

Although based on the opinion and experience of the evaluators rather than documentary evidence or directly informed by interviews, it seems that M&E had been used in this project as predominantly a project reporting procedure. M&E is more effective when used on a regular basis as a project tracking tool to inform on-going actions, identify gaps as they appear and for re-orientation of resources where necessary. In addition, use of M&E more allied to RBM (Results-Based Management) would have been more utilitarian and concomitant with developing GEF policy. Furthermore, we do seem to note in the Quarterly reports some cases when METT monitoring has been developed under M&E. Conservation monitoring such as METT fits under Outcome 1 on improved forest conservation and the conclusions of METT are used to inform M&E; there is a distinction between conservation monitoring and project monitoring. Notwithstanding these comments, the evaluators do not actually consider that this has affected the gains and benefits accrued through the project, but there should be a degree of wariness that projects which have significant implementation problems or contextual constraints would need to be more robust in the use of M&E to inform and guide the project.

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<sup>5</sup> GEF (2010) The GEF Monitoring and Evaluation Policy. GEF Evaluation Office, Evaluation document no. 4.



External evaluation of the project has been carried out through a MTR which was in December 2010. This was in the fourth project year, especially as at that time the project was expected to finish in October 2011. The relatively late stage at which the MTR was carried out in light of the project timeline seemed to be ascribed to the extended length of due-process for procurement and contacting; as such this procedure may have benefited from an earlier commencement. The project implementers were interviewed about the post-MTR re-orientation and tracking of project responses to MTR recommendations demonstrated strong efforts to re-orientate the areas as proposed. These responses included formal requests for institutional contacts for future NTF and PSC meetings (achieved), involvement of NEMA on KMT (achieved) and training on METT for GoK (achieved), community involvement in protection actions (achieved in Gogoni and Shimba Hills) and stronger community enterprise – market linkages (achieved through Kwale products website). These reorientations carried out on the basis of the MTR strengthened the already developing cross-linked governance structure and developed capacity in more areas (GoK, community and associations) and thus had a positive influence on the project impact and sustainability. However, achievements were lacking in a few areas due to, for example, slow development under the new devolution structure of Kwale County into which the project and its governance structures could contribute, or slow development of KFS in development of CFA's in co-management of the forest; these factors were out of control of the project team. An MTR implemented at 2 to 2.5 years of the project timeline may have been more beneficial for project re-orientation, as such, contracting procedures should be aligned to implementation in this time envelope.

## 4.4 EXECUTION AND IMPLEMENTATION MODALITIES

The project was coordinated through the PSC, NTF and KMT. The PSC has been very effective in the project management/ monitoring of the project by providing policy directions and approving annual work plans, budgets and appraising project reports. The NTF had also been supportive with regards to articulation of technical programme issues. The two entities met twice per year and were involved in monitoring of field activities. NTF for example set aside one-day for field assessment. It was noted that there was no staff consistency in attendance of PSC and NTF meetings. This may be owing to the fact that there is no designated officer responsible for projects in the partner government institutions and as such attendance was based more on availability than technical know-how. Because of this, there was minimal follow up of recommended actions and feedback from officers especially when an urgent issue was brought to the attention of the NTF. There are certain issues, especially those requiring advocacy that required the follow up by NGOs who were not represented in the NTF. However, the project established linkages with NGOs such as the Kenya Forests Working Group (KFWG) and Nature Kenya.

The Kwale Management Team (KMT) was very effective in the implementation of project activities. It met quarterly for planning and reporting and members interacted on a regular basis, ensuring they were all fully apprised of any developments relating to project implementation. KMT composition did not originally include the District Environment Officer (DEO). The DEO was later included based on the recommendations of the MTR. The establishment of KMT has immensely contributed to harmonious working relationships between member institutions whose concerted efforts are able to address key emerging issues such the previously proposed water tank installation in Shimba Hills, tourism developments in Kaya Chale and currently on proposed mining of the rare earth metal niobium at Mrima Forest. Lobbying and advocacy for example has seen any further developments on the proposed mining site in Mrima Forest being put on hold pending a public hearing convened by the National Environment Management Authority (NEMA).

## 4.5 MANAGEMENT BY THE UNDP COUNTRY OFFICE

UNDP has provided management and technical support in the implementation of this project. At the start of the project, a stakeholders' workshop was held where UNDP provided guidance on the roles, support services and complementary responsibilities of UNDP and its staff vis-à-vis the project team. A detailed overview of UNDP-GEF reporting and M&E requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, as well as mid-term and final evaluations was also provided.

As the Implementing Agency with overall oversight role on behalf of GEF, UNDP was very effective in monitoring and periodically evaluating the performance of the project including through field visits and interaction with project implementers and beneficiaries. The project was visited by senior UNDP and GEF staff



that include; Jaime Cavelier (GEF, Washington), Alice Ruhweza (UNDP regional technical advisor), Aeneas Chumz (UNDP Resident Representative), Marie-Therese King (UNDP Kenya Country Office, Country Director) and Dr. Christopher Gakahu (UNDP Kenya Country Office, Assistant Country Director), and the UNDP finance and procurement team. UNDP was also chairing TPR meetings, co-chairing PSC meetings and providing guidance throughout the project implementation through regular communication by means of emails, telephone conversations and face-to-face meetings.

## 4.6 COORDINATION AND OPERATIONAL ISSUES

During project design when the inclusion of government departments was agreed, a critical assumption at the project design level was that government capacity (especially with regards resources) was sufficient. In reality, this was not the case and capacity was found to be low - serving as a hindrance to project implementation. The government operational budget for enforcement of laws and capacity building was for example not adequate. The project has however served to greatly bolster the efforts relating to forest law enforcement and governance through the provision of resources to conduct joint patrols by KWS and KFS, as well as provision of equipment such as computers and GPS's for data collection and analysis.

Another challenge encountered related to human resources. When human resource capacity was developed by the project, the personnel were transferred. The project was implemented by KFS and KWS and NMK as partners. Since its inception, there has been high turnover in KFS and KWS. For example, since the start, the project has worked with 5 KWS senior wardens and 5 District Forest Officers (now Forest Zonal Managers). Currently, three out of the five foresters in the project area are new. These redeployments have affected the project since the changes often necessitate re-training and staff re-orientation. A positive note however is that the project can be credited with supporting participatory forest management in several other forests nationally where the trained officers from KFS and KWS have been redeployed.

Education level at the local community level was very low and also affected the implementation. For example, in 2008, recruiting a Community Forest Association (CFA) representative for the Forest Conservation Committee (FCC) was challenging because one of the requirements was attainment of form four secondary school level education.

Another challenge was the expanded government. At the start of the project, forestry was anchored in the Ministry of Environment and Natural Resources who were one of the three signatories of the project document. This has however changed and after the 2007 general elections, the ministry was split into two: Ministry of Environment and Mineral Resources and Ministry of Forestry and Wildlife. This necessitated the need to bring the new Ministry of Forestry and Wildlife into the PSC and do away with the MEMR. There have also been other changes that include the creation of three districts out of Kwale. The project was however able to adjust and re-align itself with these changes without any effects to the delivery of outcomes and outputs.

Other stakeholders involved in implementation of the project included: Coastal Oceans Research & Development – Indian Ocean (CORDIA), Coast Calcium, Kenya Marine and Fisheries Research Institute (KMFRI), Eco Ethics, East African Wild Life Society (EAWLS), Wildlife Clubs of Kenya (WCK), Kwale Agricultural Project (KWAP) that is supported by DANIDA, Ministry of Youth and Sport, Ministry of Agriculture, Provincial Administration, Judiciary and the Police. The main challenge in working with these institutions was coordination which is generally poor and sometimes resulted in duplication of efforts. There was continuous consultation with these institutions though and there was a substantial reduction in the duplication of efforts.

## 4.7 COMMUNICATION, GENERATION AND DISSEMINATION OF INFORMATION AND LESSONS

The project was able to produce a number of Information, Education and Communication (IEC) materials. These include seven policy/project briefs on the following issues:

- Sustainable charcoal production in Kwale Forest Landscape Restoration;

- Sustainable Forest Management in Kwale Forest Landscape Restoration:
- Conflicts in policies, laws and institutional mandates;
- Environmental Impact Assessment in Kwale;
- Strategy for law enforcement, protection and governance working with local Miji Kenda communities for sustainable conservation of sacred forests;
- Lessons from implementation and;
- Biofuels

Two factsheets were produced highlighting lessons learnt in working in partnerships. These are:

- Buda forest complex and working partnership in conservation;
- Experience of WWF partnership with Camp Kenya

All these IEC materials have been shared widely with project partners within government, non-governmental organisations, private sector, community based organisations and UNDP.

Several posters and banners were also produced with the banners providing excellent visibility for the local producer groups and the posters being disseminated to schools across the Kwale landscape in addition to the other project partners. The project also received coverage in national newspapers, magazines and websites of project partners as well as the UNDP website. The IEC materials have also been shared with other ongoing projects in the landscape such as the Community Development Trust Fund (EU), Kenya Coastal Development Project (World Bank) and the Miti Mingi Maisha Bora project (FINNIDA).

A seventeen minute video documentary capturing lesson learned and good practises from the project has been developed and shared with project partners and other interested parties.

The project has thus been able to disseminate a great deal of useful information which has proved overly useful to project stakeholders based on the interviews carried out. A number of the community enterprises have been able to also develop their own IEC materials for awareness creation and raising purposes relating to environmental conservation and successful enterprise development.

With regards to the use of technology, the project purchased and made use of global positioning system (GPS) units in the process of boundary marking of the various protected forest sites for laying of new beacons. Having the GPS points made it possible to ensure more accurate mapping for the purposes of forest, law, enforcement and governance during the joint patrols by KFS, KWS and the community members.

## 4.8 CONFIRMATION OF CO-FINANCING COMMITMENTS

WWF monitored and recorded co-funding by various partners in the GEF Project Implementation Reports (PIRs). The main ones include, WWF network, Lafarge Ecosystems Services – a subsidiary of Bamburi Cement, Ford Foundation, USAID-NMK and Camp Kenya. Government institutions also provided additional in-kind support. The total grants provided as co-funding by WWF was USD 753,900 while the total in-kind contribution by the central government was USD 195,000. Some of the co-financing came on board before the start of the project and was approved by the co-financing institutions.

Lafarge Ecosystems Services: Lafarge Ecosystems Services has since 2002 continued to support conservation initiatives in Kwale Landscapes. Key activities supported include restoration and planting of *Casuarina* as a buffer in Shimba Hills to mitigate human wildlife conflict. By end of 2010, they had provided USD 190,000 as co-funds. Currently they are buying tree seedlings from local community groups such as LIMA Self Help Group

for restoration of their 550 hectares of land in Kwale using the Shamba System. Some KSh 3 million shillings (equivalent to USD 35,000) was spent purchasing tree seedlings in April/May 2010 rainy season.

**Colobus Trust:** Colobus Trust was one of the project's co-funding identified sources during the formulation of the project. Apart from USD 100,000 in-kind contribution, the Trust was not able to co-fund some of the project's activities as envisaged because of inadequate sources of funds following the post election violence that affected tourism sector which through the hotel industry was a main source of funds to the Trust. Colobus Trust co-funding was to support research work that would inform the project. It was also to support community initiatives such as ecotourism. Prior to the 2007 post election violence, Colobus Trust was working with Kaya elders especially in Kaya Diani, Kaya Muhaka and Kaya Kinondo in protection of these sacred sites. The Trust also with support from Diani residents previously conducted an aerial survey that showed degraded forest areas. The Trust was also facilitating the establishment of corridors between key forest area habitats for the Colobus monkeys, thus contributing to restoration. When the financial situation of the Trust improves, the annual monkeys' census undertaken by Colobus Trust will provide data for monitoring the health of Kwale landscape forests especially now that this has been adopted as an indicator for monitoring. For example, a census in Gogoni Forest undertaken by Colobus Trust in 2009 recorded a 10% increase in the Colobus monkey population since the previous census in 2002 which is an indication of sustained ecosystems health of Gogoni Forest.

**National Museums of Kenya (NMK):** NMK support to protection of Kayas was a key co-funding source to the GEF project. NMK contribution by 2012 was reported to be USD 450,000. This is mainly through NMK having conducted research in many Kaya including Kaya Kinondo and Mrima Forest. Information generated by NMK's research helped inform the project. This funding has also been used for constructing a butterfly centre at Fort Jesus to cater for butterflies collected from south coast area, an activity that has contributed to livelihoods.

**Other sources:** WWF networks co-funding by 2012 was USD 436,100 and Ford Foundation USD 150,000. Other additional support came from the Critical Ecosystem Partnership Fund (CEPF) and UNDP Small Grants Programme (SGP).

**Additional co-funding beyond the timeframe of the project:** This GEF project has more co-finance coming in beyond the initial commitments. This funding is coming from: WWF new long term programme of Coastal East Africa Initiative covering Kenya, Tanzania and Mozambique; WWF Kenya country office through its new Kenya forestry programme; Government input to forestry including through the Kazi Kwa Vijana programme; continued support by Lafarge Ecosystems Services; and, Camp Kenya. The Finnish government funded Miti Mingi Maisha Bora (MMMB) program implemented through KFS and the EU funded Community Development Trust Fund (CDTF) project commencing in mid -2012, and the World Bank funded Kenya Coastal Development Project (KCDP) will also provide support beyond the life of the project.

## 5. Results

### 5.1 ATTAINMENT OF OBJECTIVE, OUTCOMES AND OUTPUTS

Terminal evaluations of projects can focus on a number of areas of project attainment; achievement of the high-level objective, medium high-level outcomes, or lower level outputs. However, in terms of the definable benefits of the undertaking by completion, project impact is of paramount importance. This terminal evaluation takes guidance from the GEF Terminal Evaluation guide (section 3.2, Article 14)<sup>6</sup> *“In assessing project performance, evaluators can focus on achievements in terms of outputs, outcomes, or impacts. Although the GEF is more interested in assessing impacts, these may take a long time to manifest. On the other end, output achievement is easy to assess but tells very little about whether GEF investments were effective in delivering global environmental benefits. Focus on outcomes is, therefore, an appropriate compromise”*.

Also mentioned in the aforementioned GEF guide is the recommendation to *“assess project results using indicators and relevant tracking tools”*. The project has developed indicators and associated baseline and target situation. This information has been collated from PIR reports, MTR and by consultation with the project team and is up-to-date at the time of writing; this collation is provided in the following table (Table 1).

The Project Document defines two outcomes which are both of technical nature. A third management outcome is also apparent and is detailed in the terminal evaluation ToR as *“enabling of timely, efficient of project activities through effective project administration, M&E, and coordination”*. This outcome is not included in the Product Document and has not been assigned specific outputs and is considered just at the Outcome level.

To gain a perceptive and objective insight into the project at completion and to follow GEF guidelines we thus intend to:

- Briefly review the achievement of each of the outputs.
- Assess the degree to which the outputs deliver the outcomes in terms of achieving target indicator status.
- Assess the degree to which the outcomes deliver the objective.
- Summarise the challenges in the delivery of the achievements.
- Indicate the impact of the project at completion and into the future.

This approach then provides the basis for rating of the “Outcome / achievement” component of the evaluation which is reported in section 6.3 and insight into recommendations and lessons learnt.

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<sup>6</sup> GEF (2008) Guidelines for GEF agencies in conducting terminal evaluations. GEF Evaluation Office, Evaluation document no. 3.

**Table 1. Project achievements at the objective, output and outcome level: indicators, baseline and targets status (as of mid-June 2012).**

Expected Outcomes and outputs	Description of indicators	Baseline indicator	Target by end of the project	Actual achievements by End Term Review
<b>Objective:</b> <b>Coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scales.</b>	1. At least 3 landscape-level participatory management plans developed and implemented across Kenya's coastal forests.	1. No of Landscape-level management plans exist in Coastal Forest system and no PFM.	1. Three pilot landscape forest management plans approved, with functional PFM plans, and under implementation.	(1a) The Dzombo Forest Management plan was prepared and approved by both Director General of National Museums of Kenya (NMK) and Director of Kenya Forest Service. A Forest Management Agreement has been developed and submitted to Director of KFS for approval. Kaya Kinondo forest management plan was developed and approved by Director general of NMK. The plan under implementation. Final draft of Shimba Hill ecosystem management plan was submitted to KFS and KWS head offices for approval.
	2. Number of increased skilled personnel, functional systems and resources within Kenya Forest Service and other conservation partners / stakeholders has allowed greater management effectiveness	2a. One KFS personnel trained in PFM and none in Monitoring and Evaluation	2a. Man-power training levels show 50% above baseline levels, in all cadres, and in local NGOs.	(1b) More than five community forest associations that include Kaya Kinondo Conservation Group, Kaya Muhaka Conservation Group, MRIMADZO, SHICOFA, Vajiki and Gogoni Gazi have been formed in line with Forests Act 2005.
		2b. METT scores at low level;	2b. METT scores show 50%	(2a) Training on METT undertaken for 15 government staff and other partners. Additional training on PFM undertaken for KFS staff and members of CFAs and the Forest Conservation Committee. There has also been additional training on METT (both at Landscape level and Conservancy level) and training for Kaya Kinondo Ecotourism Project Manager on Project Planning and

		average of 43 points (Dec 2004)	increase during project lifetime.	<p>Management. Also training for Kaya Kinondo Village Bank Board members on loan management, data back up and outreach to the community has been undertaken.</p> <p>(2b) Increment in METT scores against the baseline of 2004 by 44% for Kaya Forest (from METT score of 43 in 2004 to 62 in 2012), 32.6% for Shimba Hills ( from METT score of 49 in 2004 to 65 in 2012) and 70% for Buda complex from (METT score of 37 in 2004 to 63 in 2012). This is an average increment of 47% across the landscape</p>
	3. Number of sustainable benefits from the utilization of Kenya's coastal forests diversified, documented and monitored.	<p>3a. A functional informal working partnership in place with KFS, KWS and NMK without formalized MOUs between the institutions. 1 MOU existing between WWF and Lafarge Ecosystems Services.</p> <p>3b. Coastal Forest Protected Areas (Pas) documentation exists but not well organized</p>	<p>3a. At least three partnership MOUs in place with private sector / cross-sectors.</p> <p>3b. Management systems in Kwale forest PAs well documented (at least 8 reports), and influencing other Coastal Forest areas.</p>	<p>(3a) 3 MoUs in place. Facilitated renewal of private - public partnership between Camp Kenya international and the Kaya Muhaka community and Camp Kenya and the Mwaluganje Community. MOU between WWF and KFS and WWF and Camp Kenya are in place.</p> <p>(3b) 11reports produced; Seven policy/project briefs, (Sustainable charcoal production in Kwale FLR; SFM in Kwale FLR: Conflicts in policies, laws and institutional mandates; EIA in Kwale; Strategy for law enforcement, protection and governance Working with local Miji Kenda communities for sustainable conservation of sacred forests; lessons from implementation and Biofuels), lessons learnt in working in partnerships, Two fact sheets (Buda forest complex and working partnership in conservation; Experience of WWF partnership with</p>

				Camp Kenya), and several posters and banners
<p><b>Outcome 1:</b>  <b>Landscape conservation of coastal forest resources successfully piloted in Kwale District with participation by all stakeholders, and resulting in improved status of key biodiversity values.</b></p> <p><b>Outputs</b>  1.1 Improved management and conservation of the biodiversity of Kwale Forests achieved through awareness creation, monitoring, land use mapping, forest rehabilitation, management planning, gazettement and protection  1.2 Institutional and local capacity built for better management and conservation of Kwale Forests.  1.3 Existing and incoming policies and mechanisms for forest conservation, sustainable management and utilization are harmonized and communicated to relevant stakeholders.  1.4 Effective participatory forest management systems in place, embracing</p>	<p>1. At least 3 Landscape-level, participatory management plans developed and implemented for Kwale coastal forests.</p> <p>2. Area of gazetted forests remains stable or increases (through gazettement of unprotected sites) against 2005 baseline.</p>	<p>1. No landscape level participatory management plans in place.</p> <p>2a. No capacity available for the development of the plans</p>	<p>1. At least 3 landscape plans in place with functional PFM plans being implemented.</p> <p>2a. Capacity to develop the participatory forest management plans available within the landscape</p>	<p>(1.1.1) 2 Management plans approved, 1 ready for approval,  (1.1.2) Four PFM process have been initiated in Dzombo forest, Kaya Kinondo sacred forest, Shimba Hills and Kaya Muhaka.  (1.1.3) More than five functional community forests associations have been established (see above),  (1.1.4) A biodiversity conservation corridor established and planted with suitable trees species in local communities farms between Mrima and Marenje forests.  (1.1.5) Identification of environmentally-sensitive areas in Kwale by NEMA, KFS, KWS and NMK that will result to development of an environmental sensitivity map initiated.  (1.1.6) Replication of successful installation of energy saving stoves in Gogoni for Mrimadzo CFA around Dzombo Forest.  (1.1.7) Public awareness raised through barazas, meetings, local radio (especially on Kayas), posters, banners and features in magazines and newspapers.  (1.2a.1) Trained government staff involved in the development of management plans.  (1.2a.2) KWS and KFS capacity to carry out law enforcement and farmland protection enhanced. KFS, KWS and NMK equipment and infrastructural capacity enhanced by purchase of motor cycles, GPS, computers, camping gear for rangers etc</p>

<p>traditional forest management practices and government priorities.</p> <p>1.5 Sustainable alternative livelihoods developed and supported leading to reduced pressure on forest resources</p>		<p>2b. No new forest sites gazetted in the past 3 years</p>	<p>2b. No net loss of natural forest, overall tree cover increase through restoration.</p>	<p>(1.2a.3) Law enforcement by Senior Magistrates, Prosecutors, Police, KFS, KWS and NMK enhanced. Increased jail terms and penalties for forest/wildlife related offenders (fines of up to KSh 50,000 and jail term of 5 yrs) due to shared discussion on new forestry law that provides for these penalties combined with visits to destroyed forests by judicial officers. There has been reported a 70% reduction of illegal cases in Gogoni forest.</p> <p>(1.2a.4) Capacity building of Kaya elders to resolve conflicts and in enforcement of by-laws enhanced. Kwale County Committee of Elders formed to enhance their participation in Kaya forest management issues. Additionally, Natural Resources related organisations in Kwale formed a network which will act as platform for influencing decision making on NRM issues in Kwale county.</p> <p>(1.2a.5) Capacity of various livelihood initiatives have been enhanced resulting to improved wellbeing of community in Kwale. These includes Kaya Kinodo Ecotourism Project and Kaya Kinondo village bank, Lima Community Group, kaya Muhaka conservation group, Shimba hill Forest Guides Association, tree growers groups</p> <p>(1.2b.1) Boundary of 5 forest sites with over 3,800 ha (Kaya Diani, Gogoni, Buda, Chitsanze, Mrima &amp; Marenje) have been secured through boundary alignment,</p>
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	Forest Landscape Conservation Model are incorporated into future proposals / plans for conservation of Kenya's coastal forest	proposals or plans for coastal forests of Kenya	processes and are taken up in other coastal forest landscapes and used in developing project proposals and plans in coastal forests of Kenya	Force, the Project Steering Committee (PSC) and the District Environmental Committees (DEC) and training of DEC's provided forums for sharing of lessons learnt. (2.2.2) Best practices recommendations communicated to other donors/NGOs/private companies; new projects submitted and implemented.
<b>Outcome 3: Effective project administration, M&amp;E, and coordination have enabled timely and efficient implementation of project activities.</b>	1. Existence of project personnel. 2. Project effectively implemented 3. Existence of a Project Steering Committee 4. Minutes of Annual PSC meetings	N/D	N/D	(3.1.1) Project personnel recruited and in place. (3.1.2) M&E plan developed and in use. (3.1.3) Annual project management plans approved by the PSC and in use. (3.1.4) The Kwale project management team comprising of the KFS, KWS, NMK and WWF in place and meets regularly for project planning, monitoring and other project related issues. (3.1.5) Project staff and offices supported to effectively implement the project activities. (3.1.6) Mid Term and Final Project evaluation conducted

### Assessment of the achievement of the outputs.

The attainment of each of the outputs is described below and a summary commentary provided based on information from stakeholder interviews, project documents and wider material provided below:

Output	Achievements and Commentary
1.1 Improved management and conservation of the biodiversity of Kwale Forests achieved through awareness creation, monitoring, land use mapping, forest rehabilitation, management planning, gazettement and protection	Two management plans approved, 1 ready for approval. Trained government staff involved in the development of management plans. Trained 18 community members on participatory forest biodiversity monitoring techniques who are now involved in supporting monitoring activities. Boundary of 5 forest sites with over 3,800 ha (Kaya Diani, Gogoni, Buda, Chitsanze, Mrima & Marenje) have been secured through boundary alignment, clearing and replacement of lost beacons. Encroachers in Marenje forest have moved out. A biodiversity conservation corridor established and planted between Mrima and Marenje forests. Identification of environmentally-sensitive areas in Kwale by NEMA, KFS, KWS and NMK that will result to development of an environmental sensitivity map

