

**MIDTERM REVIEW (MTR) OF THE
FIFTH OPERATIONAL PHASE OF THE
GEF SMALL GRANTS PROGRAM IN KENYA**

FINAL REPORT

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I. BASIC REPORT INFORMATION

Title of UNDP supported GEF financed project

Fifth Operational Phase of the GEF Small Grants Program in Kenya

UNDP and GEF project ID#s.

GEF ID#: 4362

UNDP PROJECT#: 4520

Evaluation timeframe and date of evaluation report

The evaluation was carried out in October-November 2014. The field visit occurred between October 4 to 10, 2014. The Initial Findings Report was sent on October 30, 2014 and comments were received up to November 10th. The Draft Final Report Draft is dated November 12th, 2014. The Final Report is dated November 28, 2014.

Region and countries included in the project

The Project was implemented in Kenya in the UNDP Africa Region

GEF Focal Area / Operational Programs

The GEF Focal Areas of this project are Biodiversity; Climate Change Mitigation and Land Degradation.

Implementing Partner and other project partners

The GEF Implementing Partner of the Project is UNDP with UNOPS as executing agency. Other Project Partners include the organizations receiving the small grants and other national organizations (Governmental, academic and civil) participating in different steering and advising structures.

Evaluation team members

The Midterm Review (MTR) was carried out by Alejandro C. Imbach.

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III. ACRONYMS AND ABBREVIATIONS

APR	Annual Project Report
APR/PIR	Annual Project Review/Project Implementation Review
BC	Biological Corridor
BD	Biodiversity
CBD	Convention of Biological Diversity
CBO	Community-Based Organization
CCF	Country Cooperation Framework
CCM	Climate Change Mitigation
CEPF	Critical Ecosystem Partnership Fund
CO	Country Office
CP	Country Program
CPAP	Country Program Action Plan
CPD	Country Program Document Framework
CPMT	Central Program Management Team, SGP-UNDP
CPS	Country Program Strategy
COP	Conference of the Parties
FSP	Full Size Project
GEF	Global Environment Facility
IPCC	Intergovernmental Panel on Climate Change
IW	International Waters
LD	Land Degradation
LFA	Logical Framework Analysis
LULUCF	Land Use, Land Use Change, and Forestry
M&E	Monitoring and Evaluation
NGO	Non-government Organization
NSC	National Steering Committee
OP	Operational Program
PA	Protected Area
PES	Payments for Environmental Services
PIF	Project Identification Form
PIR	Project Implementation Review
PMU	Program Management Unit
PPR	Project Progress Reports
QPR	Quarterly Project Review
RR	Resident Representative
RTA	Regional Technical Advisor
SGP	GEF Small Grants Program
STA	Senior Technical Advisor
STAR	System for Transparent Allocation of Resources
UNCCD	United Nations Convention to Combat Desertification
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services

1. EXECUTIVE SUMMARY

Project Information Table

PROJECT SUMMARY TABLE				
Project Title:	Fifth Operational Phase of the GEF Small Grants Program in Kenya			
GEF Project ID:	4362		<i>at endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
UNDP Project ID:	PIMS 4520	GEF financing:	5,000,000.-	
Country:	Kenya	IA/EA own:	1.200.000.-	
Region:	Africa	Government:	--	
Focal Area:	Multifocal	Other:	4,300,000.-	
Operational Program:	Biodiversity Climate Change Land Degradation	Total co-financing:	5,500,000.-	
Executing Agency:	UNOPS	Total Project Cost:	10,500,000.-	
Other Partners involved:		PRODOC Signature (date Project began):		February, 27, 2012
		(Operational) Closing Date:	Proposed: June 30, 2015	Actual: June 30, 2015

Project Description

The Kenya SGP Country Program was “upgraded” at the start of GEF OP5. “Upgrading” means that the Country Program is implemented as a GEF full-size project financed under the OP5 STAR allocation to Kenya.

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

The project is securing global environmental benefits through:

- 1) community-based initiatives that mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors;
- 2) flow of forest and agro-ecosystem services maintained for long-term sustainability of communities’ livelihoods;
- 3) local communities implement low carbon technologies that address their energy needs and mitigate climate change; and
- 4) communities’ capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced

The project is executed by UNOPS as Implementing Partner using the existing Country Program mechanism of the GEF Small Grants Program (SGP) in Kenya, including grant approval by the National Steering Committee and day-to-day management by the Country Program Team under the leadership of the Country Program Manager (National Coordinator). The project collaborates with a large number of partners including Governmental institutions, national and local NGOs and scientific institutions.