	<p>initiated.</p> <p>Disaggregated data for bird species diversity and population for Eastern Africa Coastal Forests shows positive trend but not specific for Kwale forests; positive trend in the population of Colobus monkeys (<i>Colobus angolensis ssp. palliatus</i>) in some forests.</p> <p><b>Commentary: strong achievements leading to positive steps in securing forests and improved management. One Management Plan delayed in ratification by KFS and KWD; all plans yet to secure Management Agreement for implementation under Forests Act. Biological monitoring patchy and limited.</b></p>
1.2 Institutional and local capacity built for better management and conservation of Kwale Forests.	<p>GoK trained in PFM and management plans (see 1.1).</p> <p>Capacity building of Kaya elders to resolve conflicts and in enforcement of by-laws enhanced. Kwale County Committee of Elders formed to enhance their participation in Kaya forest management issues. Additionally, Natural Resources related organisations in Kwale formed a network which will act as platform for influencing decision making on NRM issues in Kwale county.</p> <p>Public awareness raised through barazas, meetings, local radio (especially on Kayas), posters, banners and features in magazines and newspapers.</p> <p><b>Commentary: excellent achievements. Relevant GoK agency approach embodies PFM, but not fully institutionalised. NR network poised for Kwale Country role. Committee of Elders strong and committed.</b></p>
1.3 Existing and incoming policies and mechanisms for forest conservation, sustainable management and utilization are harmonized and communicated to relevant stakeholders.	<p>KWS and KFS capacity to carry out law enforcement and farmland protection enhanced. KFS, KWS and NMK equipment and infrastructural capacity enhanced by purchase of motor cycles, GPS, computers, camping gear for rangers etc. Use of community scouts in patrols.</p> <p>Law enforcement by Senior Magistrates, Prosecutors, Police, KFS, KWS and NMK enhanced. Increased jail terms and penalties for forest/wildlife related offenders (fines of up to KSh 50,000 and jail term of 5 yrs) due to shared discussion on new forestry law. There has been reported a 70% reduction of illegal cases in Gogoni forest.</p> <p><b>Commentary: good achievements especially institutional harmonisation of management and enforcement wrt policies. Forest policy and management profile raised in wide array stakeholders.</b></p>
1.4 Effective participatory forest management systems in place, embracing traditional forest management practices and government priorities.	<p>More than five functional community forest (CFA) associations have been established.</p> <p>Four PFM process have been initiated in Dzombo forest, Kaya Kinondo sacred forest, Shimba Hills and Kaya Muhaka.</p> <p>Replication of successful installation of energy saving stoves in Gogoni for Mrimadzo CFA around Dzombo Forest.</p> <p><b>Commentary: excellent achievements in CFA set up and PFM initialisation. CFA yet to prove functioning due to delays in Forests Act implementation.</b></p>
1.5 Sustainable alternative livelihoods developed and supported leading to reduced pressure on forest resources	<p>Capacity of various livelihood initiatives have been enhanced resulting to improved wellbeing of community in Kwale. These include Kaya Kinodo Ecotourism Project and Kaya Kinondo village bank, Lima Community Group, Kaya Muhaka conservation group, Shimba hill Forest Guides Association, tree growers groups.</p> <p><b>Commentary: strong achievements through targeted inputs have helped stabilisation of livelihood initiatives. Challenges remain in almost all groups but medium-term longevity and wellbeing accrual secure.</b></p>
2.1 Lessons learned from Kwale Forest Landscape Conservation Model fully documented and communicated to GoK forest management authorities.	<p><b>Summary achievements:</b></p> <p>Lessons learning policy briefs developed, documented and shared.</p> <p>Video documentary capturing lesson learnt and good practises has been developed and shared to all GoK and others (CD / online).</p> <p>NTF meetings, cross visits and meetings of technical personnel from Kwale, Mombasa, Kilifi and Malindi shared best practices in conservation of coastal forests.</p>

	<p>Links established between the NTF, PSC and the District Environmental Committees (DEC) and training of DEC.</p> <p><b>Commentary: good achievements. Lessons clearly documented. Policy briefs &amp; CD produced are disseminated to all GoK. Communicated to both national and Kwale area GoK.</b></p>
2.2 Best practices from Kwale Forest Landscape Conservation Model are incorporated into future proposals and plans for conservation and management of Kenya's forests PA system.	<p><b>Summary achievements:</b></p> <p>Lessons learned are being applied in Boni-Dodori forest landscape starting with setting up a local project management team like the one in Kwale. New proposals for Boni-Dodori landscape in Lamu, Kenya Coast Development Project funded by World Bank, CDTF project for Shimba Hills CFA and in development of UNDP-GEF full size project for Tanzania Coastal Forests.</p> <p>Best practices recommendations communicated to other donors/NGOs/private companies through workshops and meetings, training, media and research studies.</p> <p><b>Commentary: full achievement. Best practises are incorporated in range of proposals and plans. Recommendations passed onto the wide range organisations and further uptake likely.</b></p>

### Assessment of achievement of the outcomes.

At the outcome level, indicators for the technical outcomes, a baseline and end-of-project targets have been established. The degree to which the outputs have been delivered in relation to the target level of the outcomes is now considered.

**Outcome 1: Landscape conservation of coastal forest resources successfully piloted in Kwale District with participation by all stakeholders, and resulting in improved status of key biodiversity values.**

Outcome	Indicator	Level of achievement.
	<b>target status</b>	
1. At least 3 landscape plans in place with functional PFM plans being implemented		<p><b>Partial achievement.</b></p> <p>2 plans approved, 1 waiting for ratification.</p> <p>Plans not functional or implemented as no Forest Management Agreement detailed or ratified.</p> <p>Stakeholder's highly-value plans as common-voice and leverage.</p>
2. Capacity to develop the participatory forest management plans available within the landscape .		<p><b>Full achievement.</b></p> <p>Consistent high level of capacity and awareness in GoK, NGO and community groups in all interview respondents.</p> <p>Mobilisation through various structures (NR Network, Kaya Elders Committee, CFAs, etc) strongly helped sharing, learning-together and information dispersion.</p> <p>Future challenges of erosion of capacity due to GoK staff rotation and changes in roles and group membership.</p>
3. No net loss of natural forest, overall tree cover increase through restoration.		<p><b>Full achievement.</b></p> <p>Significant reduction in forest pressure through boundary marking, patrols and more effective legal enforcement.</p> <p>Kaya Chitsanze gazetted increasing protected forest area.</p> <p>In project Kaya's degradation has been trivial and no loss of natural forest area.</p> <p>Community groups producing supply for seedling for reforestation.</p> <p>Planting of seedlings lead to newly restored areas.</p>
4. Diversity and population of bird species show increased habitat trends – area of habitat stable /		<p><b>Revision and poor achievement.</b></p> <p>Bird monitoring inadequate as not specified to target sites and revised to Colobus monitoring – which has been partial in respect to sites (Kaya Diani and Gogoni). Dates not concomitant with project dates (2005 – 2009 and 2001 to</p>

increasing in project lifetime.	2009, respectively) which are indicative but add further complication to direct assessment of project impact. No effective ecosystem / ecological monitoring at Outcome level (but note METT monitoring under indicator for Objective).
5. Forest restoration shows successful regeneration over at least 1,000 ha	<b>Full achievement</b> Over 1.5 million tree seedlings of over 50 species planted. Regeneration proceeding successfully.

***Outcome 2: The Kwale FLR conservation model is integrated as best practice into protected area policy and programmes in all coastal forests landscapes in Kenya***

Indicator target status	Level of achievement.
1. Annual fora discuss coastal forest conservation practice, documenting lessons learnt and best practice. Three main publications, issues captured in CD and Video.	<b>Over achievement.</b> A number of fora set-up which meet at more regularly than annually (e.g. Forest Elders, NR Network, Southern Landowners Forest Association). Seven policy briefs developed and disseminated to relevant stakeholders. CD / video of high quality produced and disseminated widely to GoK and available internet.
2. Best practice feed into policy processes and are taken up in other coastal forest landscapes.	<b>Full achievement.</b> This indicator target is poorly defined, however with the resources available to the project, it clearly the case that best practise has been taken up in a number of cases. Lessons learned are being applied in Boni-Dodori forest landscape starting with setting up a local project management team like the one in Kwale Best practices recommendations communicated to GoK other donors/NGOs/private companies and elements implemented.
3. Lessons learned from Kwale FLR project are being used in developing project proposals and plans in coastal forests of Kenya	<b>Full achievement.</b> Again this indicator is poorly defined however a number of new initiatives can be identified which directly stem from this project. New proposals for Bobi-Dodori landscape in Lamu, Kenya Coast Development Project funded by World Bank, CDTF project for Shimba Hills CFA and in development of UNDP-GEF full size project for Tanzania Coastal Forests. In addition, also informed the design of the WWF Coastal Kenya Programme strategic action plan

***Outcome 3: enabling of timely, efficient of project activities through effective project administration, M&E, and coordination.***

For this outcome no specific target status has been defined. As such the evaluation considers the degree to which the indicators have been achieved as expected of a medium sized GEF project carried out in Kenya.

Indicators	Level of achievement
1. Existence of project personnel. 2. Project effectively implemented 3. Existence of a Project Steering Committee 4. Minutes of Annual PSC meetings	<b>Near full achievement</b> Project personnel recruited and in place, management structures and reporting carried out. Project staff and offices supported to effectively implement the project activities. Terminal review commissioned and reported in last month of project. Project documentation appeared somewhat unsystematically stored and dispersed. Mid-term review was after 3 years and 1 month of what was then pre-supposed to be a 4 year project – this was too late. M&E plan developed but does not seem to strongly inform day-to-day

	activities. Some monitoring indicators are inadequate. Systematic ecological monitoring lacking.
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### Assessment of the achievement of the objective

Assessment of the objective will be carried out in relation to objective-levels indicators.

**Objective: Coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scales.**

Indicator target status	Level of achievement.
1. Three pilot landscape forest management plans approved, with functional PFM plans, and under implementation.	<b>Partial achievement</b> 2 plans approved, 1 waiting for ratification. Plans not functional or implemented as no Forest Management Agreement detailed or ratified.
2. Man-power training levels show 50% above baseline levels, in all cadres, and in local NGOs.	<b>Partial achievement</b> Indicator construed and confounded. Extensive capacity development in area in all sectors.
3. METT scores show 50% increase during project lifetime.	<b>Near full achievement</b> Average increment of 47% (range 33 – 70%) across three sites (Kinodo, Shimba Hills and Buda since 2004 baseline. Training for community involvement in METT monitoring. Not all sites of project interventions covered by METT.
4. At least three partnership MOUs in place with private sector / cross-sectors.	<b>Full achievement</b> 3 MoUs in place. Facilitated renewal of private - public partnership between Camp Kenya international and the Kaya Muhaka community and Camp Kenya and the Mwaluganje Community. MOU between WWF and KFS and WWF and Camp Kenya are in place.
5. Management systems in Kwale forest PAs well documented (at least 8 reports), and influencing other Coastal Forest areas.	<b>Full achievement</b> 11 reports produced; Seven policy/project briefs and two fact sheets and several posters and banners. Uptake of lessons in other groups and initiatives.
6. Functional cost effective and participatory biodiversity and socio-economic monitoring system in place	<b>No achievement</b> Bird (IBA) data aggregated at limited value at Kaya scale. Patchy surveys of Colobus monkey – limited coverage and not concomitant with project dates. MTR proposed LOAM monitoring – trialled in some sites but too demanding to be functional approach.

### Summary of the challenges in the delivery of the achievements.

It is noted that there are some challenges in achievements. At the output level, achievements were generally good and some very positive gains have been made in all areas. At the outcome level there were notable weaknesses in outcome 1 (pilot PFM approach) which related to (i) the delay in ratifying Management Plans, the delay in ratifying Management Agreements leading to delays at implementation, and (ii) the weakness in



ecological / ecosystem monitoring. Outcome 2 (transfer best practise) and 3 (management) had good achievement status.

The ratification and monitoring issues linked to outcome 1 also registered at the objective level with “no” or “partial” achievement in these indicators. It should be noted that the delays in ratification of the management plans / management agreements are associated with Director-level in KFS (and KWF with regard to the Shimba Hills plan) and are largely outwit the control of the project. The delay for the joint sign-off for Shimba Hills management plan has been over 1 year from submission to KFS and KWF at the time of writing. Much as the stakeholders view the management plans as an achievement, until ratification is achieved KFS staff are not at liberty to work towards implementation. Even with ratification of the plan, a further Management Agreement needs to be ratified at the Director level, as set of in the Forests Act, which identifies responsibilities and benefit gains between GoK and the CFA. Thus, it can be concluded that achievement of this outcome is unlikely in the near future (but see section 8.2 on new forest legislation).

The ecological monitoring had opportunities for improvement – the IBA and Colobus data are somewhat questionable in their use in regard to this project. This is for two reasons: (i) Colobus monkeys are a flagship species and as such a population crash of the species could be due to other reasons than forest quality (for example spread of a fatal parasite or disease, and outbreak of hunting), thus interpretation of a decay of this indicator has an unclear link to forest quality, (ii) the dates of the Colobus survey are not concomitant with project dates – whilst this does not exclude the use of this data, it is a further factor that needs to be taken into account in interpretation of the results. It is also the case that much of the biodiversity gains will accrue after the project has finished, and thus within-project monitoring of flagship species may be limited in their ability to indicate project impact. Pure biodiversity monitoring could be more systematic across the ecosystem and include vegetation aspects, for example, tree cover (e.g. estimate from fish-eye lens photographs) and tree standing stock estimated from tree trunk diameter-height calculations.

METT includes aspects related to pressure on the forests, but not ecological status and functioning. This means that any gains in biodiversity terms that can be attributed to interventions of this project cannot be determined within project lifetime; though it is conceded that biodiversity gains are likely to mainly cumulate beyond project lifetimes. There is also a significant gap in any socio-economic monitoring of the community enterprises. Whilst through the interview process the evaluation has identified many benefits from the support provided by the project, there is no systematic monitoring of such gains. The MTR proposed the use of LOAM as a monitoring tool, this was trialled but deemed too complex to carryout systematically. The lack of biodiversity monitoring and monitoring of community enterprises was largely due to inadequate project direction in this aspect.

The analysis above has also identified weaknesses with some of the indicators used by the project. Some indicators are vague (e.g. Man-power training levels show 50% above baseline levels, in all cadres, and in local NGOs) and do not follow the SMART criteria of GEF guidelines. Some indicator sets miss some important aspects, as already mentioned the lack of community enterprise monitoring but also other aspects. For example, the objective includes the phrases “*sustainable utilization...that optimizes benefits*”, these may be implicit in a PFM approach, however, additional indicator(s) which defined the use and benefit portfolio for each site in a qualitative or semi-quantified way could more directly help assess the sustainability of exploitation and degree to which the flow of benefits was optimised.

### **Project impact at completion and into the future**

Notwithstanding the achievement issues identified at the various level of the project, the project has had a significant impact. From the interviews, the awareness of Kaya's, knowledge of PFM and the understanding of the importance of the coastal forests was universal. Respondents have a very positive view of the future and that a platform for good conservation governance had been created during the lifetime of the project. The move from what one GoK stakeholder termed as “military forests” to PFM has progressed during the project. The governance platform created and strengthened during the project was perceived by those interviewed to be enduring enough to be effective in the future. With new initiatives emerging to take over some of the support provide by this project, then interventions at the GoK and community level are likely to accrue further impact in the future.

## 5.2 RELEVANCE, EFFECTIVENESS AND EFFICIENCY

The interventions have been relevant and in-line with the needs of Kwale County and the coastal forests. On a conservation basis, the landscape approach of the project has removed some of the barriers for effective conservation in the target areas, limited financial and material resources, limited livelihood options and weak incentives for PFM. On a governance basis, the project has developed capacity and expertise in PFM and created a functioning governance structure that is compatible with the new structures of Kwale County. The devolved government structure is likely to bring further voice to groups set up during the project. The project has directed much effort at deriving sustainable benefits from the forest area for poor local communities which has led to a number of stable community enterprises; this is of special relevance to the socio-economic situation in Kwale County. Interventions have been a mix of reporting and documentation, capacity development and creation of governance structures; stakeholders feel that these are real interventions which are relevant to the various roles they play in society. Expectations of the project team by stakeholders have been well met and satisfaction is high; there is some frustration at delays caused by GoK especially by CFAs.

The project has been effective in achieving its objectives. The project objective of conservation and sustainable management of the coastal forest has been largely met. The best measure for a PFM approach is probably the METT scores. The METT scores note an average 47% increment as compared to the target of 50%; such a difference is trivial and ongoing gains in METT scores are likely post-project. The full METT scores are presented in Appendix F. At the end of the project the lack of plan ratification is causing delay in delivery of the forest co-management approach; the responsibility for this sits with GoK. However, new forest legalisation is likely to be drafted which will have been influenced by the experiences in PFM and co-management this project and is likely to secure the CFA and PFM approach.

Based on the experience of the evaluators on other projects on similar topics or of similar size, the project seems to be cost effective. Many of the inputs were of minimal cost, for example travel costs or DSA for meetings, small pieces of equipment (GPS, stoves, patrolling kit). Through this approach the levels of recurrent funding to maintain the governance nexus are minimal. Much of the project has been driven forward on goodwill and this is a reflection of the core positioning of WWF and its perceived credibility. No cases were identified, from documentation or stakeholder interviews, where the interventions were not considered as the least-cost option. At the global project level good gains have been made by the project in comparison to the GEF financing of \$800K.

## 5.3 SUSTAINABILITY BEYOND THE PROJECT LIFE CYCLE

Sustainability reflects the likelihood of continued benefits after the project ends. It is considered that during the project lifetime many sustainability components have been built in. Of key importance is the strengthened and cross-linked governance structure that has been developed in the Kwale landscape which has engaged the main governmental organisations and many local groups. The investments in opening channels of communication and developing focus on “working together” are likely to last well beyond the project lifetime. The recurrent costs to maintaining this trust and goodwill that has been built up are not high. For example, the CFA in Mrimadzo, because it is split between a number of forest blocks (Mrima, Marenje and Dzombo), needs to be able to realise transport costs to meet together. Various other GoK organisations have been supported through the project with transport / motorbikes (e.g. KFS and NMK), some degree of resource input related to transport is necessary for GoK engagements to take place. The area has leveraged future funding through CDTF (EU - Improved Community Based Natural Resources Management for Shimba Hills Ecosystem Project Action Plan), Miti Mingi Maisha Bora (MMMB) funded by Government of Finland and the Kenya Coast Development Programm (KCDP), funded through World Bank and Government of Kenya

Whilst the functioning governance structure can be maintained by relatively small resource inputs which are more-or-less guaranteed in the medium term, the desirability of institutionalisation still remains. The Forests Act (2005) clearly provides this opportunity with the development of co-management, however, to date the gains this proffers in relation to longer-term sustainability are limited. Within the Act, Management Plans can be developed for forest areas between the KFS office and a CFA, these plans are submitted to the Director of KFS for ratification. Then subsequently, a Management Agreement is put in place which details the division of responsibility and accrual of benefits i.e. operationalisation of the plan.



On project completion, two forest management plans have been ratified by the KFS Director, however neither of these two plans have an agreed forest management agreement – one submission has been waiting one year for a response. A further plan has been submitted (Shimba Hills) which was jointly developed by KFS and KWS, after submission for the last year no response has been forthcoming from KFS or KWS. The delay in ratification of Management Plans and signing off of forest Management Agreements threatens the sustainability of the co-management. Whilst governments take time for due process, the enthusiasm and expectation of the CFA decays. The CFAs which have been set up have no income generating activities until sometime after a Management Agreement is in place, enthusiasm is likely (and in some cases already is starting) to erode and the possibilities for future action diminish. Additional to this is the 2 year, or more, rotation of GoK staff; personal communication between individual GoK staff and CFA is lost. The decentralisation of the management of forest areas by the Forests Act can be viewed as a positive step, however, maintaining the centralised “gatekeeper” function and the experienced extensive delays, may negate much of the operationalisation of local PFM.

In terms of the community-based enterprises the project has been responsive and selected in its inputs which have ranged from product certification, transport costs, small-scale equipment to capacity building and trainings. These inputs have been based on the needs of the groups and have all strengthened the likelihood of sustainability. Among the groups receiving inputs and were interviewed were the Kinondo village bank (formed 2003), Kaya Kinondo ecotourism project (2001), Msambweni Bee-keepers Association (first production 2006), Shimba Hills Forest Guides Association (2008) and Lima self-help group (2003). It is notable that quite a number of these groups, especially those that have greater financial stability, were started prior to the project. The project thus both (i) strengthened existing groups and also (ii) supported groups formed within the project lifetime.

In sustainability terms there were ongoing challenges which were common across more than one group:

- Product development –bee-keepers suffered from erratic production which seems to be related to drought. In 2009 they produced 307kg of honey (~KSh 117,000) and in 2011, 430kg (~KSh 172,000), whereas in the drought year of 2009 they produced only 113kg (~KSh 45,000). They want to help increase the income to provide in low production years through use of beeswax, propolis and royal jelly, but at this stage do not have the technical skills to bring these products to market.
- Market penetration – whilst KEBS registration has helped the penetration for the bee-keepers and Lima, challenges still remain for Kinondo ecotourism and Shimba Hills guides. The number of clients is low, for example Kinondo ecotourism estimates it has <1 client per day during low season and 15 clients a day during high season – to cover costs it is estimate to need an annual average of 5 clients per day. Kaya Kinondo ecotourism project, which is close to the main Diani tourism hotels and Shimba Hills Guiding Association which have a reasonably close but extensive wilderness resource, both have marketable products. However, penetration into the client market has been limited and periodic and this has consequences to the financial stability of the groups.
- Market supply – there has been great expansion in cultivation of seedlings in the project area. However, there is a concern that this may lead to oversupply and maybe even falling prices. Although some degree of competition in this market may not be a negative as it may encourage diversification of seedling species as pertains to end-user needs, in terms of wood fuel, timber and poles. Bamburi Lafarge has been a big buyer of seedlings from the Shimba hills area, but they are now scaling back their regeneration plans, other organisations are still planting (e.g. Camp Kenya) but in light of increasing supply there may be market saturation.
- Vision and self-reliance – there tends to be a lack of wider vision and a degree of reliance on external inputs. Many groups can clearly articulate the inputs that they would like to be provided with in the future, however, the onus seems to be on further inputs rather than self-reliance. This differentiates these community enterprises from commercial organisations in which decisions are made for re-investment of profits for technical, operational or strategic development without any call for external inputs.

In no cases are these aspects likely to lead to disengagement of these groups, but they hinder long-term and self-standing sustainability. However, more broadly there are issues of the supported community enterprises in relation to the sustainability of the main project outcome in relation to landscape conservation. The bee-keepers are very closely aligned to high conservation status of indigenous forest areas and thus bee-keeping is

closely allied to forest protection and conservation. The ecotourism and guiding groups are similarly aligned. Other groups however are more diffusely aligned to the conservation outcomes. For example, Kinondo village bank was set up with an environmental focus, however, the realities of the needs of the people for money lending meant that money was provided mainly for non-conservation related activities (e.g. kiosk or concrete house construction, transport etc). Some support, but the minority, has gone into planting for plantation and improved agriculture.

The link between improved local livelihoods and reduction of pressure on the coastal forest remnants is not clear; respondents at the bank stated that environmental conservation projects were considered as too risky in terms of payback for most people to undertake. The linkage between tree seedling cultivation is also somewhat diffuse, in that most cultivated seedlings are exotics (e.g. *Casurina* spp) and whilst this intuitively reduces the pressure in indigenous forest for firewood and construction poles, the degree to which plantation development actually affects the sustainable future of the remnant forest is not measured or even easily measurable.

In terms of sustainability of the project as a whole we rank the risks as follows:

Risk component	Summary comments	Rating*
<b>Financial risks.</b> Are there any financial risks that may jeopardize sustainability of project outcomes?	The project outcomes do not need extensive further funding or recurrent funding to be maintained. It is guaranteed that further support will be forthcoming for supporting and strengthening the gains made by the project. Community enterprise projects are financial stable in the short- and mid-term although growth may be elusive without some limited ongoing support.	<b>L</b>
<b>Socio-political risks.</b> Are there any social or political risks that may jeopardize sustainability of project outcomes?	Stakeholders have good engagement and ownership over the project – this includes both GoK and other sectors. GoK appreciate the benefits of the PFM approach and value in coastal forest conservation. The community enterprise groups are receiving a flow of benefits though this may be somewhat erratic or at a subsistence level. The CFA groups are yet to receive a flow of benefits and if this continues dis-engagement may follow.	<b>ML</b>
<b>Institutional framework and governance risks.</b> Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	The changes in the national Constitution and the government restructuring in Kwale county have not negated any of the project outcomes or is likely to in the future. The restructuring of KFS has been on-going and operationalisation and resourcing may be affected in the near future. The Forests Act (2005) promotes PFM, however, implementation of the Act in relation to implementation of Management Arrangements has been slow and there is no evidence to suggest this will not continue – this could erode the CFA's. GoK staff rotation also lead to loss of developed personal relationships with CFAs.	<b>ML</b>
<b>Environmental risks.</b> Are there any environmental risks that may jeopardize sustainability of project outcomes?	The Kwale forest sites are gazetted and designated. Increased patrols and community observance and reporting of forest degradation is likely to continue. Other land use changes (mining, sugar production) could potentially negatively affect the forest sites but this is unlikely although there are ongoing developments in the wider region (e.g. Base Titanium commencing mining operations). Climate change effects are possible in the longer term - deciduous and semi-deciduous closed canopy forests may be very sensitive to small decreases in the amount of precipitation <sup>7</sup> .	<b>ML</b>

<sup>7</sup> Case, M (2006) Climate change impacts on east Africa: a review of the scientific literature. WWF.