The Kenya SGP adopted a strategic geographic intervention focus in OP5. In consultation with SGP's government and non-government partners, and building on prior SGP work, it decided to support communities living in three priority regions and globally significant ecosystems:

1. communities living adjacent to Mount Kenya National Park/Natural Forest,
2. farmer and pastoralist communities in the rangelands of the Laikipia Plateau, and
3. fisher communities in the coastal province.

Project Progress Summary

The Project is progressing in a satisfactory way in general as shown in the Summary Table of Progress Towards Results below. Call for proposals were made as planned, grants were allocated and grant implementation is progressing well. A total of 65 grants were already allocated.

The National Steering Committee works satisfactorily; they meet frequently and perform what was expected from them (project strategic orientation, selection of proposals for grants, etc.) very well. Members of the NSC participate when possible in field monitoring and supervision visits.

Several strategic projects (eight in total) were allocated to address different issues at scales larger than CBO grants (micro-lending, networking, policy influencing, etc.) and they are successfully fulfilling their expected roles.

The relationship with the UNDP Country Office is good; the program officer is updated about the progress of the project and participates in project activities.

Because of the way in which the indicators of the Results Framework agreed in the PRODOC were designed, there are several indicators that were not assessed by the MTR.

The M&E system is still incomplete; that means that while proposals and reports are collected from the different grant projects, there are weaknesses in organizing and aggregating information to inform the assessment of the Project indicators and some Outcome Indicators. The Kenya SGP has recently taken remedial actions described in the M&E section of this Report (Section 4.3)

The MTR assessed indicators (roughly two thirds of them, a few with limitations) which show that the achievement of results can be considered as on-target. Therefore, it is reasonable to expect that given the current level of progress, Outcome and Project indicators will be achieved by the end of the project planned for next June 2015.

The following table summarizes the full table of Progress towards Objectives and Results presented in Section 4.2 of the main text.

	Description of Indicator	Target level at End of Project	Achievement Rating
Outcome 1 Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors	1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests)	Six new CFAs	On target
		Five new Forest Management Plans integrating BD developed	On target
		Three new Forest Management Agreements signed between local communities and KFS and under implementation	On target
	1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area	At least 20% increase in METT scores	Cannot be assessed at MTR
	1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity	4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation	Presumably on-target*
LMA policies reviewed and proposal for regulatory framework developed		On-target	
Outcome 2 Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities' livelihoods	Increased number of communities contributing to identify and prevent the spread of IAS in rangelands	At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS	Presumably on-target*
	Increased number of communities produce charcoal sustainably and legally	At least 100 communities aware of the new charcoal rules At least 10 communities producing and selling charcoal sustainably and legally	On-target
	Increased percentage of families/community groups implementing SLM practices in ASAL target areas	20% increase of families/groups implementing SLM practices	Cannot be assessed at MTR
	Increased or diversified investment in SLM at the local level	Four investment types for SLM at community level introduced or strengthened	Achieved
	Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments.	At least 5 new or strengthened sustainable income generating activities	Cannot be assessed at MTR
Outcome 3 Local communities implement low carbon technologies that address their energy needs and mitigate climate change	Increase in credit availability for rural families and business that want to adopt RE	At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments	On-target
	Increased number of trained personnel able to build and maintain biogas digesters	An additional 10 people able to construct and provide maintenance to biogas units	On-target
	Number of small-scale RE project meeting FIT requirements	FIT demonstration meets FIT requirements	On-target
Outcome 4 Communities' capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.	Percentage of grantees that achieve their project outcomes	90%	Cannot be assessed at MTR
	Increased public awareness of global environmental issues in target areas	20% increase over baseline value	Cannot be assessed at MTR
	Increased number of grantees applying adaptive management to their grants	80% of grantees applying adaptive management	Cannot be assessed at MTR

Note: * The rating “presumably on target” means that while there is no hard evidence about the precise level of indicators achievement by the MTR time, the MTR perception based on visits, interviews and experience is that the current projects and processes in place will lead to the achievement of the expected targets by the end of the Project.

In terms of progress towards projects results, closely linked to the GEF Biodiversity Tracking Tool, it is not possible to attach the Kenya SGP Report to GEF Tracking Tools because this report has not been made yet.

Based on the above results and other information presented in the main text, the following Project Evaluation Rating Table was prepared.

Evaluation Rating Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The Project strategy is sound. The Project Logical Framework is well constructed in logic terms but it has several shortcomings and problems with the chosen indicators. Progress on about one third of the indicators could not be assessed at MTR time.
Progress Towards Results	Objective Achievement Rating: 5 Satisfactory	The Achievement Rating is based on the Achievement of individual results below. In turn, these are based on the Summary Table of Progress Towards Results (previous section) and the fully detailed table in section 4.2 Progress Towards Results. The MTR has not identified areas of concern or remaining barriers to achieving the results.
	Outcome 1 <i>Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors</i> Achievement Rating: 5 Satisfactory	According to the above Tables, there are six indicators for this Outcome. Four of them are on-target, one can be reasonably presumed to be on-target and there is one that cannot be assessed given that because of the nature of the indicator it should be assessed at the end of the project.
	Outcome 2 <i>Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities' livelihoods</i> Achievement Rating: 5 Satisfactory	According to the above Tables, there are five indicators for this Outcome. One of them is already achieved, another is on-target and a third can be presumed to be on-target. Two indicators cannot be assessed at MTR because they are designed to be evaluated at the end of the project.
	Outcome 3 <i>Local communities implement low carbon technologies that address their energy needs and mitigate climate change</i> Achievement Rating: 5 Satisfactory	All three indicators are assessed as being on-target.
	Outcome 4 <i>Communities' capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.</i> Achievement Rating: 5 Satisfactory	This is the most difficult Outcome to rate because none of the three indicators was assessed by the MTR. The reason is, again, the nature of indicator agreed in the PRODOC. Considering the nature of the indicator and what was seen in the field and collected from the interviews, the subjective assessment of the MTR is that they will be achieved by the end of the project.

Measure	MTR Rating	Achievement Description
Project Implementation & Adaptive Management	5 Satisfactory	According to the results shown in Section 4.3 (Management Arrangements) regarding Work planning, Finance, Stakeholder engagement, Reporting and Communications, all these areas are managed adequately, and the MTR did not identify any major concern about them. The M&E system and the co-financing tracking are the major weaknesses identified by the MTR. They do not affect the operational capacity of the SGP but they are not providing the required evidence to demonstrate SGP achievements. If taken alone, both M&E System and co-financing tracking would be rated as just Moderately Satisfactory
Sustainability	4 Likely	According to the results shown in Section 4.4 Sustainability, the MTR did not identify any major concern about them and the four different sustainability areas (financial, socioeconomic, institutional and governance, and environmental) were assessed as Likely,

Summary of conclusions and recommendations

Conclusions

1. The current full size project corresponding to the 5th Operational Phase of the GEF SGP is relevant to the GEF and country objectives with which it must be consistent.
2. The progress made until the MTR time shows that the project is progressing towards its planned results in a satisfactory way in general. Calls for proposals were made as planned, grants were allocated and grant implementation is progressing well. A total of 57 grants were already allocated mostly to CBOs. Several strategic projects (eight in total) were allocated to address different issues at scales larger than CBO grants (micro-lending, networking, policy influencing, etc.) and they are successfully fulfilling their expected roles.
3. The National Steering Committee works satisfactorily; they meet frequently and perform what was expected from them (project strategic orientation, selection of proposals for grants, etc.) very well. Members of the NSC participate when possible in field monitoring and supervision visits.
4. The relationship with the UNDP Country Office is good; the program officer is updated about the progress of the project and participates in project activities
5. The project has operated within the historical average efficiency of SGP projects. Some previous studies have shown that this efficiency is good in relation to the general average of GEF funded projects.
6. The monitoring and evaluation system works properly in the components in operation. Unfortunately the M&E system is still incomplete making it difficult to track both Outcome and Project indicators as agreed in the PRODOC. As a consequence, reports to the GEF Tracking Tools were not yet available and some of the evidence needed to fulfill the MTR requirements was not available. The Kenya SGP is already making efforts to address this issue.