<p><b>*Ratings:</b></p> <ul style="list-style-type: none"> <li>• <b>Likely (L).</b> There are no or negligible risks that affect this dimension of sustainability.</li> <li>• <b>Moderately likely (ML).</b> There are moderate risks that affect this dimension of sustainability.</li> <li>• <b>Moderately unlikely (MU).</b> There are significant risks that affect this dimension of sustainability.</li> <li>• <b>Unlikely (U).</b> There are severe risks that affect this dimension of sustainability.</li> </ul>	
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## 5.4 CONTRIBUTION TO CAPACITY BUILDING AND DEVELOPMENT

The project has made a significant contribution to capacity building and development in the region. The capacity building has been well designed to meet various needs and according to respondents has been very useful in many areas. Capacity building approaches have been associated with all sectors of partners in the project and included:

- Training of GoK staff in PFM and development of forest management plans.
- Training of community members in the use of the METT tool in management monitoring and use of GPS receivers.
- Training of community members in guiding skills.
- Trainings for communities on establishment of community forest associations were undertaken and 4 CFAs were formed; Vijiki, Gogoni, SHICOFA and Mrimadzo.
- Selected business or product development trainings for community enterprises (Lima, Msambweni, Chitsanze, Gogoni and Kinondo).

The interview respondents all seemed to have a clear perception of the role and status of the coastal forests and also of PFM. In addition, it was clear that the delivered training had helped many of the community enterprises develop and secure the functioning of their organisations. However, among some of the community enterprise groups there were still calls for more training such as business management and accounting (Kinondo village bank), technical product development (Msambweni bee-keepers) and enterprise skills (Mrimadzo CFA). It is difficult to judge whether this reflects an over-reliance on further external inputs or real capacity barriers which are hindering development which cannot be self-supported; the exit strategy from external support is a conundrum.

Some respondents noted that people can “*make a living from going to workshops*” or that people were “*burnt out with workshops*”. Such comments were made from a wider perspective of the necessity for turning capacity into direct and relatively immediate action. While the evaluators can understand such comments, they do not seem to be generally valid to the wide range of stakeholder interviewed during the evaluation. It is considered that the trainings should be viewed from a wider perspective in that:

- Personal relationships between the sectors developed during training events and have been very important in securing a governance platform for the coastal forests, irrespective of the content of the training.
- The increased understanding of various aspects of the coastal forest is likely to act as a capital stock of capacity which will endure into the future. It is likely that elements of developed capacity will emerge in innovative co-management approaches and new community enterprises in the future. Thus the direct link between capacity and action is not always imperative in a sustainability context.
- The profile of the importance of the Kaya’s and other coastal forests has been raised across all sectors; it was notable that in all interviews the conservation importance of the forests was clearly articulated. Communication and wider dissemination of this role is likely from the participants of the training and this is likely to lead to awareness gains in the participant’s communities and the wider public.

In terms of national / regional development this project addressed multiple national priorities for the Protected Area System as contained in the 1994 National Environment Action Plan (NEAP), Kenya Forestry Master Plan -1995-2025, National Biodiversity Strategy Action Plan (NBSAP)-1998, Environmental Management and Coordination Act, 1999, Forest Department Strategic Plan (FDSP)-2000 and the Forests Act, 2005. In particular, it assisted the Ministry of Forestry and Wildlife as well as the Ministry of Environment and Mineral Resources to achieve the following broad goals contained in the Forests Act, 2005:

- Contribute to poverty reduction, employment creation and improvement of livelihoods through sustainable forest management
- Conserve the natural habitats of wild life and biological diversity
- Contribute to sustainable land use through soil and water conservation, tree planting and appropriate forest management
- Manage the forest resources on a sustainable basis
- Promote the participation of private sector/community stakeholders in forest management

The project addressed key objectives of the 2002 Interim Poverty Reduction Strategy Plan (IPRSP). Kenya's IPRSP (Government of Kenya, 2002) includes a section on the Forestry subsector (paragraphs 10.9 – 10.10) in which forest degradation is identified as having “undermined long-term economic growth prospects and socio-political stability”. The IPRSP further notes that “the resultant negative impacts are seen in agriculture, public health, tourism, energy generation, timber-based industries all of which are vital to people's livelihoods”. It recommends that “an improved policy and legal framework is needed to restore the integrity of Kenya's forest ecosystem, to reverse the mismanagement of the forests”. In order to achieve this, the IPRSP recommended finding a role for stakeholder contribution in local forest management and decision-making, and drawing collaborative agreements with communities, societies and advocacy groups.

The project also addressed the Millennium Development Goals (MDGs), Kenya's Vision 2030 and the National Climate Change Response Strategy (NCCRS) whose operationalisation is presently being undertaken through the development of the National Climate Change Response Action Plan (NCCRAP).

At the regional level, the project addressed the objectives of the East African Community Climate Change Policy as well as the East African Community Protocol on Environment and Natural Resources, which is geared towards the attainment of sustainable development through efficient and effective management of the environment and natural resources in the five countries of the East African Community.

At the continental level, the project addressed the objectives of the African Ministerial Conference on the Environment (AMCEN). This is a permanent forum where African ministers of the environment discuss matters of relevance to the environment of the continent. Its mandate is to provide advocacy for environmental protection in Africa; to ensure that basic human needs are met adequately and in a sustainable manner; to ensure that social and economic development is realized at all levels; and to ensure that agricultural activities and practices meet the food security needs of the region.

## 5.5 REPLICATION APPROACH

The replication approach is defined as lessons and experiences coming out of the project that are replicated in different geographic areas or scaled up in the design and implementation of other projects. The project has achieved good replicability in a number of areas during the course of the project; these are relevant at a number of scales:

***Landscape level conservation.*** A number of aspects of the landscape approach taken in this project have been replicated. For example, the interventions at Shimba Hills have been upscaled through the Kenya Coastal Development Project (KCDP) which is taking a landscape approach to the area. Also of note in terms of geographical replicability is the WWF-Tanzania Full-Sized Project focussing on the same coastal forests but in neighbouring Tanzania.

***Landscape-level management planning.*** The wide array of stakeholders involved in this project and the broad consultation processes have led to further uptake of the planning (PFM) approach. It is likely that the participatory planning approach will be used across Kwale County in local government circles – groups have been set up in the project to support this process (e.g. Village Elders). Other project proposals have developed which use the planning approach developed during this project, for example the WWF Boni-Dodori SFM project submission. In addition, the structured development of Community Forest Association to support the PFM process has influenced the further development of new forest policy; it is likely that elements of the project approach will be replicated at a national scale once this policy becomes law.

***Community livelihoods.*** The project has developed successful community enterprise IGA's. It is expected to further strengthen this through the aforementioned projects. One of note is the development of the first mangrove conservation project in Kenya under the Reduction of Emissions from Deforestation and Forest Degradation (REDD+) – the project is known as Mikoko Pamoja (mangroves together) and was piloted by KMFRI. Such mangrove REDD+ schemes could potentially become commonplace in mangrove areas across Kenya.

The approaches to replicability have been varied; they include knowledge transfer, capacity building and project-trained individuals. Knowledge transfer has been enabled through dissemination of lessons for example through a video, briefing sheets and information exchanges both locally and nationally. Capacity building initiatives which have helped expand the capacity for PFM in Kwale County across many stakeholder groups. The staff rotation process commonly used by GoK has helped spread this PFM capacity across various KFS and KWS stations including Nyeri County (Mt Kenya Ecosystem), Western Kenya, Taita County and Malindi County. Project-trained individuals have extended their approach geographically, for example, WWF's new FSP in Tanzania's coastal forests.

## 6. Overall ratings of project

### 6.1 RATINGS SCALE AND APPROACH

As detailed in the ToR, the terminal evaluation will evaluate five components (Sustainability, Outcome/achievements, Implementation approach, Stakeholder participation / public involvement and Monitoring and evaluation). As also detailed in the ToR a six point rating scale will be used (Highly Satisfactory, Satisfactory, Marginally Satisfactory, Moderately Unsatisfactory, Unsatisfactory and Highly Unsatisfactory). The scale was based on the guidance in GEF documentation<sup>8</sup> and used in this evaluation as follows:

- Highly Satisfactory (HS). The project had no shortcomings in this component.
- Satisfactory (S). The project had minor shortcomings in this component.
- Moderately Satisfactory (MS). The project had moderate shortcomings in this component.
- Moderately Unsatisfactory (MU). The project had significant shortcomings in this component.
- Unsatisfactory (U). The project had major shortcomings in this component.
- Highly unsatisfactory (HU). The project had severe shortcomings in this component.

For each component the information collated from the document review and stakeholder interviews was used to assess the indicators which had been determined in the evaluation matrix (each indicator is detailed in Appendix E).

### 6.2 SUSTAINABILITY

Indicators	Commentary	Overall Rating
SUST1 – building sustainability	Sustainability was built into the project from the start. Capacity building in the project has been on-going throughout, effective and well directed. Well selected interventions have led to increased sustainability in community enterprises. The governance structured is well primed and functional and will largely remain so for some period after the project completion.	S
SUST2 – resource sustainability	Future funding has been leveraged to maintain and build on project gains. Recurrent costs for maintaining the governance platform are relatively low and covered by new funds. Community enterprises are mostly financially stable, though further strengthening, new value-added products and increased benefits accruing to the some groups would increase this even further.	
SUST3 – institutionalisation	PFM awareness and willingness to work with local stakeholders by GoK has been developed and can be expected to be long lasting. The limited GoK ratification of forest Management Plans and the lack of operationalisation of these plans through forest Management Agreements, as per the Forests Act 2005, limit institutionalisation. With no PFM benefits accruing to CFAs at present, or in the near future, their reason for involvement and expectations are likely to decline. GoK staff rotation may also erode past developments due to the breaking down of personal relationships. Guaranteed further funding will maintain the developed arrangements and is likely to overcome these delays for secure institutionalisation.	

<sup>8</sup> GEF (2008) Guidelines for GEF agencies in conducting terminal evaluations. GEF Evaluation Office, Evaluation document no. 3.

## 6.3 OUTCOME / ACHIEVEMENT

Indicators	Commentary	Overall Rating
OUTC1 – outcomes delivered	The assessment of outcomes (section 5.1) has concluded that most outcomes have been delivered. Outcome 1 has shortcomings in management plan ratification and monitoring; outcome 2 has been fully delivered. Gains in outcomes have flowed through to outputs and the objective. Management outcome 3 has largely been achieved though there are minor weaknesses identified in use of M&E and document management.	S
OUTC2 – relevance	The interventions have been consistent with the needs of Kwale Country and the coastal forests. The devolved government structure is likely to bring further voice to groups set up during the project. The project has directed much effort at deriving sustainable benefits from the forest area for poor local communities which has led to a number of stable community enterprises. Interventions have been a mix of reporting and documentation, capacity development and creation of governance structures; stakeholders feel that these are real interventions which are relevant to the various roles they play in society. Expectations of the project team by stakeholders have been well met and satisfaction is high; there is some frustration at delays caused by GoK especially by CFAs.	
OUTC3 – effectiveness	The project objective of conservation and sustainable management of the coastal forest has been largely met. METT scores note an average 47% increment as compared to the target of 50%; such a difference is trivial. A lack of plan ratification is causing delay; the responsibility for this sits with GoK. Although noted in PSC and MTR, no cohesive ecological or community monitoring has emerged and this reflects a weakness of project team to deliver, or attempt to deliver, an effective monitoring approach. Stakeholders were complimentary to the role played by WWF and the target way in which gains were made which were perceived to be real and in many cases enduring.	
OUTC3 – efficiency	Based on the experience of the evaluators on other projects on similar topics or of similar size, the project seems to be cost effective. Many of the inputs were of minimal cost, for example travel costs or DSA for meetings, small pieces of equipment (GPS, stoves, patrolling kit). Through this approach the levels of recurrent funding to maintain the governance nexus are minimal. Much of the project has been driven forward on goodwill and this is a reflection of the core positioning of WWF and its perceived credibility. No cases were identified, from documentation or stakeholder interviews, where the interventions were not considered as the least-cost option. Those aspects in control by the project staff were largely not delayed in implementation, however, it is suggested that the MTR should have been mid-way rather than over ¾ the expected lifetime of the project to permit more time for project re-orientation in identified topics. Delays on management plans are apparent, but this is predicated on action from GoK.	

## 6.4 IMPLEMENTATION APPROACH

Indicators	Commentary	Overall Rating
IMPL1 – quality and timeliness	The outputs generated were of high quality with regards to those envisioned during project start-up. The resource inputs relating to the project produced optimal outputs as pertains to quality and impact. The outputs were generated within the stipulated timeframes and to budget. Higher level achievements at were realised owing to well linked quality outputs within the anticipated timeframes.	S
IMPL2 – management structures	The Kwale Management Team, Project Steering Committee and National Task Force were in place and functioning during the life of the project. The alluded to project management structures were instrumental in providing policy guidance, technical assistance and backstopping to the project facilitating smooth implementation.	



IMPL3 –project responsiveness	In a majority of cases the project team was very responsive to action points arrived at during NTF and PSC meetings as well as recommendations from the mid-term review (MTR). These directions proved invaluable with regards to improved project implementation. The recommendations of the project management meetings and MTR were communicated to GoK and CBO stakeholders and implemented accordingly. The recommendations were implemented in a timely manner through incorporation in the workplans of the partner organisations and thus adaptive management was built into project implementation.	
IMPL4 – financial profile	Owing to disbursement of funds in March 2008, the project expenditure for year one was lower than anticipated, this underspend was however incorporated into the year two budget. The budget amendment was ratified by the PSC and documented accordingly. There was minimal disruption to project implementation as a result of this amendment.	

## 6.5 STAKEHOLDER PARTICIPATION AND PUBLIC INVOLVEMENT

Indicators	Commentary	Overall Rating
STAK1 – stakeholder constituency	The project has involved all relevant stakeholders which span the governmental, NGO, community enterprise, commercial representative bodies and commercial company sector. This has been on-going over the lifetime of the project. WWF has acted as a very effective co-ordinator or “go-between”.	HS
STAK2 – stakeholder management	Stakeholders have been actively engaged in the project and perceive that they have been able to air their views openly. Engagements have tended to be two-way and meaningful to the stakeholders. Respondents note gains in co-operation, effectiveness of operation and knowledge. Expectations have largely been met due to the target approach to stakeholder engagement by WWF. Notwithstanding that, expectations in some of the CFA groups for rapid or impeding benefit accrual remain unmet.	
STAK3 – communication channels	Existing communication channels and new communication channels have been unremitting developed. WWF has brokered such channels and acts as a stable central co-ordinator. However, there also has been considerable cross-linking between various stakeholders, especially between the GoK and community sectors, which ensures further stability in engagement and communication.	
STAK4 – public awareness	Policy briefs produced and disseminated widely to GoK staff. Professional quality CD produced and disseminated to relevant stakeholders and available online through Camp Kenya; intention to imminently put on WWF site. Media campaigns to wider public undertaken. Community-level of understanding of those allied to project of PFM and coastal forest conservation through field interviews deemed to be very high.	

## 6.6 MONITORING AND EVALUATION

Indicators	Commentary	Overall Rating
MOEV1 – M&E design	The project designed an M&E plan. Some elements of the plan were confounded in terms of indicators / targets and were less than SMART. Some logical links between higher level objectives were not clear. Outcome 3 was lacking in baseline and targets. At the activity level indicators were largely reporting activity implementation rather than results achieved. Capacity to undertake M&E was displayed in PIR and Quarterly reports; more of a focus on RBM type approach would have been beneficial	MS
MOEV2 – M&E implementation	Monitoring reporting was delivered as required through the project. PSC meetings were held as planned. Monitoring reporting stated what had been done / achieved but lacks were less apparent. The MTR was rather late in the project timeline. Results were based on baseline and target levels, though a few of these were confounded.	
MOEV3 – M&E	M&E fitted into outcome 3 – in the Project Document the budget was aggregated to	

resourcing	all project management functions – no specific budget was apparent in documentation. M&E expenditure was reported in Quarterly reports under 3.1.5 and monies flowed to this activity. It seems some of that money went into conservation monitoring which is an outcome 1 activity which informs M&E, rather than M&E itself. Monitoring was carried out in a timely way. The mid-term review was rather late in the project (early in project year 4).	
MOEV4 – M&E feedback loop	Reviews by management structures took place and aligned with project timeline. Some evidence of feedback to project implementation. MTR had cohesive feedback loop and was responded to in a robust way through revised or new interventions, though the late implementation provided less time than would be desirable.	

## 6.7 MAINSTREAMING OF OTHER UNDP PRIORITIES

The mainstreaming of other UNDP priorities within the context of this project comes to the fore as outlined below.

The Poverty Reduction Unit (PRU) of UNDP Kenya is working to reduce poverty and accelerate progress towards the Millennium Development Goals (MDGs) by supporting pro-poor economic growth and inclusive market development in Kenya. UNDP Kenya's strategy on Poverty Reduction seeks to provide low-income people with the tools and resources to lift themselves out of poverty through private sector initiatives at the national and county levels. The activities incorporate low-income people, into value chains as customers, employees, producers, entrepreneurs and distributors while providing them with greater access to markets, goods and services.

At the heart of this project was improvement of livelihoods and poverty reduction of the project beneficiaries through capacity building with regards to enterprise development, value addition, business management, establishment of market linkages, certification of products for improved market penetration, financial management and creation of private sector partnerships. Support to the Kaya Kinondo Financial Services Association (FSA) also greatly contributed to infusion of micro-finance income streams which were key to the reduction of the poverty levels of the community beneficiaries.

UNDP Kenya's Governance programme aims to enhance the capacities of key national and local level governance institutions, in response to UNDAF outcome 1 "Democratic Governance and Human Rights" including Gender Equality Progressively Accelerated and Realized. The Governance programme responds to the aspiration of entrenching democratic governance in Kenya and supports initiatives that improve efficiency, effectiveness, transparency, accountability and equity in delivery of public services. Underpinning this work are the principles of inclusivity and effective participation of marginalised groups including women, youth and persons with disabilities.

This project appreciably addressed the issues inclusivity and effective participation of marginalised groups by incorporating women and youth in nature based enterprises such as beekeeping (Msambweni Beekeepers Association), aloe vera farming and processing (Lima Self-help Group) and ecotourism (Kaya Kinondo ecotourism project and Shimba Hills Forest Guides Association). In fact, the convenor of the Lima Self-Help group intimated to the evaluators that project success was largely due to inclusion of women in the decision making processes relating to governance and daily operations of the group. All the Community Forest Associations (CFA's) also had representation from the alluded to marginalised groups. This has greatly fostered harmony and equitable distribution of resources with regards to proceeds realised from the nature-based enterprises. Gender equality was an intrinsic component within the project and its realisation and acceleration in the project area was viewed as commendable.

The Disaster Risk Reduction and Recovery Unit of UNDP Kenya works with government and other stakeholders to find sustainable solutions to disaster impacts. Kinango district, which falls within the project area, is characterized by low rainfall and perennial drought. Climatic conditions coupled with years of poor farming methods and deforestation have contributed to the region's present-day food insecurity. During the life of this project, WWF in collaboration with a private sector partner, Camps International, undertook an institutional wood fuel utilization survey to determine the viability of introducing Energy Saving Stoves for the institutions to ensure reduced fuel needs, resultant destruction of the ecosystems and subsequent emission of CO<sub>2</sub> into

the atmosphere. The sixteen secondary and one hundred and thirty primary schools in the district all use firewood for preparation of their meals on a daily basis. Through this survey, schools have been encouraged to establish their own woodlots to ensure a sustainable source of fuel wood for use in conjunction with the energy saving stoves, whilst also increasing the forest cover in the district which will subsequently lead to climate modification and increased resilience of the district populace through reduction of vulnerability to climate variability and climate extremes, resulting in disaster risk reduction in this vulnerable district within the project area. In the near future, carbon credits realized from emission reductions (through collaboration with the organisation CO<sub>2</sub> balance) will generate funds which can contribute towards the school feeding program, tree nursery establishment and water harvesting technologies. This intervention thus constitutes a laudable contribution to poverty reduction and disaster risk reduction through an innovative approach.

# 7. Conclusions, Recommendations & Lessons

## 7.1 CONCLUSIONS

The project has developed a sound and robust PFM governance framework and supported direct action in enhancing the Kenyan coastal forests. In this final chapter we identify a number of recommendations for future projects based on the experiences and learning achieved through this project. We identify generic recommendations for corrective actions in future projects which identify approaches or mechanisms which can enhance the future projects at the activity to output level, additionally we point to more substantive recommendations for interventions associated with community enterprise. We also draw out and identify key areas for potential future projects development through upscaling of the PFM approach across East African coastal forests and also specific future projects within the Kwale area. Finally, we identify lessons from the worst practises associated with this project and also document best practises could readily be used to enhance future project formulation and implementation.

## 7.2 CORRECTIVE ACTIONS FOR NEXT PROJECT

### **Implementation - training impact survey to assess benefits and inform design of trainings.**

The project included a wide number of training events covering a wide spectrum of sectors. These trainings were diverse, from more “formal” sessions on PFM to in-the-field trainings, for example in the use of METT. Whilst it is clear that these trainings improved the capacity for PFM and also strengthened the governance associated with PFM, it is unclear to what extent they have been implemented in an optimal way. It is recommended that future projects with such strong training components are more robust in the feedback loop between training delivery and training impact. To understand this feedback it is proposed that training impact surveys are carried out post training events. This can lead to understanding the value of the training to the attendees, unexpected benefits not expected by the project team, the effect of the training in changing behaviour and attitude and, in terms of professional staff (government bodies etc), how the training has impacted upon business processes and effectiveness. Feedback of this impact information into design of future training can help to ensure that it is impact-orientated as well as ensuring that it is offering effective use of resources.

*Recommendation: for future projects with a strong capacity development component, the impact of the training is monitored and fed-back into the design of future capacity development interventions.*

### **Monitoring – improve indicators and use M&E to guide project.**

As noted in the sections above, with the project there was opportunity for enhanced M&E and more thorough use of the conclusions to guide project implementation. There are also possibilities for making the monitoring more results-based, rather than activity-based, and follow RBM principles. This provides a sharper snap-shot in the way that gains in activities and outcomes are accruing the objective and goal levels of the logical framework. Additionally, it also helps focus more thought on the delivering activities in a way which maximises the results. To do this may mean that future projects include a budget for RBM capacity building within project staff which is identified alongside the budget for M&E project monitoring.

*Recommendation: for future projects monitoring and evaluation should focus more on assessing results rather than activities.*

### **Evaluation – earlier MTR to allow time for project re-orientation.**

This project could have benefitted from a MTR to be carried out mid-way or just past mid-way during the project. As it was, the project team were responsive and responded to the MTR recommendations rapidly and robustly. However, a risk envelope was apparent during project implementation in that the MTR would come up with significant shortcomings which would be difficult to comprehensively address within the remaining

period of the project. The recommendation is, unless in exceptional cases, for the MTR to be aligned closely to the middle of the project timeline. This requires that procurement and contracting procedures are commenced such that implementation can take place at an appropriate juncture in the project cycle. It is also the case that forward planning of such an evaluation means that selected consultant availability is likely to be higher and thus available but alternative, and maybe less expert, consultants do not have to be contracted just to meet the timeline.

*Recommendation: for future projects the mid-term review should be initiated in adequate time for it to be implemented mid-way (or as appropriate) through the project timeline.*

### 7.3 ACTIONS TO REINFORCE BENEFITS AND INCLUSION IN FUTURE INITIATIVES

It is recommended that holistic livelihood planning with regards to a number of the income generating activities be undertaken to maximize the gains to the community beneficiaries. Areas of focus are:

- **Product development** – Taking the example of the Msambweni Beekeepers Association, it was noted that they acknowledged they had not fully utilized the product range with regards to beekeeping and in future they intended to develop capacity in this area. Other products included royal jelly, beeswax and propolis. These additional products could provide increased returns for the group if extracted and packaged accordingly.
- **Market penetration and market linkages**- Facilitation of market penetration and market linkages could greatly assist some of the income generating activities such as the ecotourism projects (for example the Kaya Kinondo ecotourism project). Such facilitation could take the form of partnerships with the tour operators (for example Kenya Association of Tour Operators –KATO) to provide the ecotourism projects with a steady supply of clients by including these ecotourism sites in their travel itineraries.
- **Market supply**- The issue of market supply with regards to tree seedlings is very important. This is with regards to ensuring that sustainable markets exist for the purposes of up-take of the seedlings being produced by the various community forest associations and self-help groups. It was encouraging to note that market opportunities are in the offing with Coast Calcium shifting from coal based processing to wood-fuel based processing owing to higher quality calcium being produced through the use of wood-based biomass. The Kwale County Council has also expressed interest in purchasing seedlings from these groups. It is important to ensure that these transactions are equitable with regards to the producer groups.
- **Vision and self-reliance**- The community forest associations, self-help groups and producer groups need to have their capacity built with regards to visioning and taking full ownership of their various enterprises. A shift towards self-reliance with regards to resource mobilization also needs to be inculcated within these groups to reduce dependency on external funding sources as pertains to operations.

It is important that the community enterprises to some extent directly support forest conservation. As such, it is necessary to ensure the developed livelihood interventions directly benefit the forest rather than just reduce pressure in a general sense. These can take the form of indigenous trees to be used for enrichment planting within the forest sites for example or planting of specific tree species in degraded sites that support certain biodiversity such as the red-tailed squirrel or the elephant shrew.

*Recommendations: (i) future projects should take a holistic view when planning community enterprise initiatives which includes consideration of product, market, supply-side issues and self-reliance; (ii) the link between community enterprises and the focus of the project (e.g. conservation) should be targeted and direct.*

### 7.4 PROPOSAL FOR FUTURE DIRECTIONS UNDERLYING MAIN OBJECTIVES

Through the collaborative efforts engendered within the Project, two developments of global importance have emerged. The first of these is the development of a Sable Antelope Conservation Strategy for the Shimba Hills National Reserve spearheaded by Kenya Wildlife Service (KWS). The sable antelope (*Hippotragus niger*) has

declined considerably in its former range in the last 30 years and are only found in Shimba Hills National Reserve. Currently, the population is estimated to be 75 individuals. This is an alarming decline compared to 265 individuals in 1960. The Sable antelope is listed as Conservation Dependent (LR/cd), the focus of a continuing taxon-specific or habitat-specific conservation programme targeted towards the taxon in question, the cessation of which would result in the taxon qualifying for one of the threatened categories within a period of five years, on the IUCN Red List of Threatened Species. As such, the sable antelope conservation strategy comes at a very opportune time with regards to global efforts relating to the conservation of this striking scythe-horned antelope.

The second development relates to the first mangrove conservation project in Kenya under the Reduction of Emissions from Deforestation and Forest Degradation (REDD+). The project known as Mikoko Pamoja (mangroves together) has been developed under the Plan Vivo standard. The Kenya Marine and Fisheries Research Institute (KMFRI) is implementing this innovative, small-scale carbon project aimed at enhancing mangrove forest productivity and integrity, by carrying out activities that benefit local communities and that could be eligible for attracting carbon investment. The project will initially protect 107 hectares of mangrove forest at Gazi bay and replant 0.4 ha degraded forest per annum, over a project time-scale of 20 years. Technical Specifications of the project have been accredited by Plan Vivo Carbon to sell 3,000tCO<sub>2</sub> equivalent/year into the voluntary carbon market, thus generating approximately US\$15,000/yr. The profits from selling carbon credits through Mikoko Pamoja are channelled directly to the community in order to finance further mangrove restoration effort, as well as to support community development projects.

Through the UNDP-GEF funded project, collaboration between the Kwale Management Team and KMFRI has seen the piloting of REDD+ in Dzombo Forest one of the priority sites within the Kwale landscape. Carbon assessments are at their final stages in this regard and once the Dzombo REDD+ project has been registered, this same model will be rolled out to the other priority forests, and thus contributing to global climate change mitigation efforts. Capacity building is also being carried out with a view to ensuring the community forest associations that will benefit from these projects as well as other partners have adequate skills with relation to Measurement, Reporting and Verification (MRV) which are critical elements with regards to successful implementation of REDD+ projects.

The combination of features of global significance, sound pilot achievements in creation of a PFM approach and a governance nexus to take this forward and the high priority of the Coastal East Africa Initiative, create a positive platform for future project developments. The development of a larger project which covers more areas of the coastal forest, which expands on the best practise created during this project and which brings together community enterprise and forest conservation would be a positive step in delivering the GoK and GEF agenda.

*Recommendations: (i) in future projects the sound development of PFM should be up-scaled to cover more areas of the East Africa coastal forest ecosystem; (ii) specific projects which cover the Sable Antelope Conservation Strategy at Shimba Hills and community based REDD+ projects should be developed.*

## 7.5 WORST PRACTICES AFFECTING PERFORMANCE OF PROJECT

### Project visibility

A majority of the stakeholders interviewed, more so the community beneficiaries and members of the targeted community based organizations were not aware of the fact that the UNDP-GEF project had provided the funds for capacity development, constitution development and establishment of the IGA's which they were undertaking for the past four years. The government agencies were aware of the UNDP-GEF project funding portfolio owing to their membership in the Kwale Management Team. The low awareness of the other alluded to project stakeholders meant they may not have been fully cognizant of the contribution of their individual initiatives towards the overall Project Objective of *"the coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scale"*. The project gains realized may thus have been greater had the stakeholders been explicitly aware of the Project's underlying aims and principles. This aspect needs to be clarified early in



the life of the project so as to ensure the expectations of the interested and affected parties are not exceeded as pertains to long-term funds flow.

*Lesson: make sure that there is explicit awareness of the project as an entity among all stakeholders.*

#### **Incomplete upstream gains**

The project registered very impressive and significant landscape level gains as pertains to the promotion of the principles of participatory forest management, the creation of sustainable livelihoods through the promotion of an array of nature-based income generating activities, as well as the promotion of gender and youth mainstreaming in natural resource management. It was however noted that these same gains did not translate to upstream gains at the national level during the life of the project in all cases. This was attributed to the relatively short time-frame of the project vis-à-vis the length of time required to register upstream gains in a project focused in a landscape setting. However, contextual drag factors were also related to re-structuring within KFS and a lack of institutionalization of PFM and the METT monitoring system. It is however well worth noting that experiences and practices within this project informed the WWF Boni-Dodori SFM project proposal, the WWF Coastal Kenya Programme, components of the Kenya Coastal Development Project (KCDP) and the WWF-Tanzania Full-Sized Project (FSP). Also, the project influenced some policy changes in the forestry sector especially on charcoal issues.

*Lesson: within the project lifetime direct resources at securing upstream gains among relevant stakeholders and institutions.*

#### **Staff rotation in governmental partners.**

The project experienced a number of project partner staff moving from their post to alternative posts within the organization and consequent loss of direct involvement in the project. Such staff rotation is common in government departments. Such changes were accommodated within the implementation of the project, however, such rotations do cause a risk factor to projects. It may have been beneficial for agreements to have been made with governmental project partners prior to project implementation. This would ensure that individuals directly and actively involved in the project will not be included in the rotation patterns of the organisation and thus be able to contribute in a resolute way for the duration of the project timeline.

*Lesson: agree, plan and manage government staff rotation at the start of the project to ensure that projects achievements are not at risk.*

## **7.6 BEST PRACTICES AFFECTING PERFORMANCE OF PROJECT**

#### **Raising the profile of Shimba Hills as an important water tower in Kenya**

A particularly significant outcome of the project has been the raising of Shimba Hills as an important water tower in Kenya. Shimba Hills is now recognised among the 18 Water Towers gazetted under Legal Notice No. 27 of April 13, 2012, establishing the Water Towers Agency. This is owing to its important contribution to provision of ecosystem services through provision of water for Kwale county and Mombasa county, as well as being an important catchment and source of several important rivers that contribute to provision of freshwater resources for numerous downstream communities. It was felt that this status can be maintained well into the future owing to the very credible management arrangements in place in the Shimba Hills ecosystem through the collaborative efforts of KWS, KFS and NMK and the forest adjacent communities. This can serve as a model for other protected areas which harbour such vast resources of endemism and appreciably contribute to provision of ecosystem services.

#### **Effective sensitisation of judiciary to strengthen enforcement**

Under the Forests Act, 2005, KFS are charged with the ability to detain poachers engaged in illegal activities related to forest products such as forest destruction and degradation and confiscate illegally acquired forest products. However, they do not have prosecutorial powers which remain the responsibility of the police and judiciary. In collaboration with KFS and KWS, WWF was able to undertake a sensitization and awareness creating campaign targeted at the police and magistrates within the judiciary. They undertook capacity building on the provisions of the Forests Act, 2005 with regards to fines and penalties for forest offenders. This has resulted in a heightened appreciation for natural resource management and protection by the police and magistrates resulting in expedited issuance of arrest warrants by the police and the awarding of stiffer fines and penalties by magistrates. This has had the positive effect of drastically reducing the rate of forest related



crimes in the Kwale landscape. Community policing has also gone into high gear with communities being very vigilant over their natural resources with even further reduction in illegal activities. This is a truly impressive outcome.

**Credible and valued advocate who is responsive to stakeholder needs.**

All the stakeholders interviewed were unanimous in their acknowledgement of WWF's impressive efforts in serving as a credible convener as pertains to facilitating collaboration between, the governmental, non-governmental and private sector players in the Kwale landscape. WWF being active in the region for many years prior to the project commencement and as such they had built up a wide and inclusive network of stakeholders. Over time trust and respect had been built up by WWF permitting open engagement and discussion. WWF being viewed as independent and non-partisan has fostered greater confidence in stakeholders as pertains to co-management arrangements built into the project. WWF were generally viewed as being very responsive to the needs of the stakeholders. As such WWF was able to provide very targeted inputs to support the development of governance systems amongst the various community based organisations and community forest associations, since its inputs were greatly valued and trusted.

**Developing cross-links within governance system to form more robust network**

In the past, governmental bodies and community based organisations viewed each other with mistrust owing to the "command and control" approach of governmental agencies such as KFS and KWS. The project management structures entrenched within the Project have allowed WWF to co-ordinate the development of cross-linkages between these different organisations which had traditionally low levels of trust. This collaborative approach to natural resource management has been instrumental in ensuring smooth implementation of project activities and the realisation of appreciable project gains. This collaboration will serve as an enduring model to ensure continued co-management within the Kwale landscape facilitating strides towards the realisation of sustainable development for the forest adjacent communities and the wider populace.

**Active linkage into policy enhancements.**

Whilst within the project context there have been blockages in empowering the CFA's in co-management of the forest landscape, the project has also had a strong linkage and influence of developing policy enhancements. The Forests Act (2005) is being revised to accommodate the revised GoK Constitution and strengthen the devolution of community-based aspects of forest management; the working title of this Bill is the Forest (Conservation and Management) Bill. This Bill will also be accompanied by policy detailing the process by which this may happen. The strong governance links developed within this project, and the experiences in establishing and developing the CFA, are directly instrumental in the development of this Bill and associated policy mechanisms. On a regional level the project has also strongly informed the on-going revision of the 20-year WWF strategy for the coastal forests realigning it with the Coastal East Africa Initiative.

# Appendices

## A. TERMS OF REFERENCE FOR THE EVALUATION

### Terms of Reference

#### UNDP/GEF IMPROVED CONSERVATION AND GOVERNANCE FOR KENYA COASTAL FOREST PROTECTED AREA SYSTEM PROJECT.

##### INTRODUCTION:

The Monitoring and Evaluation Policy (M&E Policy) at the project level in UNDP/GEF has four objectives to:

- a) Monitor and evaluate results and impacts;
- b) Provide a basis for decision making on necessary amendments and improvements;
- c) Promote accountability for resource use;
- d) Document, provide feedback on, and disseminate lessons learnt.

A mix of tools is used to ensure effective Project monitoring and evaluation. These might be applied continuously throughout the lifetime of the project e.g. periodic monitoring of indicators through the annual Project Implementation Reports (PIR), Project Steering Committee meetings – or as specific and time-bound exercises such as mid-term reviews (MTR), audit reports and final evaluations (FE). In accordance with UNDP/GEF Monitoring and Evaluation policies and procedures, all regular and medium-sized projects supported by the GEF should undergo a final evaluation upon or nearing completion of implementation. A final evaluation of a GEF-funded project (or previous phase) is also required before a concept proposal for additional funding (or subsequent phases of the same project) can be considered for inclusion in a GEF work program. However, a final evaluation is not an appraisal of the follow-up phase.

Final evaluations are intended to assess the relevance, performance and success of the projects. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals and objectives. It will also identify and document lessons learned and make recommendations that might improve the design and implementation of other UNPD/GEF projects.

##### 1. BACKGROUND:

The Improved Conservation and Governance for Kenya Coastal Forest Protected Area System four year Project started in October 2007. The project seeks to improve the efficacy and sustainability of coastal forest resources management within the Kwale Landscape which covers three new administrative Districts of Kwale, Kinango and Msambweni carved out of the former Kwale district at the Kenya Coast in 2008. The total protected area is 31, 762 ha. Though small and fragmented, these protected areas are of critical importance to the country as they are situated at the centre of the country's tourism industry, the country's largest foreign exchange earner. They are important water catchment areas for the rivers and streams on which the local people depend. Despite their importance, the forests are under great pressure from the surrounding population. The forests are a target for provision of woodfuel (charcoal and firewood), timber, mining, expansion of settlements and tourism development. They are also targets for mining, both at small-scale (building blocks and sand) and large-scale (high-value minerals).

The project objective is that the coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape level. The project has two technical outcomes and a project management unit outcome; the first is a demonstration of innovative conservation methods in the Kwale District Forest Landscape, covering 12 Protected Areas of several categories. The second outcome is the integration of the Kwale Forest Landscape Restoration model as best practice into protected area policy and programmes in all coastal forest landscapes in Kenya. The management outcome is enabling of timely and efficient project activities through effective project administration, M & E, and coordination.

The project is implemented by the Kwale Management Team (KMT) which is comprised of the Kenya Forest Service (KFS), the Kenya Wildlife Service (KWS), National Museums of Kenya (NMK) and the Kenya Forestry Research Institute (KEFRI). WWF provides a facilitational role and hosts the secretariat. A Project Steering Committee (PSC) and a National Task Force (NTF) respectively provide policy and technical support. Implementation of this project has benefited from in-kind contribution provided by the central government

and co-funding provided by the private sector and Non-Governmental Organisations (NGOs). By December 2011, GEF had contributed USD 731,862 out of the USD 800,000 budgeted for the project. By December 2011, the total grant provided as co-funding by WWF networks and the private sector was USD 725,000 while the total in-kind contribution by the central government and NGOs was USD 382,600. This co-funding started in 2004 with the main input from WWF.

The project uses the project document log frame to monitor progress in implementation. The log frame is used in work plans, Project Implementation Reviews (PIRs) and annual monitoring plans. Results of monitoring are often used to provide feedback on the project. The project uses the Management Effectiveness Tracking Tool (METT) to identify problems and threats in protected areas as well as assess improvement in management of PAs. UNDP Kenya Country office has been very effective in monitoring and periodically evaluating the performance of this project particularly through field visits and interaction with project implementers and beneficiaries and through the various management meetings.

## **2.0 PROBLEMS THAT THE PROJECT SEEKS/ SOUGHT TO ADDRESS**

The Kwale landscape is located on the southernmost part of the Kenyan coast, adjacent to the international border with Tanzania. The boundaries of the Kwale landscape directly correlate with the three new administrative districts of Kwale, Kinango and Msambweni carved out of the larger former Kwale district. The landscape covers an area of 8,260 km<sup>2</sup> and has a population of over 550,000 people. The total protected area is 31,762 ha, with Shimba Hills being the single biggest forest block with 19,260 ha. Though small and fragmented, these forest blocks are of critical importance to the country as they are situated at the centre of the country's tourism industry, the largest foreign exchange earner. They are important water catchment areas for the rivers and streams on which the local people in the coastal areas depend on, including the city of Mombasa. They provide the basis for a number of different forms and scales of economic activity, which provides food for national and international consumption.

The landscape is extremely diverse; notably for plant and animal endemism. Despite their importance, the forests are under great pressure from the surrounding population, the majority of who are living below the poverty line and rely heavily on the forests for daily subsistence. The forests are a target for clearing by small-scale farmers, for provision of wood fuel (charcoal and firewood) as well as timber extraction. Kwale forests are also facing threats from major cities like Mombasa for the supply of timber, firewood, charcoal and water. Other threats include uncontrolled fires, mining, expansion of settlements and private development.

The project focuses on building institutional capacities to manage Forest Protected Areas through a Participatory Forest Management (PFM) system involving local communities, government institutions and private sector stakeholders. The project addresses conservation needs at the landscape level, bringing together the varied institutional players and stakeholders responsible for forest management (Government at central and district level, through wildlife, forestry, agriculture and community sectors, as well as private sector, civil society and communities). The project capitalizes on the new opportunities offered by The Forests Act 2005, which emphasizes the need for public-private sector partnerships and community involvement in the management of Forest Protected Areas.

### ***2.1 Immediate and development objectives of the project***

The goal of the project is that Kenya's Forest Protected Area System is based on best practice landscape scale management. The project objective is that the coastal forests of Kenya are conserved, managed and sustainably utilized through a participatory system that optimizes benefits for present and future generations at landscape scales.

The project has four areas of focus:

- a. Afforestation and re-forestation: This includes development of protected forest blocks management plans; and, restoration and rehabilitation activities in degraded sites within the landscape.
  - b. Livelihood component: This include establishment of sustainable alternative livelihood options.
  - c. Forest law enforcement and governance: Support for gazettement and protection of protected areas and farmlands is provided.
  - d. Partnerships and institutional support: The project addresses institutional resource gaps, technical capacity enhancement and establishes linkages for effective project implementation.
- Effective PFM systems and traditional forest management practices are also important components of this project.

### ***2.2 Results expected***

The project has two technical outcomes and a project management unit outcome; the first is a demonstration of innovative conservation methods in the Kwale District Forest Landscape, covering 12 Protected Areas of several categories. This includes one National Reserve, several Forest Reserves, Community Sacred Groves or Kayas, a privately owned forest, and two ungazetted Kaya forests. The second outcome is integration of Kwale Forest Landscape Restoration model as best practice into protected area policy and programmes in all coastal forest landscapes in Kenya. The management outcome is enabling of timely and efficient of project activities through effective project administration, M & E, and coordination.

### **3.0 GENERAL OBJECTIVES OF THE EVALUTION:**

The final evaluation of the UNDP/GEF project improved conservation and governance for Kenya coastal protected area system is initiated by the UNDP Kenya and it is being undertaken in accordance with the UNDP/GEF Project Monitoring and Evaluation Policy see (<http://thegef.org/MonitoringandEvaluation/MEPoliciesProcedures/mepoliciesprocedures.html>).

The principal purpose of the Final Evaluation is to assess the project results and impacts as required by the UNDP/GEF Monitoring and Evaluation Policy. It is also mandatory to evaluate and review any UNDP project at mid-term and when the assistance is about to phase out. The mid-term evaluation of this project was undertaken in November 2008. The MTR established that the project provides a good model for forest landscape management that is now being replicated in one other coastal landscape namely Boni-Dodori. The lessons learnt have informed the development of proposals and projects in the region including The Kenya Coastal Development programme by The World Bank, CDTF project for Shimba Hills and a WWF five years project for Kwale, currently under development.

### **PROJECT PERFORMANCE:**

#### **a. OBJECTIVES OF THE FINAL EVALUATION:**

A final evaluation is a mandatory requirement of UNDP/GEF Projects and Projects of this magnitude. The evaluation will analyze and assess the achievements and progress made so far towards achieving the original objectives of the Project. It will also identify factors that have facilitated or impeded the achievement of the objectives. The evaluation will consider the effectiveness, efficiency, relevance, impact and sustainability of the Project. While a thorough assessment of the implementation to date is important, the evaluation is expected to also result in recommendations and lessons learnt to assist in defining the future direction of similar projects.

The evaluation will in particular assess:

(1) Project Design – review the original project intervention strategy including objectives, outcomes, outputs and activities and assess quality of the design and delivery of planned outcomes. The review should also assess the conceptualization, design, effectiveness, relevance and implementability of the project. The review should also include the updated logical framework matrix which was designed during Project Inception. This evaluation shall cross-reference the results, and report, including recommendations of the Project Steering Committees which have been carried out yearly since the project start.

(2) Project Impact – assess the achievements of the Project to date against the original objectives, outcomes and activities using the indicators as defined in the project document as well as any valid amendments made thereafter. Of particular relevance are the indicators that have been identified during Project Inception. Achievements should be measured against the indicators as described in the log frame.

(3) Project Implementation – assess:

a. Project management arrangements, i.e., effectiveness of UNDP/GEF, UNDP Country Office, the Project steering Committee (PSC), Kwale management team.

b. The quality and timeliness of delivering outputs and activities;

c. Financial situation (i.e., budget and expenditure status). In this regard, this evaluation is not a financial audit, which is a separate process carried out by UNDP. If a financial audit was done the consultants should have access to the audit reports under the auspices of UNDP;

d. Cooperation among partners including but not limited to: GEF, UNDP, Governments counterpart Ministries, KFS, KWS, NMK and private companies;

e. Responsiveness of project management to adapt and implement changes in project execution, based on partner and stakeholder feedback;

Based on the above points, the evaluation should provide a document of approximately 30-50 pages indicating what project activities, outputs/outcomes and impacts have been achieved to date, and specifically:

(1) Assess the extent of the progress which the improved conservation and governance for Kenya coastal protected area system project has made to achieve its objectives and where gaps are evident;

- (2) Draw lessons from the experiences of the project, in particular those elements that have worked well and those that have not, requiring adjustments and;
- (3) Provide recommendations to strengthen the effectiveness, efficiency, impact, implementation, execution and sustainability of the project.

***b. SCOPE OF THE EVALUATION:***

While the specific issues of concern are listed in the following paragraphs, a reference to the UNDP programming manual and UNDP/GEF guidelines to conduct terminal or end-of-cycle evaluations should be made for addressing the issues not covered below.

The evaluation will include ratings on the following two aspects: (1) Sustainability and (2) Outcome/Achievement of objectives (the extent to which the project's immediate and development objectives were achieved). The review team should provide ratings for three of the criteria included in the Final Evaluations: (3) Implementation Approach; (4) Stakeholder Participation/Public Involvement; and (5) Monitoring and Evaluation. The ratings will be: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory, and Highly Unsatisfactory. (See the UNDP/GEF 6-point rating scales for Progress towards project objectives and on Project Implementation.

***4.1(a) Project Conceptualization/Design:***

1. Whether the problem the project addressed is clearly identified and the approach soundly conceived.
2. Whether the target beneficiaries and end-users of the results of the project are clearly identified.
3. Whether the objectives and outputs of the project were stated explicitly and precisely in verifiable terms with observable success indicators.
4. Whether the relationship between objectives, outputs, activities and inputs of the project are logically articulated.
5. Whether the project started with a well-prepared work-plan and reasons, if any, for deviations.

***4.2(b) Project Relevance:***

1. Whether the project is relevant to the development priorities of the country.
2. Given the objectives of the project, whether appropriate institutions have been assisted.

***4.2(c) Project Implementation:***

The evaluation team will examine the quality and timeliness in regard to:

1. The delivery of inputs specified in the project document, including selection of sub-projects/projects, institutional arrangements, interest of beneficiaries, the scheduling and actual implementation.
2. The fulfilling of the success criteria as outlined in the project document.
3. The responsiveness of the project management to significant changes in the environment in which the project functions (both facilitating and impeding project implementation).
4. Lessons from other relevant projects if incorporated in the project implementation.
5. The monitoring and backstopping of the project as expected by the Government and UNDP.
6. The delivery of Government counterpart inputs in terms of personnel, premises and indigenous equipment and the realization of co-financing commitments.
7. Project's collaboration with industry associations, private sector and civil society, if relevant.

***4.2d) Project Performance:***

1. Whether the management arrangements of the project were appropriate.
2. Whether the project resources (financial, physical and manpower) were adequate in terms of both quantity and quality.
3. Whether the project resources are used effectively to produce planned results.
4. Whether the project is cost-effective compared to similar interventions.
5. Whether the technologies selected (any innovations adopted, if any) were suitable.
6. The role of UNDP CO and its impact (positive and negative) on the functioning of the project.

***4.2e) Results/Success of the project applied to the Project site:***

The overall outputs and their meaning are as defined in the project support documents and project documents that should form the main basis for this evaluation. The details of the specific project impact to be provided, in addition to general outputs, are as under:

1. What are the major achievements of the project vis-à-vis its objectives.
2. What are the potential areas for project's success? Please explain in detail in terms of impact, sustainability of results and contribution to capacity development.

3. What major issues and problems affected the implementation of the project and what factors could have resolved them.
4. Given an opportunity, what actions the evaluation team members would have recommended to ensure that this potential for success translated into actual success.
5. The level of institutional networking achieved and capacity development of key partners, if done in a structured manner at different stages – from inception to all project operations.
6. The social impacts, including impact on the lives of women at each sub-project site.
7. Any underlying factors, beyond control, that influenced the outcome of each project outputs.

#### **METHODOLOGY/EVALUATION APPROACH:**

The methodology to be used is presented below:

Documentation Review including, inter alia:

- Project Document;
- Project implementation reports (PIRs) for 2009, 2010 and 2011
- METT Tools forms completed
- Project quarterly progress reports;
- NEX project audit reports;
- Minutes of Tripartite Review (TPR) and Project Steering Committee meetings;
- Combined Delivery Reports;
- Annual Workplans
- Inception Report;
- Consultancy reports.

#### ***Interviews***

The consultants will liaise and gather information through meetings with the various stakeholders namely; Ministry of Forestry and Wildlife (MF&W), WWF, UNDP, Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), National Museums of Kenya (NMK), NGOs and private sector representatives (Camp Kenya, Bamburi Cement Company Ltd, Coast Calcium, Colobus Trust) as well as beneficiaries and local communities in the project area.

#### ***Field Visits***

The consultant will work with the project team to select randomly the sites to be visited out of the ones covered under the GEF funds.

#### ***Presentation of the Findings***

The initial conclusions and recommendations will be presented to WWF, MF&W and UNDP who form the Tripartite Review.

#### ***I. Evaluation Team***

The Final Evaluation team will consist of two consultants, both should have a minimum of a Masters or PhD degree in any of the following domains; forestry, natural resources management and/or environmental science.: an International Consultant (Team Leader), and a local participatory natural resource management specialist with a strong M&E experience. The Team Leader will be responsible for the delivery, content and accuracy of the review. The local consultant will be responsible for assisting the Team Leader in the technical quality of the assessment and recommendations as well as contextualizing the Evaluation within the local dynamics both in the process and report. The Team Leader will be responsible for the whole of the Evaluation. As such, the participatory natural resources management specialist will be involved throughout the Final Evaluation.

#### ***Profile of Evaluators***

1. International Consultant/Team Leader: The International consultant/Team leader and the National consultant should have 10 years experience. Previous involvement and understanding of forest sector and natural resources matters and use of environment/natural resource and/or socio-economic analysis within the context of national and sub-national development will be of added advantage. Further, previous exposure to conservation of landscapes, participatory management of natural resources will be an added advantage.

The international consultant should be a respected international development specialist with experience in Eastern Africa with extensive work on forest management, economic use of natural resources, integrated planning, and project monitoring and evaluation, including UNDP/GEF projects. Fluency in English is essential.

2. National Consultant: will be responsible for technical review and comments of the local aspects of the project and their effect on the overall project design, implementation and impact. The local consultant will have extensive experience of at least 5 years in research, monitoring and evaluation, including analysis of logframes, especially those related to improvement of community livelihoods derived from natural resources.

## **II. Implementation Arrangements**

Management arrangements – The UNDP country office will be responsible for hiring the consultants and will be responsible for timely provision of per diems and travel arrangements within the country for the consultants and also liaise with WWF project team to set up the stakeholder interviews, arrange the field visits. WWF will coordinate field visits, set up field visits and stakeholder meetings and interviews.

Travel to and DSA; UNDP will meet travel and DSA costs for field visits to project sites. The UNDP rates for both will apply.

These Terms of Reference follow the UNDP/GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP/GEF Regional Coordinating Unit, UNDP Country Office and WWF. These three parties will receive a draft of the final review report and provide comments on it prior to its completion.

### **5. TIME TABLE:**

The duration of the evaluation will be a total of 20 working days and will commence towards early April 2012 with the following tentative schedule for the critical milestones:

- Acceptance and commencement of duties by early April
- Inception meeting with the principal parties (UNDP and CIP PCU) by April 2012 with a schedule and definite timetable for the overall evaluation.
- Draft Evaluation Report by 10th May 2012.
- Presentation of the draft to the key stakeholders and incorporation of comments if deemed necessary, including submission of five copies of the final evaluation report by mid –20th May 2012.
- Final Evaluation report by end of May 2012, in five copies, 5 CD ROMs.

## **6. CONSULTATIONS:**

The consultant and team members are open to consult all reports, files, manuals, guidelines and resource people they feel essential, to make the most effective findings, conclusions and recommendations. The mission will maintain close liaison with the WWF and UNDP Resident Representative and Deputy Resident Representative in Kenya, as well as other concerned officials and agencies in UNDP; the Governments of Kenya through ministry of forestry and wildlife, other government actors including KFS, KWS and NMK

## **7. REPORTING:**

The evaluation team will report directly to the Senior Management of UNDP Kenya, UNDP/GEF RSC, but mostly to the Deputy Country Director – Programmes and the Leader of the Energy, Environment and Climate Change Team. The consultant shall work in close collaboration with the project PSC members. The consultant will prepare and submit the draft report of the evaluation to UNDP. A presentation and debriefing of the report to UNDP, the project beneficiaries (executing and implementing agencies), Special PSC will be convened after and as part of the evaluation wrap-up.. The reporting schedule will be finalized during the inception meeting between the evaluation team and key stakeholders prior to commencement of the consultancy.

## **8. APPLICATION PROCESS**

Qualified and interested candidates should submit their applications quoting the title 'UNDP/GEF Improved Conservation and Governance for Kenya Coastal Forest Protected Area System Project'

The same should be submitted on or before 4.30 P.M Kenyan Time on Thursday, 5th April 2012 to the following email address; consultants.ken@undp.org

The applications should include:-

1. Detailed Curriculum Vitae
2. UNDP Personal History Form (P11)
3. Proposal for implementing the assignment

For the international consultant

4. The Financial Proposal should indicate consultancy fee on daily rate and DSA. Return Economy air ticket (most direct) will be reimbursed.



The National Consultant will be paid based on remuneration for local consultants

## **Annex 1: Evaluation Report: Sample Outline**

### **Executive Summary**

Brief description of project

Context and purpose of the evaluation

Main conclusions, recommendations and lessons learned as well as an overall performance rating for the project (using the UNDP/GEF 6-point rating scale) .

### **Ethics Statement**

#### **Introduction**

1.0 Purpose of the evaluation

2.0 Key issues addressed

3.0 Methodology of the evaluation

4.0 Structure of the evaluation

The project and its development context

5.0 Project start and its duration

6.0 Problems that the project seeks to address

7.0 Immediate and development objectives of the project

8.0 Main stakeholders

9.0 Outcomes/ Results expected

#### **Findings and Conclusions**

10.0 Project formulation

11.0 Implementation approach

12.0 Country Ownership/Drivenness

13.0 Stakeholder participation

14.0 UNDP comparative advantage

15.0 Linkages between project and other interventions within the country

16.0 Management arrangements

#### **Implementation**

17.0 Financial Planning

18.0 Monitoring and evaluation

19.0 Execution and implementation modalities

20.0 Management by the UNDP country office in Kenya

21.0 Coordination and operational issues

22.0 Confirmation of co-financing commitments.

#### **Results**

23.0 Attainment of objectives, outcomes and outputs

24.0 Sustainability beyond the Project Life Cycle

25.0 Contribution to capacity building, regional and national development

#### **Recommendations**

Corrective actions for the design, implementation, monitoring and evaluation of the next project.

Actions to follow up or reinforce initial benefits from the project and relevance for inclusion in future initiatives

Proposals for future directions underlining main objectives.

Lessons Learned, Best and worst practices in addressing issues relating to relevance, performance and success of the project.

### **Annex**

- TOR for the Evaluation
- Evaluation Schedule of Work
- List of Persons and Organizations interviewed
- List of documents reviewed
- Questionnaire(s) used, if any, and summary of results.

### **DISCLOSURE**

Although the team is free to discuss with the authorities and any partners in the country on anything relevant to the assignment, under the terms of reference, the team is not authorized to make any commitments on behalf of UNDP or the Governments of Kenya.

## B. EVALUATION WORK SCHEDULE

Activity	Proposed dates	Key outputs
<b>Phase A - Preparation by consultants</b> <ul style="list-style-type: none"> <li>Briefing from UNDP Office</li> <li>Agreement on matrix, activities and timeframes</li> <li>Preparation of meetings/programme</li> </ul>	1 day (Nairobi)  4/6/2012	<ul style="list-style-type: none"> <li>Agreement on timeframes and programme</li> <li>Flight requests made</li> <li>Contacts with WWF Nairobi made</li> </ul>
<b>Phase B - Meetings and background documentation</b> <ul style="list-style-type: none"> <li>Collate and read background documentation.</li> <li>Identify indicators and target questions for interview.</li> </ul>	2 days (Nairobi)  5-6/6/2012	<ul style="list-style-type: none"> <li>Familiarity with project and interview approach.</li> </ul>
<b>Phase C – Field visits</b> <ul style="list-style-type: none"> <li>Visit to WWF Kwale Office</li> <li>Meetings with stakeholders, beneficiaries and local community representatives.</li> </ul>	8 days (South Coast)  7-15/6/2012	<ul style="list-style-type: none"> <li>Finalize field interview schedule and logistics with WWF staff.</li> <li>Assess “on the ground” project implementation and impact.</li> <li>Assess effectiveness of project management outcomes.</li> <li>Document discussions with projects beneficiaries and affected communities.</li> <li>Evaluate findings</li> </ul>
<b>Drafting Report</b> <ul style="list-style-type: none"> <li>Draft report writing</li> <li>Interviews with WWF and Ministry of Forestry and Wildlife</li> </ul>	4 days (Nairobi)  16-19/6/2012	<ul style="list-style-type: none"> <li>Draft evaluation report under development.</li> <li>WWF comments on project issues and replication to other sites</li> <li>PSC comments on project policy issues and enabling environment</li> </ul>
<b>Presentation of findings to Tripartite Review group and debriefing.</b> <ul style="list-style-type: none"> <li>Hold a meeting with Tripartite stakeholders present preliminary findings and recommendations to collect feedback that will help finalize the report, give suggestions and get</li> </ul>	1 day (Nairobi)  20/6/2012	<ul style="list-style-type: none"> <li>Present findings to key stakeholders and receive comments and feedback.</li> </ul>

feedback <ul style="list-style-type: none"> <li>• Incorporate feedback into findings</li> </ul>		
<b>Draft report and submission</b> <ul style="list-style-type: none"> <li>• Revise draft report to produce revised draft report</li> <li>• Submit final report</li> </ul>	1 day (Nairobi)  21/6/2012	<ul style="list-style-type: none"> <li>• Draft evaluation report submitted</li> </ul>
<b>TPR members to submit comments to consultants</b> <ul style="list-style-type: none"> <li>• TPR members will have 4 days to compile comments of draft evaluation report</li> </ul>	26/6/2012	<ul style="list-style-type: none"> <li>• Comments received from TPR members</li> </ul>
<b>Incorporation of TPR comments into draft evaluation</b>	(3 days)  26-29/6/2012	<ul style="list-style-type: none"> <li>• Comments received incorporated into draft report</li> </ul>
<b>Final evaluation report submission</b>	29/6/2012	<ul style="list-style-type: none"> <li>• Final Evaluation report submitted to UNDP Kenya Country Programme</li> </ul>

## C. LIST OF PERSONS AND ORGANIZATIONS INTERVIEWED

### a) Interview organisational schedule

Day/Date	Time	Site/Group/institution	Output /issues
Thursday 7 <sup>th</sup> June 2012	3:00 PM	WWF office in Kwale	Meeting WWF staff and agree on the programmes and other issues
Friday 8 <sup>th</sup> June 2012	8:30 am-9:30 am	NMK-CFCU	Lessons from Kwale (Kaya Conservation), potential for replication to other coastal PAs and government adoption of lessons
	10:00 am -12:00 pm	Kaya Kinondo Village Bank	Operations of Community FSA understood, benefits and sustainable source of financial and social capital
	2:00 pm – 4 pm	Kaya Kinondo ecotourism project	Community controlled Ecotourism in a sacred forests, benefits, lessons and challenges
Saturday 9 <sup>th</sup> June 2012	8:30 am –9:30 am	Camp Kenya	Private sector partnership, community benefits and contribution to conservation
	10:00 – 11:00 am	KMFRI Scientist	Working in partnership, payment for environmental services, livelihoods improvement, conservation
	11:30 am-12:30 pm	Msambweni Bee keepers Association	Community livelihoods and conservation linkages
Monday 11 <sup>th</sup> June 2012	8:30 am –9:30 am	KWS	Working in partnership, Community participation and HEC conflicts issues, governance issues
	10:00 am -11:00 am	KFS	Working in partnership with WWF, PFM process, Forest issues and protection, governance issues
	11:30 am -12:30 am	SHICOFA-Shimba Hills Community Forest Association	PFM processes and WWF partners and support, governance issues, lessons, challenges and future prospects
	2:00 pm -3:30 pm	Lima Self Help Group	Community livelihood projects, benefits sharing, WWF support, lessons, challenges and future prospects
Tuesday 12 <sup>th</sup> June 2012	9:00 am – 9:45 am	Bamburi-Lafarge	Private sector participation and partnership in Conservation work
	10:00-10:45 am	KEFRI Coast Region Centre Director	Strong partnership and role of research in conservation
	11:30 am -12:30 pm	KFS-HOC	Lessons from Kwale, potential for replication to other coastal PA's and government adoption of lessons learnt
Wednesday 13 <sup>th</sup> June 2012	8:30 am -12:30 am	Buda Complex –Forester Buda, Mrimazdo CFA	Working in partnership with WWF, PFM process, Forest issues, protection and governance issues
	2:00 pm - 3:00 pm	Colobus Trust	Biodiversity conservation of primates and habitats
Thursday 14 <sup>th</sup> 2012	8:30 am -1:00 pm	South Coast Forest Owners Association	Private forests challenges and issues in developing sustainable private forestry sector, visit to private forest
	3:00 – 10 pm	Open	Consultant discussions and continued report

			compilation
Friday 15 <sup>th</sup> 2012	9:30 – 10:30 am 10:30 – 11:30 am 11:30 – 12:30 pm	Kaya County Elders Kwale County Natural Resources Network WWF-Kwale Executant	Community participation in NRM issues  Experiences and insights relating to the Project
	Afternoon		Travel to Mombasa Airport (2010 hrs flight)

**b) List of stakeholders interviewed**

	Interviewee Name	Organisation	Designation
1	Mr Matano Abdurahman Mwashungu	National Museums of Kenya – Coastal Forests Conservation Unit (NMK-CFCU)	Collection Manager
2	Ms. Zainab Ahmed Salim	Kinondo Financial Services Association (KFSA) (Kaya Kinondo Village Bank)	Manager
3	Mr Sururu K. Lagiza	Kinondo Financial Services Association (KFSA) (Kaya Kinondo Village Bank)	Chairman of the Board
4	Mr Mohamed Budzo	Kinondo Financial Services Association (KFSA) (Kaya Kinondo Village Bank)	Board Member – Audit Department
5	Ms. Zurura Mwatate	Kinondo Financial Services Association loan beneficiary	Private entrepreneur
6	Ms. Sanaa Kubambanya	Kaya Kinondo Ecotourism Project	Cashier / Receptionist
7	Mr Hamisi Mwalimu	Kaya Kinondo Ecotourism Project	Chairman of the Board
8	Mr Mwatime Mohamed	Kaya Kinondo Ecotourism Project	Board Member
9	Mr Suleiman Bakari	Kaya Kinondo Ecotourism Project	Volunteer Tour Guide
10	Ms. Sudi Bakari	Kaya Kinondo Ecotourism Project	Board Member
11	Mr Dipesh Pabari	Camp Kenya	General Manager – East Africa
12	Dr Kairu	Kenya Marine and Fisheries Research Institute (KMFRI)	Principle Research Officer
13	Mr Simeon Mwanyumba	Msambweni Beekeeper's Association	Technical Advisor and Secretary to the Board
14	Mr Peter Muya	Msambweni	Board Treasurer

		Beekeeper's Association	
15	Mr Kombe Randu	Msambweni Beekeeper's Association	Board Member
16	Mr Mtia Nguni	Msambweni Beekeeper's Association	Board Vice Chairman
17	Mr Juma Nyuki	Msambweni Beekeeper's Association	Chairman of the Board
18	Mr Philemon Chebet	Kenya Wildlife Service (KWS)	Acting Deputy Senior Park Warden – Shimba Hills Nature Reserve
19	Mr Mohamed Kheri	Kenya Wildlife Service (KWS)	Senior Warden
20	Mr Henry Mwangi	Kenya Forest Service (KFS)	Forester- Kwale Forest Station, Acting Zonal Manager
21	Mr Hamisi Salim	Shimba Hills Community Forest Association (SHICOFA)	Chairman SHICOFA – Chitsanze Falls Conservation Group (SHICOFA User Group)
22	Mr Mwarabu Mwakatunza	Shimba Hills Community Forest Association (SHICOFA)	Coordinator – Shimba Hills Forest Guides Association (SHICOFA User Group)
23	Mr Salim Mwayogwe	Shimba Hills Community Forest Association (SHICOFA)	Director -Mwaluganje Elephant Sanctuary (SHICOFA User Group)
24	Mr Lipi Malumbo	Lima Self Help Group	Coordinator
25	Ms. Amina Porepore	Lima Self Help Group	Deputy Secretary
26	Ms. Nkuria Saidi	Lima Self Help Group	Committee member
27	Ms. Mesalim Bakar	Lima Self Help Group	Committee member
28	Ms. Mwanakombo Kasimu	Lima Self Help Group	Committee member
29	Ms. Nchalika Juma	Lima Self Help Group	Vice Chairlady
30	Ms. Sabine Baer	Bamburi-Lafarge Ecosystems	Chief Operating Officer
31	Mr Titus Mbuvi	Kenya Forestry Research Institute – Gede (KEFRI-Gede)	Coast Region Centre Director
32	Mr Nicholas Munyao	Kenya Forest Service (KFS)	Acting Head of Conservancy (HOC) Coast Region
33	Mr Vitalis Osodo	Kenya Forest Service (KFS)	Forester- Buda Forest Complex
34	Mr Juma Kassim Mwakaro	Mrimadzo CFA (Mrima, Marenje, Dzombo)	Vice Chairperson
35	Mr Jackson Mulinge	Mrimadzo CFA	Secretary - Dzombo



		(Mrima, Marenje, Dzombo)	Adjacent Community Forest Association (DACOFA)
36	Mr Joel Kamau	Mrimadzo CFA (Mrima, Marenje, Dzombo)	Treasurer
37	Mr Joseph Mbuo	Mrimadzo CFA (Mrima, Marenje, Dzombo)	Chairperson- Dzombo Adjacent Community Forest Association (DACOFA)
39	Mr Gabriel Rumba	Mrimadzo CFA (Mrima, Marenje, Dzombo)	Secretary –Mrimadzo, Coordinator -Dzombo Adjacent Community Forest Association (DACOFA)
40	Mr Peter Ndungu	Colobus Trust	Logistics Manager
41	Mr Peter Mwano	South Coast Forest Owners Association (SCOFOA)	Secretary
42	Mr Abda Ali Mnyenze	Kwale County Committee of Elders	Chairman
43	Mr Hassan Abdalla Mgumbo	Kwale County Committee of Elders	Treasurer
44	Mr Mwakasimo Kassim Mambo	Kwale County Committee of Elders	Member and Secretary to the Coast Interfaith Council of Clerics
45	Mr Athumani Said Rimo	Kwale County Committee of Elders	Vice Secretary
46	Ms Mwanhawa Salim	Kwale County Natural Resources Network	Member – County Commissioner, Kenya Scouts Association, Kwale County
47	Mr Charles Kamau	Kwale County Natural Resources Network	Member – Chair, Ubuni Self Help Group, Fahamuni
48	Mr Onesmus Macharia	Kwale County Natural Resources Network	Member – Chair, South Coast Residents Association
49	Mr Elias Kimaru	WWF – Kwale Landscape, Kenya Country Office	Project Executant
50	Mr Sam Weru	WWF – Kenya Country Office	Conservation Manager
51	Mr Hewson Kabugi	Ministry of Forestry and Wildlife	Director of Forest Conservation

## **D. LIST OF DOCUMENTS REVIEWED**

- Project Document
- Project implementation reports (PIRs) for 2009, 2010 and 2011
- METT Tools forms
- Project quarterly progress reports
- NEX project audit report (2008)
- Minutes of Tripartite Review (TPR) and Project Steering Committee (PSC) meetings;
- Combined Delivery Reports
- Annual and Quarterly Workplans
- Consultancy reports
- Various stakeholder workshop reports
- Mid-Term review
- Policy briefs
- M&E plan
- Gender monitoring report

## E. PROJECT LOGICAL FRAMEWORK

### Outcomes, Outputs and Activities

OUTCOMES	OUTPUTS	ACTIVITIES
1. Landscape conservation of coastal forest resources successfully piloted in Kwale District with participation by all stakeholders, and resulting in improved status of key biodiversity values.	1.1 Improved management and conservation of the biodiversity of Kwale Forests Protected Areas achieved through awareness creation, monitoring, land use mapping, forest rehabilitation, management planning, gazettement and protection	1.1.1 Develop strategy for awareness creation. 1.1.2 Build public support through awareness creation. 1.1.3 Establish baseline information for monitoring: remote sensing images/and use maps for Kwale District. 1.1.4 Develop standardized, cost-effective participatory procedures for biodiversity & socio-economic monitoring. 1.1.5 Implement monitoring procedures including management effectiveness tracking. 1.1.6 Develop and implement a landscape level management planning process for the three forest landscapes. 1.1.7 Conduct boundary audits and adjustments for selected target forests. 1.1.8 Support gazettement for at least two Kayas (Puma and Chitsanze) 1.1.9 Support FD and KWS in law enforcement and farmland protection.
	1.2. Institutional and local capacity built for better management and conservation of Protected Areas.	1.2.1 Train community groups and GoK institutional staff in participatory forest management, biodiversity monitoring and conservation. 1.2.2 Train GoK institutional staff in routine use of GPS and GIS. 1.2.3 Address institutional resource gaps for improved forest management and conservation
	1.3. Existing and incoming policies and mechanisms for forest conservation, sustainable management and utilization in and adjacent to Protected Areas are harmonized and communicated to relevant stakeholders.	1.3.1 Identify and document potential conflicts in existing legislation and mandates relating to Kwale Forests. 1.3.2 Hold awareness workshop for Kwale District stakeholders on new forest policies. 1.3.3 Support project inputs to NEMA through Kwale DEC. 1.3.4 Review the MOUs between KWS, FD, NMK and KEFRI in the light of lessons learnt in the past decade and new forest policies 1.3.5 Support the MOUs Secretariat.
	1.4. Effective participatory forest management systems in place for different categories of forest Protected Areas, embracing traditional forest management practices and government priorities.	1.4.1 Carry out stakeholder analysis for target forests. 1.4.2 Collate/document information on traditional forest management practices. 1.4.3 Communicate government legislation and guidelines on PFM to Kaya elders and communities. 1.4.4 Hold consultative fora on integration of traditional & government practice on PFM. 1.4.5 Involve Kaya elders and herbalists in monitoring activities and Village Forest Associations. 1.4.6 Hold consultative meetings to define roles and responsibilities for stakeholders in PFM. 1.4.7 Follow laid-down FD guidelines for operationalisation of PFM. 1.4.8 Provide key material resources to CBO's/VFAs to support PFM.
	1.5. Sustainable alternative livelihoods developed and supported leading to reduced pressure on forest resources in Protected	1.5.1 Establish and support forest-dependent income-generating activities for forest adjacent communities (bee keeping, butterfly farming, wild/domestic silkworm production, and ecotourism). 1.5.2 Develop and support tree planting, woodlots, agroforestry and medicinal/useful plant projects for income generation and forest product substitution.

OUTCOMES	OUTPUTS	ACTIVITIES
	Areas.	1.5.3 Identify and support selected IGAs identified in previous PRAs for project areas. 1.5.4 Train communities to improve existing products. 1.5.5 Support development of new products. 1.5.6 Support certification process. 1.5.7 Develop and support marketing systems.
2. The Kwale Forest Landscape Conservation Model is successfully integrated as best practice into Protected Area policy and programmes in all coastal forest landscapes in Kenya.	2.1 Lessons learned from Kwale Forest Landscape Conservation Model fully documented and communicated to GoK forest management authorities, and best practices are incorporated into future proposals and plans for conservation and management of Kenya's forests PA system	2.1.1 Develop knowledge networks through DEC's and the NCTF for disseminating project experiences. 2.1.2 Include lessons learned and key project documents on the WWF-EARPO website. 2.1.3 Hold end-of-project lessons learned and best practice workshop for policy-makers, implementers, and trainers. . 2.1.4 Develop a Kwale Forest Landscape Conservation module based on project experiences for incorporation into national forestry and wildlife curricula. 2.1.5 Produce a CD/video on project activities for distribution to GoK forest authorities and other stakeholders. 2.1.6 Obtain GoK endorsement for best practice recommendations from the project. 2.1.7 Incorporate best practice recommendations in implementing the WWF-EARPO 20-yr Strategic Framework. 2.1.8 Communicate best practice recommendations other donors/NGOs/private companies.

#### Key indicators, assumptions and risks

KEY INDICATORS		ASSUMPTIONS
Protected Area systems cover a viable representative sample of ecosystems	Strengthened management capacity, including awareness, forest rehabilitation, management planning for greater protection. This project will bring good governance to more than 28,000 hectares of land designated as forest PA and also benefit more than 100,000 ha of PA in other parts of Kenya	Political constraints do not impede best practice landscape scale management across the national Forest PA System.  Government remains committed to implementing the new Forest Act.
Landscape conservation of coastal forest resources successfully piloted in Forest PAs in Kwale District with participation by all stakeholders, and resulting in improved status of key biodiversity values.	Institutional and local capacity built for better management/conservation of Kwale Forest PAs.  Existing and incoming policies and mechanisms for forest conservation, sustainable management and utilization are harmonized and communicated to relevant stakeholders.  Effective participatory forest management systems in place in forest PAs, embracing traditional forest management practices and government priorities.	Government and local partners remain committed to collaboration on forest management.
The Kwale Forest Landscape Conservation Model is successfully integrated as best practice into	Lessons learned from Kwale Forest Landscape Conservation Model fully documented and communicated to GoK	

KEY INDICATORS		ASSUMPTIONS
Protected Area policy and programmes in all coastal forest landscapes in Kenya.	<p>forest management authorities.</p> <p>Best practices from Kwale Forest Landscape Model are incorporated into future proposals and plans for conservation and management of Kenya's forest PA system.</p>	

## F. METT SCORES

### Protected Areas Management Activities: Data Sheet 1-Shimba Hills Ecosystem

Please tick the <b>two</b> critical management activities currently undertaken in the protected area	Comments/explanation
<input type="checkbox"/> Law enforcement and surveillance <input type="checkbox"/> Promoting sustainable resource use <input type="checkbox"/> Working with local communities <input type="checkbox"/> Education and awareness <input type="checkbox"/> Demarcation and zoning <input type="checkbox"/> Monitoring <input type="checkbox"/> Research <input type="checkbox"/> Management planning <input type="checkbox"/> Ecotourism <input type="checkbox"/> Building institutional and governance capacity <input type="checkbox"/> Species management <input type="checkbox"/> Infrastructure development	<p>Due to increased illegal activities within the ecosystem, this has necessitated the need to step up security and surveillance to ensure conservation and protection of biodiversity.</p>

<input type="checkbox"/> Fundraising <input type="checkbox"/> Restoration <input type="checkbox"/> Fire management <input type="checkbox"/> Resolving tenure problems <input type="checkbox"/> Human-wildlife conflict management <input type="checkbox"/> Alien species control <input type="checkbox"/> External communication and publicity <input type="checkbox"/> Equipment and facilities <input type="checkbox"/> Improving habitat <input type="checkbox"/> Species (re)introduction / control / breeding <input type="checkbox"/> Working with regional authorities <input type="checkbox"/> Other	
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## Protected Areas Threats: Data Sheet 1

**Step 1:** Please tick all threats of high significance to the protected area

### 1. Residential and commercial development within a protected area

Threats from human settlements or other non-agricultural land uses with a substantial footprint



1.1 Housing and settlement

1.2 Commercial and industrial areas

1.3 Tourism and recreation infrastructure

## **2. Agriculture and aquaculture within a protected area**

Threats from farming and ranching as a result of agricultural expansion and intensification, including

silviculture, mariculture and aquaculture

2.1 Annual and perennial non-timber crop cultivation

2.2 Wood and pulp plantations

2.3 Livestock farming and grazing

2.4 Marine and freshwater aquaculture

## **3. Energy production and mining within a protected area**

Threats from production of non-biological resources

3.1 Oil and gas drilling

3.2 Mining and quarrying

3.3 Energy generation

## **4. Transportation and service corridors within a protected area**

Threats from long narrow transport corridors and the vehicles that use them including associated wildlife

mortality

4.1 Roads and railroads (include road-killed animals)

4.2 Utility and service lines (e.g. clearing for electricity cables, telephone lines, etc)

4.3 Shipping lanes

4.4 Flight paths

## **5. Biological resource use and harm within a protected area**

Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)

5.2 Gathering terrestrial plants or plant products (non-timber)

5.3 Logging and wood harvesting

5.4 Fishing, killing and harvesting aquatic resources

## **6. Human intrusions and disturbance within a protected area**

Threats from human activities that alter, destroy or disturb habitats and species associated with non consumptive uses of biological resources

6.1 Recreational activities

6.2 War, civil unrest and military exercises

6.3 Research, education and other work-related activities in protected areas

6.4 Activities of protected area managers (e.g. their construction activities or vehicle use)

6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors

## **7. Natural system modifications**

Threats from other actions that convert or degrade habitat or change the way the ecosystem functions

7.1 Fire and fire suppression (including arson)

7.2 Dams, hydrological modification and water management/use

7.3 Other ecosystem modifications

7.4 Increased fragmentation within protected area

7.5 Increased isolation of protected area from other natural habitat

7.6 Other 'edge effects' on park values

7.8 Loss of keystone species (e.g. top predators, pollinators etc)

## **8. Invasive and other problematic species and genes**

Threats from non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase

8.1 Invasive non-native/alien plants (weeds)

8.1a Invasive non-native/alien animals

8.1b Pathogens (non-native or native but creating new/increased problems)

8.2 Introduced genetic material (e.g. genetically modified organisms)

## **9. Pollution entering or generated within protected area**

Threats from introduction of exotic and/or excess materials or energy from point and non-point sources

9.1 Household sewage and urban waste water

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)

9.2 Industrial and military effluents

9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)

9.4 Garbage and solid waste

9.5 Air-borne pollutants

9.6 Excess energy (e.g. heat pollution, lights etc)

## **10. Geological events**

Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance

10.1 Volcanoes

10.2 Earthquakes/Tsunamis

10.3 Avalanches/ Landslides

10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)

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## **11. Climate change and severe weather**

Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation

11.1 Habitat shifting and alteration

11.2 Droughts

11.3 Temperature extremes

11.4 Storms and flooding

## **12. Specific cultural and social threats**

12.1 Loss of cultural links, traditional knowledge and/or management practices

12.2 Natural deterioration of important cultural site values

12.3 Destruction of cultural heritage buildings, gardens, sites etc

**Step 2:** Please rank the five most significant threats (by writing down the number on the list below with the rank of 1 given for the most significant threat)

1. 5.3
2. 5.1
3. 7.1
4. 10.4
5. 4.2

### Reporting Progress at Protected Area Sites: Data Sheet 1

Name, affiliation and contact details for responsible person (email etc.)		1. Gilbert Imbwaga-Zonal Forest Manager Kwale Zone (email- <a href="mailto:gilbertimbwaga@yahoo.com">gilbertimbwaga@yahoo.com</a> )  2. Tom Amisi – Senior Warden Shimba Hills KWS <a href="mailto:shimbahills@kws.go.ke">shimbahills@kws.go.ke</a>		
Date assessment carried out		12 <sup>th</sup> November 2010		
Name of protected area		Shimba Hills National reserve/forest reserve and Mwaluganje forest reserve (Shimba Hills ecosystem)		
Location of protected area (country and if possible map reference)		Kwale and Kinango Districts of coast Province, Kenya		
Date of establishment		1932		
Ownership details (i.e. owner, tenure rights etc)	Sate X	Private	Community	Others
Management Authority	KWS and KFS			
Size of protected area (ha)	23,000 HA			

Number of staff		Permanente 39		Temporally 40	
Budget (US\$ excluding staff salary costs)		Recurrent Funds 150,000		Project or other temporary funds 130,000	
Designations (IUCN category, World Heritage, Ramsar etc)		6			
Reasons for designation		For Biodiversity conservation and provision of environmental services e.g water			
List the two primary protected area objectives					
Objective 1	Biodiversity conservation and management				
Objective 2	Generation of revenue through tourism activities				
No. of people involved in completing assessment		8			
Including (tick boxes)	PA Manager 2	PA staff 1	Other PA agency staff 1	NGO	
	Local community 2	Donors 1	External experts	Other	
Please note if assessment was carried out in association with a particular project, on behalf of other organization or don or		In association with WWF Kwale landscape Project			

#### List of people involved

Elias kimaru	WWF
Gilbert Ibwaga	KFS
Tom Amisi	KWS
Henry Mwangi	KFS
Hamisi Mududu	NMK
Lipi Malumbo	Community member
Mwakutunza Mwarabu	Community Member

### Assessment Form

Issue	Criteria	Score	Comments	Next steps
<p>1. Legal status</p> <p>Does the protected area have legal status?</p> <p><i>Context</i></p>	The protected area is not gazetted/covenanted	0		
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun	1		
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete	2		
	The protected area has been legally gazetted/Covenanted	3		
<p>2. Protected area regulations</p> <p>Are inappropriate lands uses and activities (e.g. poaching) controlled?</p>	There are no regulations for controlling land use and activities in the protected area	0	The mandated institutions have controls and regulations mechanism, however, limited community involvement in	Strengthen the CFAs and other community groups and involve them more in supporting protection and enforcement of regulations



Issue	Criteria	Score	Comments	Next steps
<i>Planning</i>	Some regulations for controlling land use and activities in the protected area exist but these are inadequate	1	protection has resulted to continuous threats to the ecosystem	
	Adequate regulations for controlling land use and activities in the protected area exist but there are important gaps	2		
	Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	3		
3. Law enforcement  Can staff enforce protected area rules well enough?	The staff have no effective capacity/resources to enforce protected area legislation and regulations	0	Inadequate staffing and resources	Training already existing staff to boost their efficiency, employ new staffs and increased resource allocation. Increase community involvement in law enforcement.

Issue	Criteria	Score	Comments	Next steps
<i>Process</i>	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget)	1		
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations	3		
4. Protected area objectives	No firm objectives have been agreed for the protected area	0	The objectives are there but are still institutional based.	Expedite completion of the Shimba Hills Management Plan which has agreed Objectives by all stakeholders.
Have objectives been agreed?	The protected area has agreed objectives, but is not managed according to these objectives	1		
<i>Planning</i>	The protected area has agreed objectives, but these are only partially implemented	2		
	The protected area has agreed objectives and is managed to meet these objectives	3		

Issue	Criteria	Score	Comments	Next steps
<p>5. Protected area design</p> <p>Does the protected area need enlarging, corridors etc to meet its objectives?</p> <p><i>Planning</i></p>	Inadequacies in design mean achieving the major objectives of the protected area is impossible	0	<p>Shimba Hills is constrained in terms of limited migratory corridor for the Elephants, but with ongoing plans to selectively remove plantations to allow for natural regeneration, will create more space.</p>	<p>Expedite selective harvesting of plantations to allow for natural regeneration</p>
	Inadequacies in design mean that achievement of major objectives are constrained	1		
	Design is not significantly constraining achievement of major objectives, but could be improved.	2		
	Reserve design features aid achievement of objectives of the protected area	3		

Issue	Criteria	Score	Comments	Next steps
<p>6. Protected area boundary demarcation</p> <p>Is the boundary known and demarcated?</p> <p><i>Context</i></p>	<p>The boundary of the protected area is not known by the management authority or local residents/neighbouring land users</p>	0		<p>Regular monitoring to ensure all beacons are in place, replace any missing ones.</p>
	<p>The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users</p>	1		
	<p>The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated</p>	2		
	<p>The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated</p>	3		

Issue	Criteria	Score	Comments	Next steps
7. Management plan  Is there a management plan and is it being implemented?  <i>Planning</i>	There is no management plan for the protected area	0	Has been submitted for approval	Need for approval of the management plan so as to aid in its implementation
	A management plan is being prepared or has been prepared but is not being implemented	1		
	A management plan exists but it is only being partially implemented  because of funding constraints or other problems	2		
	A management plan exists and is being implemented	3		
Additional points: planning				
7a. Planning process	The planning process allows adequate opportunity for key stakeholders  to influence the management plan	+1	Adequate consultations have been held	

Issue	Criteria	Score	Comments	Next steps
7b. Planning process	There is an established schedule and process for periodic review and updating of the management plan	+1	The draft plans allows for periodic review of the plan	
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning	+1		
8. Regular work plan	No regular work plan exists	0	Inadequate staffing and resources	Training already existing staff to boost their efficiency, employ new staffs and increased resource allocation.
Is there an annual work plan?	A regular work plan exists but activities are not monitored against the plan's targets	1		
Planning/Outputs	A regular work plan exists but few of the activities are implemented	2		
	A regular work plan exists and most or all activities are implemented	3		

Issue	Criteria	Score	Comments	Next steps
<p>9. Resource inventory</p> <p>Do you have enough information to manage the area?</p> <p><i>Context</i></p>	There is little or no information available on the critical habitats, species and cultural values of the protected area	0	<p>There is basic information that exists on those critical areas among the key stakeholders involved.</p>	<p>Need to do more research so as to beef up the information bank and encourage new inventions.</p>
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1		
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2		
	Information on the critical habitats, species and cultural values of the protected area is sufficient to support all areas of planning and decision making	3		



Issue	Criteria	Score	Comments	Next steps
10. Access Assessment  Is access/resource use sufficiently controlled in accordance with Designated objectives? <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling  access or resource use of the protected area	0	Noted increased in illegal activities within the ecosystem	Work closely with local communities in trying to control illegal activities, patrols and increased resource allocation to ensure effective security .
	Protection systems are only partially effective in controlling access or  resource use of the protected area	1		
	Protection systems are moderately effective in controlling access or  resource use of the protected area	2		
	Protection systems are largely or wholly effective in controlling access  or resource use of the protected area	3		

Issue	Criteria	Score	Comments	Next steps
<p>11. Research</p> <p>Is there a programme of management-oriented survey and research work?</p> <p><i>Process</i></p>	There is no survey or research work taking place in the protected area	0	<p>Due to insufficient resources available this limits the amount and scope of research work carried out.</p>	<p>To agitate for more resource allocation and seek for support from likeminded organization so as to enhance more research work.</p>
	There is a small amount of survey and research work	1		
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	3		
<p>12. Resource management</p> <p>Are the necessary management</p>	<p>Requirements for active management of critical habitats, species and cultural values are not understood</p>	0	<p>Due to insufficient funds allocation</p>	<p>To advocate for more funds allocation so as to enhance understanding and management of critical habitats, species and cultural values</p>

Issue	Criteria	Score	Comments	Next steps
actions understood and being implemented?	Requirements for active management of critical habitats, species and cultural values are understood but are not being implemented	1		
	Requirements for active management of critical habitats, species and cultural values are understood and are being partially implemented	2		
	Requirements for active management of critical habitats, species and cultural values are understood and are being substantially or fully implemented	3		
13. Staff numbers	There are no staff	0	Constraints in budget allocation which hinders	Advocate for more funds allocation so as to allow for hiring of more staff .
Are there enough people employed to manage the	Staff numbers are inadequate for critical management activities	1		

Issue	Criteria	Score	Comments	Next steps
protected area?  <i>Inputs</i>	Staff numbers are below optimum level for critical management activities	2	hiring of adequate staff	
	Staff numbers are adequate for the management needs of the protected area	3		
14. Staff training	Staff lack the skills needed for protected area management	0	Need for training on new conservation technologies and	Encourage internal trainings and push for more funds allocation to undertake exchange programs. Establish partnership with other partners for training support.
Staff training				
Are staff adequately trained to fulfill management objectives?	Staff training and skills are low relative to the needs of the protected area	1		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	2		
<i>Inputs/Process</i>	Staff training and skills are aligned with the management needs of the protected area	3		

Issue	Criteria	Score	Comments	Next steps
<p>15. Current budget</p> <p>Is the current budget sufficient?</p> <p><i>Inputs</i></p>	There is no budget for effective management of the protected area	0	<p>The budget allocated caters for about 60% of the budget needs, and therefore needs further improvement for effective management.</p>	<p>Undertake staff training and refresher courses.</p>
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1		
	The available budget is acceptable but could be further improved to  fully achieve effective management	2		
	The available budget is sufficient and meets the full management needs of the protected area	3		
<p>16. Security of budget</p> <p>Is the budget secure?</p> <p><i>Inputs</i></p>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding	0	<p>Include the initiatives and innovations in the core budget.</p>	<p>Implement the initiatives and innovations carried out. Lobby for increased budgets through new initiatives such as KKV, Increased partnership with donors to bridge the budgetary gaps</p>
	There is very little secure budget and the protected area could not function adequately without outside funding	1		

Issue	Criteria	Score	Comments	Next steps
	There is a reasonably secure core budget for the protected area but  many innovations and initiatives are reliant on outside funding	2		
	There is a secure budget for the protected area and its management needs	3		
17. Management of budget	Budget management is poor and significantly undermines effectiveness	0	Modernize budget management with new e-technologies	Undertake staff training and refresher courses.
Is the budget managed to meet critical management needs?	Budget management is poor and constrains effectiveness	1		
<i>Process</i>	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness	3		
18. Equipment	There are little or no equipment and facilities	0	Equipments and facilities to be improved and	Improved service delivery using the equipments and facilities.

Issue	Criteria	Score	Comments	Next steps
Do we have enough equipment?  <i>Process</i>	There is some equipment and facilities but these are wholly inadequate	1	increased in number	
	There are equipment and facilities, but still some gaps that constrain management	2		
	There are adequate equipment and facilities	3		
19. Maintenance of equipment  Is equipment adequately maintained?  <i>Process</i>	There is little or no maintenance of equipment and facilities	0	Ensure major maintenance.	Improved service delivery using the equipments and facilities
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1		
	There is basic maintenance of equipment and facilities	2		
	<i>Process</i> Equipment and facilities are well maintained	3		
20. Education and awareness programme	There is no education and awareness programme	0	Education programme are institutional based, are not planned	Implement the education programme for Kwale landscape involving schools, local community and other partners



Issue	Criteria	Score	Comments	Next steps
Is there a planned education programme linked to education and needs?  <i>Process</i>	There is a limited and <i>ad hoc</i> education and awareness programme,	1		
	There is a planned education and awareness programme but it only partly meets needs and could be improved	2		
	There is a planned and effective education and awareness programme	3		
21. Regional Planning  Does regional planning recognise the protected area and aid the achievement of	There is no regional planning	0		
	Regional planning does not take into account the needs of the protected area	1		
	Regional planning partly takes into account the long term needs of the protected area	2		

Issue	Criteria	Score	Comments	Next steps
objectives?  <i>Planning</i>	Regional planning fully takes into account the long term needs of the protected area	3		
22. State and commercial neighbours Is there co-operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users	0	There is regular content with Shimba Lodge, tented camps, resin company , coastal water services but only limited to management of MOU	Need to strengthened the relationship
	There is limited contact between managers and neighboring official or corporate land users	1		
	There is regular contact between managers and neighbouring officials or corporate land users, but only limited co-operation	2		
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management	3		

Issue	Criteria	Score	Comments	Next steps
<p>23. Indigenous people</p> <p>Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions?</p> <p><i>Process</i></p>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area	0	Kaya Elders are not involved in decision making and management	Kaya elders need to be more involved, to ensure sustainable and participatory management and decision making
	Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management	1		
	Indigenous and traditional peoples directly contribute to some decisions relating to management but their involvement could be improved	2		
	Indigenous and traditional peoples directly participate in all relevant decisions relating to management, i.e. co-management	3		

Issue	Criteria	Score	Comments	Next steps
24. Local communities  Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area	0	Involve communities	To have a sustainable and participatory management and decision making
	Local communities have some input into discussions relating to management but no direct role in management	1		
	Local communities directly contribute to some decisions relating to management but their involvement could be improved	2		
	Local communities directly participate in all relevant decisions relating to management, i.e. co-management	3		
Additional points <i>Local communities/indigenous people</i>				

Issue	Criteria	Score	Comments	Next steps
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1		
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1	Recognize and appreciate the roles played by the communities	Initiate and enhance community welfares.
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1		
25. Economic benefit assessment  Is the protected area providing economic benefits to local communities e.g. income, employment,	Existence of the protected area has reduced the options for economic development of the local communities	0	Some benefits are flowing to community groups around Shimba Hills like SHIFOGA, Chitsanze, Lima. Bu they are still inadequate to influence regional economy	Explore means on enhance more benefit sharing mechanism/and opportunities to increase the benefits.
	The existence of the protected area has neither damaged nor benefited the local economy	1		

Issue	Criteria	Score	Comments	Next steps
environment services?	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy	2		
Outcomes	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of local people, locally operated commercial tours etc)	3		
26. Monitoring and evaluation	There is no monitoring and evaluation in the protected area	0	There is minimal adaptive management. Monitoring does not feed into management decision making.	Need to develop monitoring strategies which are based on needs and inform management decision making process.
Are management activities monitored  Against performance?	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1		

Issue	Criteria	Score	Comments	Next steps
<i>Planning/Process</i>	There is an agreed and implemented monitoring and evaluation system  but results do not feed back into management	2		
	A good monitoring and evaluation system exists, is well implemented  and used in adaptive management	3		
27. Visitor facilities  Are visitor facilities (for tourists, pilgrims etc) good enough?  <i>Outputs</i>	There are no visitor facilities and services	0	Facilities are somehow adequate for the current level of visitation.  However, there is a need to increased the number of visitors +and therefore the available facilities.	Add facilities such a accommodation, camping and picnic sites reflect handle possible increased visitors in future.
	Visitor facilities and services are inappropriate for current levels of visitation	1		

Issue	Criteria	Score	Comments	Next steps
	Visitor facilities and services are adequate for current levels of visitation but could be improved	2		
	Visitor facilities and services are excellent for current levels of visitation	3		
28. Commercial tourism	There is little or no contact between managers and tourism operators using the protected area	0	There is good communication and feed from the tour operators which help improvement of the management	
Do commercial tour operators contribute to protected area management?	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1		
Process	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	2		



Issue	Criteria	Score	Comments	Next steps
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	3		
29. Fees If fees (tourism, fines) are applied, do they help protected area management?  <i>Outputs</i>	Although fees are theoretically applied, they are not collected	0	KWS mainly for management issues	
	The fee is collected, but it makes no contribution to the protected area or its environs	1		
	The fee is collected, and makes some contribution to the protected area and its environs	2		
	The fee is collected and makes a substantial contribution to the protected area and its environs	3		

Issue	Criteria	Score	Comments	Next steps
30. Condition assessment  Is the protected area being managed consistent to its objectives?  <i>Outcomes</i>	Important biodiversity, ecological and cultural values are being severely degraded	0		
	Some biodiversity, ecological and cultural values are being severely degraded	1		
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2		
	Biodiversity, ecological and cultural values are predominantly intact	3		
Additional Points: Condition assessment				

Issue	Criteria	Score	Comments	Next steps
30a: Condition assessment	The condition assessment is based on research and/or monitoring results	+1		
30b: Condition assessment	Specific management programmes are being implemented to address key threats to biodiversity, ecological and cultural values	+1		
30c: Condition assessment	Requirements for maintenance of key biodiversity, ecological and cultural values are a routine part of park management	+1		
Total Score 99/96x60		62		

## Protected Areas Management Activities: Data Sheet 2 – Southern Kayas

Please tick the <b>two</b> critical management activities currently undertaken in the protected area	Comments/explanation
<input type="checkbox"/> Law enforcement and surveillance <input type="checkbox"/> Promoting sustainable resource use <input type="checkbox"/> Working with local communities <input type="checkbox"/> Education and awareness <input type="checkbox"/> Demarcation and zoning <input type="checkbox"/> Monitoring <input type="checkbox"/> Research <input type="checkbox"/> Management planning <input type="checkbox"/> Ecotourism <input type="checkbox"/> Building institutional and governance capacity <input type="checkbox"/> Species management <input type="checkbox"/> Infrastructure development <input type="checkbox"/> Fundraising	<p>Mainly through traditional management/protection practices where Kaya elders play a vital role</p> <p>Kayas are cultural forest where community involvement in their management is critical for their survival</p>

<ul style="list-style-type: none"><li><input type="checkbox"/> Restoration</li><li><input type="checkbox"/> Fire management</li><li><input type="checkbox"/> Resolving tenure problems</li><li><input type="checkbox"/> Human-wildlife conflict management</li><li><input type="checkbox"/> Alien species control</li><li><input type="checkbox"/> External communication and publicity</li><li><input type="checkbox"/> Equipment and facilities</li><li><input type="checkbox"/> Improving habitat</li><li><input type="checkbox"/> Species (re)introduction / control / breeding</li><li><input type="checkbox"/> Working with regional authorities</li><li><input type="checkbox"/> Other</li></ul>	
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## Protected Areas Threats: Data Sheet 2

**Step 1:** Please tick all threats of high significance to the protected area

### 1. Residential and commercial development within a protected area

Threats from human settlements or other non-agricultural land uses with a substantial footprint

1.1 Housing and settlement

1.2 Commercial and industrial areas

1.3 Tourism and recreation infrastructure

### 2. Agriculture and aquaculture within a protected area

Threats from farming and ranching as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture

2.1 Annual and perennial non-timber crop cultivation

2.2 Wood and pulp plantations

2.3 Livestock farming and grazing

2.4 Marine and freshwater aquaculture

### 3. Energy production and mining within a protected area

Threats from production of non-biological resources

3.1 Oil and gas drilling

3.2 Mining and quarrying

### 3.3 Energy generation

## 4. Transportation and service corridors within a protected area

Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality

4.1 Roads and railroads (include road-killed animals)

4.2 Utility and service lines (e.g. clearing for electricity cables, telephone lines, etc)

4.3 Shipping lanes

4.4 Flight paths

## 5. Biological resource use and harm within a protected area

Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)

5.2 Gathering terrestrial plants or plant products (non-timber)

5.3 Logging and wood harvesting

5.4 Fishing, killing and harvesting aquatic resources

## 6. Human intrusions and disturbance within a protected area

Threats from human activities that alter, destroy or disturb habitats and species associated with non consumptive uses of biological resources

6.1 Recreational activities

6.2 War, civil unrest and military exercises

6.3 Research, education and other work-related activities in protected areas

6.4 Activities of protected area managers (e.g. their construction activities or vehicle use)

6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors

## **7. Natural system modifications**

Threats from other actions that convert or degrade habitat or change the way the ecosystem functions

**7.1 Fire and fire suppression (including arson)**

7.2 Dams, hydrological modification and water management/use

7.3 Other ecosystem modifications

**7.4 Increased fragmentation within protected area**

**7.5 Increased isolation of protected area from other natural habitat**

7.6 Other 'edge effects' on park values

7.7 Loss of keystone species (e.g. top predators, pollinators etc)

## **8. Invasive and other problematic species and genes**

Threats from non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase

**8.1 Invasive non-native/alien plants (weeds)**

8.1a Invasive non-native/alien animals

8.1b Pathogens (non-native or native but creating new/increased problems)

8.2 Introduced genetic material (e.g. genetically modified organisms)



## **9. Pollution entering or generated within protected area**

Threats from introduction of exotic and/or excess materials or energy from point and non-point sources

9.1 Household sewage and urban waste water

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)

9.2 Industrial and military effluents

9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)

**9.4 Garbage and solid waste**

9.5 Air-borne pollutants

9.6 Excess energy (e.g. heat pollution, lights etc)

## **10. Geological events**

Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance

10.1 Volcanoes

10.2 Earthquakes/Tsunamis

10.3 Avalanches/ Landslides

10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)

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## **11. Climate change and severe weather**

Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation

11.1 Habitat shifting and alteration

**11.2 Droughts**

11.3 Temperature extremes

11.4 Storms and flooding

## **12. Specific cultural and social threats**

**12.1 Loss of cultural links, traditional knowledge and/or management practices**

12.2 Natural deterioration of important cultural site values

12.3 Destruction of cultural heritage buildings, gardens, sites etc

**Step 2:** Please rank the five most significant threats (by writing down the number on the list below with the rank of 1 given for the most significant threat)

1. **12.1**

2. **1.3**

3. **7.1**

4. **8.1**

5. **5.3**

## Reporting Progress at Protected Area Sites: Data Sheet 2

Name, affiliation and contact details for responsible person (email etc.)		<b>Matano Abdulrahman</b> <b>Tel 0721 692 587</b> <a href="mailto:cfcukwale@yahoo.com">cfcukwale@yahoo.com</a>		
Date assessment carried out		<b>2<sup>nd</sup> April 2009</b>		
Name of protected area		<b><i>Kayas of Kwale landscape</i></b>		
Location of protected area (country and if possible map reference)		<b><i>Kwale, Kinango and Msambweni Districts of coast Province Kenya</i></b>		
Date of establishment		Gazetment from 1992-to 2007		
Ownership details (i.e. owner, tenure rights etc)	<b><i>Sate X</i></b>	<b><i>Private</i></b>	<b><i>Community</i></b>	<b><i>Others</i></b>
Management Authority	<b><i>NMK</i></b>			
Size of protected area (ha)	<b><i>3000 ha</i></b>			
Number of staff	Permanente 4		Temporally 1	
Budget (US\$ excluding staff salary costs)	Recurrent Funds USD 6,000		Project or other temporary funds USD USD 25,000	
Designations (IUCN category, World Heritage, Ramsar etc)	6			
Reasons for designation	For Biodiversity conservation and cultural values			
List the two primary protected area objectives				
Objective 1	Biodiversity conservation			
Objective 2	Cultural heritage conservation			
No. of people involved in completing assessment	<b>5</b>			
<b><i>Including (tick</i></b>	<b><i>PA Manager 3</i></b>	<b><i>PA staff 2</i></b>	<b><i>Other PA agency staff</i></b>	<b><i>NGO 1</i></b>

<i>boxes)</i>	<i>Local community 2</i>	<i>Donors 1</i>	<i>External experts</i>	<i>Other</i>
<i>Please note if assessment was carried out in association with a particular project, on behalf of other organization or don or</i>		<i>In association with WWF Kwale landscape Project</i>		

## Assessment Form

### List of people involved

- |                        |                   |
|------------------------|-------------------|
| 1. Matano Abdulrahman  | NMK               |
| 2. Hamisi Mududu       | NMK               |
| 3. Gerald Ngambo       | Kaya Kinondo      |
| 4. Mzee Mwakasim Mambo | Kaya Muhaka Elder |
| 5. Elias Kimaru        | WWF               |
| 6. Maumo Aggrey        | KWS               |
| 7. Henry Mwangi        | KFS               |
| 8. Paul Kibangendi     | KFS               |
| 9. Anita Wanza         | Colobus Trust     |

Issue	Criteria	Score	Comments	Next steps
<p>1. Legal status</p> <p>Does the protected area have legal status?</p> <p><i>Context</i></p>	The protected area is not gazetted/covenanted		<p>All the key Kayas have been gazetted. However, the process is still ongoing for the remaining few sites</p>	<p>Gazzettment process to continue</p>
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun			
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete			
	The protected area has been legally gazetted/Covenanted	3		

Issue	Criteria	Score	Comments	Next steps
<p>2. Protected area regulations</p> <p>Are inappropriate lands uses and activities (e.g. poaching) controlled?</p> <p><i>Planning</i></p>	There are no regulations for controlling land use and activities in the protected area		<p>Gazetment as National Monuments gives legal backing for their protection. Traditional practices also enhance protection regulations. However, there is still implementation challenges</p>	<p>Address the existing gaps to control illegal activities in the PAs</p>
	Some regulations for controlling land use and activities in the protected area exist but these are inadequate			
	Adequate regulations for controlling land use and activities in the protected area exist but there are important gaps	2		
	Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management			

Issue	Criteria	Score	Comments	Next steps
3. Law enforcement  Can staff enforce protected area rules well enough?  <i>Process</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations		While the resources of the staff is limited, there is strong link with other institutions like KFS, KWS, provincial administration and communities and also external support from donors.	Need to reinstate community guards and employ more staff
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget)			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations			
4. Protected area objectives  Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area		While the management institution has clear and agreed objectives there are gaps that hinder full implementation	Seek
	The protected area has agreed objectives, but is not managed according to these objectives	1		
	The protected area has agreed objectives, but these are only partially implemented			

Issue	Criteria	Score	Comments	Next steps
	The protected area has agreed objectives and is managed to meet these objectives			
5. Protected area design  Does the protected area need enlarging, corridors etc to meet its objectives?  <i>Planning</i>	Inadequacies in design mean achieving the major objectives of the protected area is impossible		Woodlots on farms adjacent to Kayas and replanting on degraded areas	Promote woodlots and farm forestry and support restoration work
	Inadequacies in design mean that achievement of major objectives are constrained			
	Design is not significantly constraining achievement of major objectives, but could be improved.	2		
	Reserve design features aid achievement of objectives of the protected area			



Issue	Criteria	Score	Comments	Next steps
6. Protected area boundary demarcation	The boundary of the protected area is not known by the management		All boundaries are not surveyed, demarcated and marked.	Continues with the demarcation process for the remaining Kayas
Is the boundary known and demarcated?	authority or local residents/neighbouring land users			
Context	The boundary of the protected area is known by the management	1		
	authority but is not known by local residents/neighbouring land users			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated			
	The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated			

Issue	Criteria	Score	Comments	Next steps
7. Management plan  Is there a management plan and is it being implemented?  <i>Planning</i>	There is no management plan for the protected area		The strategic management plan for Kayas is still in draft form	Completion of the management plan
	A management plan is being prepared or has been prepared but is not being implemented	1		
	A management plan exists but it is only being partially implemented  because of funding constraints or other problems			
	A management plan exists and is being implemented	3		
Additional points: planning				
7a. Planning process	The planning process allows adequate opportunity for key stakeholders  to influence the management plan	+1		
7b. Planning process	There is an established schedule and process for periodic review and  updating of the management plan	+1	This is incorporated in the existing plans and the draft plans	Expedite finalizing of Kaya Muhaka Management plan

Issue	Criteria	Score	Comments	Next steps
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning			
8. Regular work plan	No regular work plan exists		Due to resources constraints it is not fully implemented	Enhance Resource mobilization from government, donors and private sectors
Is there an annual work plan?				
Planning/Outputs	A regular work plan exists but activities are not monitored against the plan's targets			
	A regular work plan exists but few of the activities are implemented	2		
	A regular work plan exists and most or all activities are implemented			
9. Resource inventory	There is little or no information available on the critical habitats, species and cultural values of the protected area		Enough research and inventories have been done and generated adequate information for Planning and	Encourage more research in the remaining areas
Do you have enough information to				

Issue	Criteria	Score	Comments	Next steps
manage the area?	Information on the critical habitats, species and cultural values of the		management	
Context	protected area is not sufficient to support planning and decision making			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2		
	Information on the critical habitats, species and cultural values of the			
	protected area is sufficient to support all areas of planning and decision making			
10. Access Assessment	Protection systems (patrols, permits etc) are ineffective in controlling access or resource use of the protected area		Most of the Kayas are well protected and access and utilization controlled by Kaya Elders	
Is access/resource				

Issue	Criteria	Score	Comments	Next steps
<p>use sufficiently controlled in accordance with Designated objectives?</p> <p><i>Outcomes</i></p>	Protection systems are only partially effective in controlling access or resource use of the protected area			
	Protection systems are moderately effective in controlling access or resource use of the protected area	2		
	Protection systems are largely or wholly effective in controlling access or resource use of the protected area			
<p>11. Research</p> <p>Is there a programme of management-oriented survey and research work?</p>	There is no survey or research work taking place in the protected area			
	There is a small amount of survey and research work	1		

Issue	Criteria	Score	Comments	Next steps
<i>Process</i>	There is considerable survey and research work but it is not directed towards the needs of protected area management			
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs			
12. Resource management	Requirements for active management of critical habitats, species and		The staff and Kaya elders understands the values of the critical areas, but fully implemented due to inadequate capacity	Build the capacity for resource management
Are the necessary management actions understood and being implemented?	cultural values are not understood			
	Requirements for active management of critical habitats, species and			
	cultural values are understood but are not being implemented			

Issue	Criteria	Score	Comments	Next steps
<i>Process</i>	Requirements for active management of critical habitats, species and cultural values are understood and are being partially implemented	2		
	Requirements for active management of critical habitats, species and cultural values are understood and are being substantially or fully implemented			
13. Staff numbers	There are no staff		The are only two management staff while optimum number should be 7	More staff should be recruited
Are there enough people employed to manage the protected area?	Staff numbers are inadequate for critical management activities	1		
<i>Inputs</i>	Staff numbers are below optimum level for critical management activities			

Issue	Criteria	Score	Comments	Next steps
	Staff numbers are adequate for the management needs of the protected area			
14. Staff training	Staff lack the skills needed for protected area management		There are specific areas where staff training is needed	Identify training opportunities for the staff
Are staff adequately trained to fulfill management objectives?	Staff training and skills are low relative to the needs of the protected area			
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	2		
Inputs/Process	Staff training and skills are aligned with the management needs of the protected area			
15. Current budget	There is no budget for effective management of the protected area		The funds received is still very low to support management needs	1. CFCU should forwards budgets needs to NMK 2. Strong linkages with donors, private sectors for additional funds
Is the current budget sufficient?				



Issue	Criteria	Score	Comments	Next steps
<i>Inputs</i>	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1		
	The available budget is acceptable but could be further improved to fully achieve effective management			
	The available budget is sufficient and meets the full management needs of the protected area			
16. Security of budget  Is the budget secure?	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding		The government committeemen changes every financial year. This make the budget unsecure	Lobby ton ensure the budget is secured and constant
<i>Inputs</i>	There is very little secure budget and the protected area could not function adequately without outside funding	1		

Issue	Criteria	Score	Comments	Next steps
	There is a reasonably secure core budget for the protected area but  many innovations and initiatives are reliant on outside funding			
	There is a secure budget for the protected area and its management  needs			
17. Management of budget	Budget management is poor and significantly undermines effectiveness		No specific staff to handle budget management issues in Kwale, but get support from Regional office in Mombasa	Deploy a staff to handle budget issues at the field site
Is the budget managed to meet critical management needs?	Budget management is poor and constrains effectiveness			
Process	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
18. Equipment	There are little or no equipment and facilities		Transport is still a Gap that needs improvement	

Issue	Criteria	Score	Comments	Next steps
Do we have enough equipment?  <i>Process</i>	There is some equipment and facilities but these are wholly inadequate			
	There are equipment and facilities, but still some gaps that constrain management	2		
	There are adequate equipment and facilities			
19. Maintenance of equipment  Is equipment adequately maintained?  <i>Process</i>	There is little or no maintenance of equipment and facilities		Only routine maintain done	Develop a clear programme for equipment maintenance
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1		
	There is basic maintenance of equipment and facilities			
	<i>Process</i> Equipment and facilities are well maintained			
20. Education and awareness programme	There is no education and awareness programme		The program existed but currently is done in ad hoc manner due to staff	Need for deployment of an education officer

Issue	Criteria	Score	Comments	Next steps
Is there a planned education programme linked to education and needs?  <i>Process</i>	There is a limited and <i>ad hoc</i> education and awareness programme,	1	shortage	
	There is a planned education and awareness programme but it only partly meets needs and could be improved			
	There is a planned and effective education and awareness programme			
21. Regional Planning  Does regional planning recognise the protected area and aid the achievement of	There is no regional planning			
	Regional planning does not take into account the needs of the protected area			
	Regional planning partly takes into account the long term needs of the protected area			

Issue	Criteria	Score	Comments	Next steps
objectives?  <i>Planning</i>	Regional planning fully takes into account the long term needs of the protected area			
22. State and commercial neighbours Is there co-operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users		This is only where ecotourism projects are taking place, other contacts have been negatives especially where the neighbors encroaches on the Kayas	Establish working modalities with adjacent land users to ensure better working relationship
	There is limited contact between managers and neighboring official or corporate land users	1		
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation			
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management			

Issue	Criteria	Score	Comments	Next steps
<p>23. Indigenous people</p> <p>Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions?</p> <p><i>Process</i></p>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area		Kaya Elders are always involved in all major decision making processes	
	Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management			
	Indigenous and traditional peoples directly contribute to some decisions relating to management but their involvement could be improved			
	Indigenous and traditional peoples directly participate in all relevant decisions relating to management, i.e. co-management	3		

Issue	Criteria	Score	Comments	Next steps
24. Local communities  Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area			
	Local communities have some input into discussions relating to management but no direct role in management			
	Local communities directly contribute to some decisions relating to management but their involvement could be improved	2		
	Local communities directly participate in all relevant decisions relating to management, i.e. co-management			
Additional points <i>Local communities/indigenous people</i>				

Issue	Criteria	Score	Comments	Next steps
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1		
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1		
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1		
25. Economic benefit assessment  Is the protected area providing economic benefits to local communities e.g. income, employment,	Existence of the protected area has reduced the options for economic development of the local communities  The existence of the protected area has neither damaged nor benefited the local economy		Some benefits have started trickling to the community groups but still in small amounts	Promote IGAs in Kaya to enhance economic benefits to the community



Issue	Criteria	Score	Comments	Next steps
environment services?	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy	2		
Outcomes	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of local people, locally operated commercial tours etc)			
26. Monitoring and evaluation	There is no monitoring and evaluation in the protected area		No M & E plan but activities are monitoring as need arises	Develop M& E for Kaya forests
Are management activities monitored	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1		
Against performance?				

Issue	Criteria	Score	Comments	Next steps
<i>Planning/Process</i>	There is an agreed and implemented monitoring and evaluation system  but results do not feed back into management			
	A good monitoring and evaluation system exists, is well implemented  and used in adaptive management			
27. Visitor facilities	There are no visitor facilities and services		Visitor facilities are limited to the only Kayas with ecotourism initiatives such as Kinondo and Muhaka	Make plans to increased visitor facilities including information and signage
Are visitor facilities (for tourists, pilgrims etc) good enough?	Visitor facilities and services are inappropriate for current levels of visitation	1		
<i>Outputs</i>	Visitor facilities and services are adequate for current levels of visitation but could be improved			

Issue	Criteria	Score	Comments	Next steps
	Visitor facilities and services are excellent for current levels of visitation			
28. Commercial tourism  Do commercial tour operators contribute to protected area management?  <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area		This is happening in Kaya Kinondo and Muhaka where we have active ecotourism project running	Improve the relationship so that more contribution is made for Kaya forest protection work.
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters			
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	2		
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values			

Issue	Criteria	Score	Comments	Next steps
29. Fees If fees (tourism, fines) are applied, do they help protected area management?  <i>Outputs</i>	Although fees are theoretically applied, they are not collected		Tourism fee in Kinondo and traditional fines in other Kayas contribute to protected and management	The funds are very limited and there is need to improve
	The fee is collected, but it makes no contribution to the protected area or its environs			
	The fee is collected, and makes some contribution to the protected area and its environs	2		
	The fee is collected and makes a substantial contribution to the protected area and its environs			
30. Condition assessment  Is the protected area being managed consistent to its objectives?	Important biodiversity, ecological and cultural values are being severely degraded		In some Kayas there is substantially damage to biodiversity and erosion of cultural practices	Build the capacity of newly formed Kwale county committee of Kaya elders to boost better management of Kaya forests. Lobby the government to ensure decision making process for natural resources management are inclusive of community views.
	Some biodiversity, ecological and cultural values are being severely degraded			

Issue	Criteria	Score	Comments	Next steps
Outcomes	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2		
	Biodiversity, ecological and cultural values are predominantly intact			
Additional Points: Condition assessment				
30a: Condition assessment	The condition assessment is based on research and/or monitoring results			
30b: Condition assessment	Specific management programmes are being implemented to address key threats to biodiversity, ecological and cultural values	+1		

Issue	Criteria	Score	Comments	Next steps
30c: Condition assessment	Requirements for maintenance of key biodiversity, ecological and cultural values are a routine part of park management	+1		
<b>Total Score (=99/96X58)</b>		<b>60</b>		

## Reporting Progress at Protected Area Sites: Data Sheet 3 –Buda Complex

Name, affiliation and contact details for responsible person (email etc.)	<b>Francis Mang'ee-KFS</b> <b>P.O.Box 5,Kwale Tel. 0720202422</b>			
Date assessment carried out	<b>12 November 2010</b>			
Name of protected area	<b>Buda Forest Station (Buda,Gogoni,Mrima,Dzombo,Marenje,Gonja and mangrove Forests.)</b>			
Location of protected area (country and if possible map reference)	<b>Msambweni Administrative District</b>			
Date of establishment	1948			
Ownership details (i.e. owner, tenure rights etc)	<b>Sate X</b>	<b>Private</b>	<b>Community</b>	<b>Others</b>
Management Authority	<b>KFS</b>			
Size of protected area (ha)	<b>11,045.2 Ha</b>			
Number of staff	20			
Budget (US\$ excluding staff salary costs)	Recurrent Funds US 50,000 \$ PA		Project or other temporary funds 30,000 US\$ PA	
Designations (IUCN category, World Heritage, Ramsar etc)	6			
Reasons for designation	For Biodiversity conservation and protection			
List the two primary protected area objectives				
Objective 1	Biodiversity conservation			
Objective 2	Sustainable Forest Management			
No. of people involved in completing assessment	7			
<b>Including (tick</b>	<b>PA Manager 1</b>	<b>PA staff 1</b>	<b>Other PA agency staff</b>	<b>NGO 1</b>

<i>boxes)</i>	<i>Local community 1</i>	<i>Donors 1</i>	<i>External experts</i>	<i>Other</i>
<i>Please note if assessment was carried out in association with a particular project, on behalf of other organization or don or</i>		<i>In association with WWF Kwale Project</i>		

## Assessment Form

### List of people involved

- |                   |                             |
|-------------------|-----------------------------|
| 1. Francis Mangee | KFS                         |
| 2. Hamisi Mududu  | NMK                         |
| 3. Anita Wanza    | Colobus Trust               |
| 4. Gabriel Ngumba | Mrimadzo (community member) |
| 5. Elias Kimaru   | WWF (facilitating)          |



## **Protected Areas Threats: Data Sheet 3**

**Step 1:** Please tick all threats of high significance to the protected area

### **1. Residential and commercial development within a protected area**

Threats from human settlements or other non-agricultural land uses with a substantial footprint

1.1 Housing and settlement

1.2 Commercial and industrial areas

1.3 Tourism and recreation infrastructure

### **2. Agriculture and aquaculture within a protected area**

Threats from farming and ranching as a result of agricultural expansion and intensification, including

silviculture, mariculture and aquaculture

2.1 Annual and perennial non-timber crop cultivation

2.2 Wood and pulp plantations

2.3 Livestock farming and grazing

2.4 Marine and freshwater aquaculture

### **3. Energy production and mining within a protected area**

Threats from production of non-biological resources

3.1 Oil and gas drilling

3.2 Mining and quarrying

3.3 Energy generation

#### **4. Transportation and service corridors within a protected area**

Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality

4.1 Roads and railroads (include road-killed animals)

4.2 Utility and service lines (e.g. clearing for electricity cables, telephone lines, etc)

4.3 Shipping lanes

4.4 Flight paths

#### **5. Biological resource use and harm within a protected area**

Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)

5.2 Gathering terrestrial plants or plant products (non-timber)

5.3 Logging and wood harvesting

5.4 Fishing, killing and harvesting aquatic resources

#### **6. Human intrusions and disturbance within a protected area**

Threats from human activities that alter, destroy or disturb habitats and species associated with non consumptive uses of biological resources

6.1 Recreational activities

6.2 War, civil unrest and military exercises

6.3 Research, education and other work-related activities in protected areas

6.4 Activities of protected area managers (e.g. their construction activities or vehicle use)

6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors

## **7. Natural system modifications**

Threats from other actions that convert or degrade habitat or change the way the ecosystem functions

### **7.1 Fire and fire suppression (including arson)**

7.2 Dams, hydrological modification and water management/use

7.3 Other ecosystem modifications

7.4 Increased fragmentation within protected area

7.5 Increased isolation of protected area from other natural habitat

7.6 Other 'edge effects' on park values

7.7 Loss of keystone species (e.g. top predators, pollinators etc)

## **8. Invasive and other problematic species and genes**

Threats from non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase

8.1 Invasive non-native/alien plants (weeds)

8.1a Invasive non-native/alien animals

8.1b Pathogens (non-native or native but creating new/increased problems)

8.2 Introduced genetic material (e.g. genetically modified organisms)

## **9. Pollution entering or generated within protected area**

Threats from introduction of exotic and/or excess materials or energy from point and non-point sources

### **9.1 Household sewage and urban waste water**

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)

9.2 Industrial and military effluents

9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)

9.4 Garbage and solid waste

9.5 Air-borne pollutants

9.6 Excess energy (e.g. heat pollution, lights etc)

## **10. Geological events**

Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance

10.1 Volcanoes

10.2 Earthquakes/Tsunamis

10.3 Avalanches/ Landslides

### **10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)**

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## **11. Climate change and severe weather**

Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation

11.1 Habitat shifting and alteration

### **11.2 Droughts**

11.3 Temperature extremes

## 12. Specific cultural and social threats

### 12.1 Loss of cultural links, traditional knowledge and/or management practices

12.2 Natural deterioration of important cultural site values

12.3 Destruction of cultural heritage buildings, gardens, sites etc

**Step 2:** Please rank the five most significant threats (by writing down the number on the list below with the rank of 1 given for the most significant threat)

1. 5.3
2. 7.1
3. 5.1
4. 10.4
5. 5.2.4

## Protected Areas Management Activities: Data Sheet 3

Please tick the <b>two</b> critical management activities currently undertaken in the protected area	Comments/explanation
<input type="checkbox"/> Law enforcement and surveillance <input type="checkbox"/> Promoting sustainable resource use <input type="checkbox"/> Working with local communities <input type="checkbox"/> Education and awareness	Illegal activities are major threat to the protected area and therefore this is key activity in the area.

<input type="checkbox"/> Demarcation and zoning <input type="checkbox"/> Monitoring <input type="checkbox"/> Research <input type="checkbox"/> Management planning <input type="checkbox"/> Ecotourism <input type="checkbox"/> Building institutional and governance capacity <input type="checkbox"/> Species management <input type="checkbox"/> Infrastructure development <input type="checkbox"/> Fundraising <input type="checkbox"/> Restoration <input type="checkbox"/> Fire management <input type="checkbox"/> Resolving tenure problems <input type="checkbox"/> Human-wildlife conflict management <input type="checkbox"/> Alien species control <input type="checkbox"/> External communication and publicity <input type="checkbox"/> Equipment and facilities <input type="checkbox"/> Improving habitat	<p>Most the resources are spent on restoration related activities: rehabilitation, boundary clearing and maintenance.</p>
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<input type="checkbox"/> Species (re)introduction / control / breeding <input type="checkbox"/> Working with regional authorities <input type="checkbox"/> Other	
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Issue	Criteria	Score	Comments	Next steps
1. Legal status  Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted/covenanted		The PA was gazetted as forest reserve in 1948	
	There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun			

Issue	Criteria	Score	Comments	Next steps
	The protected area is in the process of being gazetted/covenanted but the process is still incomplete			
	The protected area has been legally gazetted/Covenanted	3		
2. Protected area regulations  Are inappropriate lands uses and activities (e.g. poaching) controlled?	There are no regulations for controlling land use and activities in the protected area		There is no subsidiary regulations to guide in the implementation of the Act	Advocate for subsidiary regulations to be signed
Planning	Some regulations for controlling land use and activities in the protected area exist but these are inadequate			
	Adequate regulations for controlling land use and activities in the protected area exist but there are important gaps	2		



Issue	Criteria	Score	Comments	Next steps
	<p>Regulations for controlling inappropriate land use and activities in the</p> <p>protected area exist and provide an excellent basis for management</p>			
<p>3. Law enforcement</p> <p>Can staff enforce protected area rules well enough?</p> <p><i>Process</i></p>	<p>The staff have no effective capacity/resources to enforce protected area legislation and regulations</p> <p>There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget)</p> <p>The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain</p> <p>The staff have excellent capacity/resources to enforce protected area legislation and regulations</p>	<p></p> <p></p> <p>2</p> <p></p>	<p>There is increased budgets allocation especially from WWF projects. An old vehicle and motor have also been assigned to the station. Community also supporting Law enforcement in some areas</p>	<p>Capacity building, request for increased resources for law enforcement. Enhance community involvement in the activity</p>

Issue	Criteria	Score	Comments	Next steps
4. Protected area objectives	No firm objectives have been agreed for the protected area		Limited resources and skills	Build capacity of the existing staff and request/source for additional resources
Have objectives been agreed?	The protected area has agreed objectives, but is not managed according to these objectives			
Planning	The protected area has agreed objectives, but these are only partially implemented	2		
	The protected area has agreed objectives and is managed to meet these objectives			
5. Protected area design	Inadequacies in design mean achieving the major objectives of the protected area is impossible	0	The sites are highly fragmented with forests being more than 70 kms apart. This affect effective achievement of conservation objectives	Initiate development of buffer zone between the protected area and the adjacent community
Does the protected area need enlarging, corridors etc to meet its objectives?	Inadequacies in design mean that achievement of major objectives are constrained	1		
Planning	Design is not significantly constraining achievement of major objectives, but could be improved.			

Issue	Criteria	Score	Comments	Next steps
	Reserve design features aid achievement of objectives of the protected area			

Issue	Criteria	Score	Comments	Next steps
<p>6. Protected area boundary demarcation</p> <p>Is the boundary known and demarcated?</p> <p><i>Context</i></p>	<p>The boundary of the protected area is not known by the management authority or local residents/neighbouring land users</p>		<p>All boundaries have been surveyed and most of the missing beacons locally replaced.</p>	<p>Complete replacement missing beacons in the remaining forest blocks</p>
	<p>The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users</p>			
	<p>The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated</p>	2		
	<p>The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated</p>			

Issue	Criteria	Score	Comments	Next steps
7. Management plan  Is there a management plan and is it being implemented?  <i>Planning</i>	There is no management plan for the protected area		Management plan for some sites have been completed and signed. Forest management agreement have been developed and submitted for approval.	Expedite the process for the remaining sites
	A management plan is being prepared or has been prepared but is not being implemented			
	A management plan exists but it is only being partially implemented because of funding constraints or other problems	2		
	A management plan exists and is being implemented			
Additional points: planning				
7a. Planning process	The planning process allows adequate opportunity for key stakeholders to influence the management plan	+1	Multi-stakeholders involved through out	

Issue	Criteria	Score	Comments	Next steps
7b. Planning process	There is an established schedule and process for periodic review and updating of the management plan	+1	This has been integrated in the draft management plans that has been developed	
7c. Planning process	The results of monitoring, research and evaluation are routinely incorporated into planning			
8. Regular work plan	No regular work plan exists		Resources limiting for full implementation	Source for more resources by seeking partnerships
Is there an annual work plan?				
Planning/Outputs	A regular work plan exists but activities are not monitored against the plan's targets			
	A regular work plan exists but few of the activities are implemented	2		
	A regular work plan exists and most or all activities are implemented			

Issue	Criteria	Score	Comments	Next steps
<p>9. Resource inventory</p> <p>Do you have enough information to manage the area?</p> <p>Context</p>	There is little or no information available on the critical habitats, species and cultural values of the protected area		Most information is available from previous studies and research work but not all	Support research work by research scientist and university graduates to enhance information gathering
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for most key areas of planning and decision making	2		
	Information on the critical habitats, species and cultural values of the protected area is sufficient to support all areas of planning and decision making			

Issue	Criteria	Score	Comments	Next steps
10. Access Assessment  Is access/resource use sufficiently controlled in accordance with Designated objectives?  <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling  access or resource use of the protected area		Illegal activities have reduced significantly in all the Pas, however, the capacity to control resource use is limited	Seek more resources and partnerships to enhance resource use control
	Protection systems are only partially effective in controlling access or  resource use of the protected area			
	Protection systems are moderately effective in controlling access or  resource use of the protected area	2		
	Protection systems are largely or wholly effective in controlling access  or resource use of the protected area			



Issue	Criteria	Score	Comments	Next steps
<p>11. Research</p> <p>Is there a programme of management-oriented survey and research work?</p> <p><i>Process</i></p>	There is no survey or research work taking place in the protected area		<p>The research work is ad-hoc and mainly aimed at fulfilling academic needs of particular researches and not necessarily that of management</p>	<p>All research should be agreed upon by the management so that they contribute to its effectiveness</p>
	There is a small amount of survey and research work			
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs			
<p>12. Resource management</p> <p>Are the necessary management</p>	<p>Requirements for active management of critical habitats, species and cultural values are not understood</p>		<p>While the requirement for the critical habitats are understood, full implementation is hindered by resource gaps</p>	

Issue	Criteria	Score	Comments	Next steps
<p>actions understood and being implemented?</p> <p>Process</p>	<p>Requirements for active management of critical habitats, species and</p> <p>cultural values are understood but are not being implemented</p>			
	<p>Requirements for active management of critical habitats, species and</p> <p>cultural values are understood and are being partially implemented</p>	2		
	<p>Requirements for active management of critical habitats, species and</p> <p>cultural values are understood and are being substantially or fully implemented</p>			
13. Staff numbers	There are no staff		Only 20 staff are employed against the	Need to employ more staff and also strengthen KFS community partnership
Are there enough people employed to manage the	Staff numbers are inadequate for critical management activities			



Issue	Criteria	Score	Comments	Next steps
<p>15. Current budget</p> <p>Is the current budget sufficient?</p> <p><i>Inputs</i></p>	There is no budget for effective management of the protected area		<p>We are receiving 65% of the requirement, from both the government and donors</p>	<p>Further steps should be taken to increase the budget allocation. Seek partnership with interested institutions including private sector, NGOs and other government funds like Community Development Trust Fund and REDD funds</p>
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage			
	The available budget is acceptable but could be further improved to fully achieve effective management	2		
	The available budget is sufficient and meets the full management needs of the protected area			
<p>16. Security of budget</p> <p>Is the budget secure?</p> <p><i>Inputs</i></p>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding	0	<p>There are funds from the government but most of the activities are supported by donor funding</p>	<p>Lobby for Increased government allocation</p>
	There is very little secure budget and the protected area could not function adequately without outside funding			

Issue	Criteria	Score	Comments	Next steps
	There is a reasonably secure core budget for the protected area but	2		
	many innovations and initiatives are reliant on outside funding			
	There is a secure budget for the protected area and its management needs			
17. Management of budget	Budget management is poor and significantly undermines effectiveness		The national budget management guidelines exists to guide in budget management, but there is inadequate trained staff in the complex.	Increase staff in accounting department and start use of modern budget management systems
Is the budget managed to meet critical management needs?	Budget management is poor and constrains effectiveness			
Process	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
18. Equipment	There are little or no equipment and facilities		There is remarkable increase in the number of equipment in the station	Request for additional vehicle and computer

Issue	Criteria	Score	Comments	Next steps
Do we have enough equipment?  <i>Process</i>	There is some equipment and facilities but these are wholly inadequate		but still not adequate	
	There are equipment and facilities, but still some gaps that constrain management	2		
	There are adequate equipment and facilities			
19. Maintenance of equipment  Is equipment adequately maintained?  <i>Process</i>	There is little or no maintenance of equipment and facilities		Inadequate maintenance budget allocated.	
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1		
	There is basic maintenance of equipment and facilities			
	<i>Process</i> Equipment and facilities are well maintained			
20. Education and awareness programme	There is no education and awareness programme		There is a planned education programme though its inadequate	Linking education programmes to other similar initiatives e.g. WCK

Issue	Criteria	Score	Comments	Next steps
<p>Is there a planned education programme linked to education and needs?</p> <p><i>Process</i></p>	There is a limited and <i>ad hoc</i> education and awareness programme,		to meet the needs and aspirations of target people	
	There is a planned education and awareness programme but it only	2		
	partly meets needs and could be improved			
	There is a planned and effective education and awareness programme			
<p>21. Regional Planning-Does not apply to Buda situation</p> <p>Does regional planning recognise the protected area and aid the</p>	There is no regional planning	0		
	Regional planning does not take into account the needs of the protected area			
	Regional planning partly takes into account the long term needs of the protected area			

Issue	Criteria	Score	Comments	Next steps
achievement of objectives?  <i>Planning</i>	Regional planning fully takes into account the long term needs of the protected area			
22. State and commercial neighbours Is there co-operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users		There are some contact with Kwale sugar company, Tiomin Kenya Ltd	Strengthen and structure the contact and working relations with the commercial neighbors.
	There is limited contact between managers and neighboring official or corporate land users			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation	2		



Issue	Criteria	Score	Comments	Next steps
	<p>There is regular contact between managers and neighbouring official</p> <p>or corporate land users, and substantial co-operation on management</p>			
<p>23. Indigenous people</p> <p>Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions?</p> <p><i>Process</i></p>	<p>Indigenous and traditional peoples have no input into decisions relating to the management of the protected area</p>		<p>Kaya elders are sometimes consulted on decision making process</p>	<p>Strengthen the capacity of Kaya elders.</p>
	<p>Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management</p>	1		
	<p>Indigenous and traditional peoples directly contribute to some decisions relating to management but their involvement could be improved</p>			

Issue	Criteria	Score	Comments	Next steps
	<p>Indigenous and traditional peoples directly participate in all relevant</p> <p>decisions relating to management, i.e. co-management</p>			
<p>24. Local communities</p> <p>Do local communities resident or near the protected area have input to management decisions?</p> <p><i>Process</i></p>	Local communities have no input into decisions relating to the management of the protected area		CFA's formed are involved and in various management decision making.	
	Local communities have some input into discussions relating to management but no direct role in management			
	Local communities directly contribute to some decisions relating to management but their involvement could be improved	2		
	Local communities directly participate in all relevant decisions relating to management, i.e. co-management			

Issue	Criteria	Score	Comments	Next steps
Additional points <i>Local communities/indigenous people</i>				
24 a. Impact on communities	There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	+1		
24b. Impact on communities	Programmes to enhance community welfare, while conserving protected area resources, are being implemented	+1		
24c. Impact on communities	Local and/or indigenous people actively support the protected area	+1		
25. Economic benefit assessment	Existence of the protected area has reduced the options for economic development of the local communities		Some IGAs initiated and functional within the Pas to enhance income levels e.g bee keeping,	

Issue	Criteria	Score	Comments	Next steps
Is the protected area providing economic benefits to local communities e.g. income, employment, environment services?	The existence of the protected area has neither damaged nor benefited the local economy		ecotourism, tree nurseries	
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy	2		
	Outcomes There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of local people, locally operated commercial tours etc)			
26. Monitoring and evaluation	There is no monitoring and evaluation in the protected area		The outcome of monitoring and evaluation are not always used for adaptive management	Implement monitoring and evaluation recommendation for adaptive
Are management activities monitored  Against performance?	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results			

Issue	Criteria	Score	Comments	Next steps
<i>Planning/Process</i>	There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	2		
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management			
27. Visitor facilities  Are visitor facilities (for tourists, pilgrims etc) good enough? Not applicable to Buda  <i>Outputs</i>	There are no visitor facilities and services			
	Visitor facilities and services are inappropriate for current levels of visitation			
	Visitor facilities and services are adequate for current levels of visitation but could be improved			
	Visitor facilities and services are excellent for current levels of visitation			

Issue	Criteria	Score	Comments	Next steps
28. Commercial tourism  Do commercial tour operators contribute to protected area management?  <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area		The contact is mainly on mangrove forests but there is no formal agreement	Increase the contact by establishing management agreements with existing tourism businesses in the area.
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1		
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values			
29. Fees If fees (tourism, fines) are applied, do	Although fees are theoretically applied, they are not collected			

Issue	Criteria	Score	Comments	Next steps
<p>they help protected area management?- does not apply to Buda</p> <p>Outputs</p>	The fee is collected, but it makes no contribution to the protected area or its environs			
	The fee is collected, and makes some contribution to the protected area and its environs			
	The fee is collected and makes a substantial contribution to the protected area and its environs			
<p>30. Condition assessment</p> <p>Is the protected area being managed consistent to its objectives?</p>	Important biodiversity, ecological and cultural values are being severely degraded		There are still illegal logging and poaching within the Pas but at low level.	
	Some biodiversity, ecological and cultural values are being severely degraded			

Issue	Criteria	Score	Comments	Next steps
Outcomes	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	2		
	Biodiversity, ecological and cultural values are predominantly intact			
Additional Points: Condition assessment				
30a: Condition assessment	The condition assessment is based on research and/or monitoring results			
30b: Condition assessment	Specific management programmes are being implemented to address key threats to biodiversity, ecological and cultural values	+1	Joint forest protection involving communities and other partners such as judiciary and police has been initiated	Enhance community involvement in protection of biodiversity and cultural values



Issue	Criteria	Score	Comments	Next steps
30c: Condition assessment	Requirements for maintenance of key biodiversity, ecological and cultural values are a routine part of park management	+1		
<b>Total Score</b>		<b>99/90 x 57 =63%</b>		

## G. EVALUATION QUESTIONS USED IN INTERVIEWS

Evaluation questions are shown under the five main components (Sustainability, Outcome / Achievement, Implementation, Stakeholder Participation and Monitoring & Evaluation). For each component each table shows relevant questions to provide information for the indicators and the source of that information. Stakeholder interviews were based around these questions to inform the status of the indicators which were used for rating the project.

**Evaluation Criteria: Sustainability** - Are the initiatives and results of the Project allowing for continued benefits?

Key points	Questions	Proposed Indicators	Data Collection Method
Accruing continued benefits.  Financial sustainability  Institutionalisation and replication	<ol style="list-style-type: none"> <li>1. What evidence suggests that the actions will be sustained at the end of the funding period?</li> <li>2. Have appropriate financial resources been allocated to support specific project activities?</li> <li>3. Can activities and gains be maintained post-project?</li> <li>4. To what extent, has the project been integrated into the day-to-day business practices of institutions?</li> </ol>	<p><b>SUST1 – building sustainability</b>            Evidence/Quality of building blocks for sustainability;            Evidence/Quality of steps taken to address sustainability issues during project;            Evidence of achievement of sustainable activity of some project activities.</p> <p><b>SUST2 – resource sustainability</b>            Level and source of future financial support to be provided to relevant sectors and activities in East Africa coastal forests?            Level of any recurrent costs after completion of Project and funding sources for those recurrent costs;            Existence of financial sustainability of the project actions and activities, especially in relation to livelihood initiatives.</p> <p><b>SUST3 –institutionalisation</b>            Degree to which Project activities and results have been taken over by local counterparts or institutions/ organizations;            Level of financial support to be provided to relevant sectors and activities by in-country or donor actors after Project end;            Number/quality of replicated PFM initiatives in East Africa coastal forests.</p>	Broad range of document analyses  Interviews with government officials and other partners  Interviews with project beneficiary's especially local people.

**Evaluation Criteria: Outcome / Achievement – To what extent have the Outcomes have been delivered and Targets achieved?**

Key points	Questions	Proposed Indicators	Data Collection Method
<p>Has the project achieved its outcomes?</p> <p>Were the interventions relevant locally and nationally?</p> <p>Original, or modified, project delivered in commensurate with expectations?</p> <p>Project was implemented efficiently?</p>	<ol style="list-style-type: none"> <li><b>1. What are the major achievements of the projects and have the two Outcomes been achieved?</b></li> <li><b>2. Were the project's outcomes consistent with the focal areas/operational program strategies and country priorities?</b></li> <li><b>3. Are the actual project outcomes commensurate with the original or modified project objectives?</b></li> <li><b>4. Was the project cost effective, the least cost option and implementation was not delayed?</b></li> </ol>	<p><b>OUTC1 – outcomes delivered</b> PFM plans and agreement approved and forests gazetted; PFM conservation delivered gains; Lessons from landscape PFM approach documented and endorsed by GoK; Lessons embedded in other initiatives or planned initiatives in the Kenya's coastal forests.</p> <p><b>OUTC2 – relevance</b> Interventions consistent with focal areas and strategies; Interventions consistent with country priorities; Real interventions delivered with respect to expectations.</p> <p><b>OUTC3 –effectiveness</b> Project outcomes commensurate with the original project objectives; Where necessary project modified and delivered; Real outcomes achieved in line with project expectations.</p> <p><b>OUTC3 –efficiency</b> Project was cost effective; Project implementation was least cost option; Implementation was timely and not delayed</p>	<p>Document analyses in particular annual reports, meeting reports and logical framework.</p> <p>Interviews with government officials and external stakeholders.</p>

**Evaluation Criteria: Implementation Approach** – *Has the project been implemented in a responsive, high quality way and timely way?*

Key points	Questions	Proposed Indicators	Data Collection Method
<p>Quality and timely outputs and activities?</p> <p>Management structures functioning and effective?</p> <p>Responsive to management guidance?</p> <p>Responsive to stakeholder views?</p> <p>Expenditure profile as expected or revised appropriately?</p>	<ol style="list-style-type: none"> <li><b>1. Have the outputs and activities been delivered in a quality way?</b></li> <li><b>2. Have the outputs and activities been delivered with timeliness?</b></li> <li><b>3. Have project management arrangements been robust, engaged and effective in project implementation?</b></li> <li><b>4. Has the project team been responsive to guidance from the project management structures and stakeholders?</b></li> <li><b>5. Has budget and expenditure been in line with financial profile and any amendments clear and documented?</b></li> </ol>	<p><b>IMPL1 – quality and timeliness</b>  High quality outputs generated;  Outputs are optimal for resource inputs;  Outputs generated in a timely manner;  Outputs link together to form higher level achievements.</p> <p><b>IMPL2 – management structures</b>  Project management structures met and been documented;  Project management structures provided relevant and effective feedback to project.</p> <p><b>IMPL3 –project responsiveness</b>  Project team responded effectively and timely to management structures and MTR;  Project team responded in its implementation to GoK or CBO stakeholders;  Evidence of changing of implementation due to guidance.</p> <p><b>IMPL4 –financial profile</b>  Project followed the expected profile of expenditure;  Expenditure amendments been made and documented in light of management structure guidance.</p>	<p>Document analyses in particular quarterly and annual reports, management structure meetings (e.g. PSC, TPR) and MTR.</p> <p>Interviews with government officials and stakeholders.</p>

**Evaluation Criteria: Stakeholder involvement** – *Have relevant stakeholders and public been involved in the project in a meaningful and beneficial way?*

Key points	Questions	Proposed Indicators	Data Collection Method
<p>Relevant stakeholders involved?</p> <p>Meaningful engagement which meets expectations?</p> <p>Strengthened or new communication channels?</p> <p>Increased public awareness?</p>	<ol style="list-style-type: none"> <li>Has the project involved all the relevant GoK stakeholders in the project?</li> <li>Has the project involved all the relevant CBO's and community members in the project?</li> <li>Has the project engaged in a two-way dialogue with stakeholders rather than one-way consultation?</li> <li>Has the project created new channels of open communication between various parties during the project?</li> <li>Have expectations been met and benefits accrued to the stakeholder groups through engagement with the projects?</li> <li>The public has been involved and awareness raised?</li> </ol>	<p><b>STAK1 – stakeholder constituency</b> Involvement of all relevant GoK organisations; Involvement of all relevant CBO or community organisations.</p> <p><b>STAK2 – stakeholder management</b> Stakeholders actually engaged in the project rather than just consulted; Stakeholders perceive that the engagement with the project has been meaningful for them. Stakeholder expectations of the project have been managed. Benefits have accrued to stakeholders from the project and the way that it was implemented.</p> <p><b>STAK3 –communication channels</b> Project further strengthened existing communication channels; Project developed new communication channels with relevant stakeholders. Project developed or enhanced communication between Kwale area actors.</p> <p><b>STAK4 – public awareness</b> Dissemination products produced by project. Dissemination products disseminated in an efficient and effective manner to public; Evidence of increased public awareness of aspects of Kaya forest conservation in public.</p>	<p>Document analyses of stakeholder meetings.</p> <p>Wide range of interviews with GoK, CBO's and local stakeholders.</p> <p>Document analysis of dissemination products and any impact assessments.</p>

**Evaluation Criteria: Monitoring and evaluation – Has M&E been designed and implemented appropriately and used to enhance implementation?**

Key points	Questions	Proposed Indicators	Data Collection Method
<p>M&amp;E appropriate design?</p> <p>M&amp;E actively and consistently implemented?</p> <p>M&amp;E suitably planned for and resourced?</p> <p>M&amp;E feedback loop to project activities?</p>	<ol style="list-style-type: none"> <li><b>Has the project M&amp;E plan been designed appropriately?</b></li> <li><b>Has the M&amp;E plan been actively and effectively implemented?</b></li> <li><b>Has the M&amp;E findings been consistently reviewed?</b></li> <li><b>Have feedback loops from M&amp;E been documented and acted upon as appropriate?</b></li> </ol>	<p><b>MOEV1 – M&amp;E design</b>            SMART indicators developed for results and implementation for Kaya forest areas;            Organizational capacity and budget planned to undertake M&amp;E;</p> <p><b>MOEV2 – M&amp;E implementation</b>            M&amp;E actively and consistently used;            M&amp;E indicators actively measured and collated and lacks documented;            M&amp;E results related to baseline and target situations.</p> <p><b>MOEV3 – M&amp;E resourcing</b>            M&amp;E was sufficiently budgeted for in project planning;            M&amp;E was funded adequately and in timely manner during implementation.</p> <p><b>MOEV4 – M&amp;E feedback loop</b>            M&amp;E reports regularly reviewed by management structures and documented;            Linkage of M&amp;E review and management guidance to project for revised implementation clear and documented;            Evidence of revised implementation.</p>	<p>Document analyses especially M&amp;E strategy, M&amp;E reports, financial documents, project management structure reports and annual workplans.</p>

## H. EVALUATION CONSULTANTS AGREEMENT FORMS

### Evaluators:

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

### Evaluation Consultant Agreement Form<sup>9</sup>

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

**Name of Consultant:** Dr Jeremy Maxwell Hills

**Name of Consultancy Organization** (where relevant): N/A

<sup>9</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

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

Signed in Nairobi on 4<sup>th</sup> June 2012

Signature:                     J.M. Mills                    

**Evaluation Consultant Agreement Form**


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

**Name of Consultant:** James Paul Irungu Mwangi

**Name of Consultancy Organization** (where relevant):                     N/A                    

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

Signed in Nairobi on 4<sup>th</sup> June 2012

Signature:                     



## I. EVALUATION REPORT CLEARANCE FORM

Evaluation Report Reviewed and Cleared by

UNDP Country Office

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

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

UNDP GEF RTA

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

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