7. Several Outcome indicators were not assessed by the MTR because of the way they were defined in the PRODOC.
8. Monitoring of co-financing commitments is weak and does not provide adequate evidence to assess the extent in which these commitments are met. At the same time, the resources and capacities contributed by the communities involved in the projects become invisible instead of being an empowering and visible element.
9. The accumulation of tasks arising from the new status of Kenya SGP as an upgrading SGP is outpacing the availability of time and effort of the National Coordination team creating a need to identify mechanisms to strengthen this team. There are efforts in this direction through the hiring of experts, the use of strategic projects to bring relevant organizations and the request of UN Volunteers to strengthen the NC team. All these efforts are adequate and they should be maintained.
10. Summarizing, there are no major MTR concerns about the Kenya Country Program in GEF OP5. There are some weaknesses already mentioned, but the remaining time until the completion of OP5 provides enough space to overcome them and achieve a fully satisfactory completion of the current phase. The major concern is about the M&E system but it is expected that the recently undertaken activities will address the issue satisfactorily.
11. There are a few key aspects to be addressed and solved by the NSC and the National Coordination in order to prepare a new proposal for GEF OP6. Two of these aspects are: a) to develop an agreement about which one of the two criteria (impact or fairness) will be the one guiding the SGP strategy in the future; b) to define how the upgrading Kenya SGP is going to make the best possible use of the strategic advantages of being an upgrading program. Both aspects complement each other and need to be addressed jointly.
12. The varied and numerous strengths and opportunities of the project and its innovative potential provide a strong basis for the development of an attractive proposal for GEF OP6 aiming to continue and expand the SGP actions and impacts. Harnessing these opportunities and overcoming the weaknesses are aspects that must be considered when preparing the proposal for the new phase.

Recommendations

1. To complete the current phase of SGP Kenya maintaining the current ways of operation that have proven effective and efficient to achieve the proposed results. Overall the SGP Kenya is implementing this project in a very proper manner and so the first recommendation is to maintain the good work until the end of OP5.
2. To complete the development of the SGP Monitoring and Evaluation system to be able to generate the necessary information to provide evidence about the achievement of Project and Outcome indicators before the end of OP5. The efforts already in place in this regard should not be left unattended.
3. To complete the report to the different GEF Tracking Tools before the end of OP5.
4. To improve the tracking of the co-financing pledges by different organizations and the grantees defined in the SGP PRODOC and the Grant agreements. This tracking should provide evidence to demonstrate the fulfillment of the commitments made at Project and grants signatures before the end of OP5.
5. Within the available time period before the end of the project to continue and, if possible to increase, the activities aimed at making an analysis of the SGP experience during OP5 and the pertinent extraction and dissemination of lessons learned.

6. To increase the exchange of experiences between the SGP strategic projects and between the organizations implementing these projects.
7. To strengthen the SGP National Coordination team through some outsourcing procedures (volunteers, consultants, other) enabling to obtain the necessary additional efforts to fulfill these recommendations.
8. To start interacting with the UNDP-GEF Global Technical Advisor for SGP Upgrading Country Programs to find alternatives to improve the situation of multiple and simultaneous reporting lines that currently frame the Kenya SGP operation and that may lead to conflicting views about the SGP eventually affecting its operations and performance.
9. To make all efforts to achieve a project proposal for the next operational phase of the GEF that maximizes the chances of being incorporated into the national GEF portfolio under the GEF STAR allocation.

2. INTRODUCTION

2.1 Purpose of the evaluation

This mid-term review (MTR) has the following purposes according to the new UNDP-GEF Midterm Review Terms of Reference:

1. To assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document,
2. To assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.
3. To review the project's strategy and its risks to sustainability.

2.2 Scope & Methodology

Scope

The MTR assessed the main key areas related to the above purposes as follows:

- a. Project Strategy
 - Project design
 - Results framework / Logframe
- b. Progress towards Results
 - Progress towards Outcomes Analysis
- c. Project Implementation and Adaptive Management
 - Management Arrangements
 - Work Planning
 - Finance and co-finance
 - Project-level Monitoring and Evaluation Strategy
 - Stakeholder Engagement
 - Reporting
 - Communications
- e. Sustainability
 - Financial risks to sustainability
 - Socio-economic risks to sustainability
 - Institutional Frameworks and Governance risks to sustainability
 - Environmental risks to sustainability

Methodology

Based on the evaluation purpose and scope, an evaluation matrix including evaluation questions, indicators, sources of information and methods to obtain information was developed and used to guide the evaluation. This matrix was included in the Evaluation Inception Report submitted to the different stakeholders before the beginning of the evaluation. This matrix is presented as Annex 2.

The evaluation process was carried out according to the following steps:

1. Reading and analysis of existing documentation (including those documents listed in the TOR and the UNDP guidelines for these evaluations, as well as websites and information available online and documents provided directly by the visited organizations and institutions). The list of documents analyzed is included as Annex 5.
2. Development of data collection instruments (questionnaires, interview guides and field visits, observation and other protocols.
3. Field visit to collect primary information through interviews, observations, field visits and meetings. The itinerary of this visit is included as Annex 4. The list of persons interviewed for this evaluation is included as Annex 5.
4. Preparation of an Initial Findings Report immediately after the field visit. This Report was distributed to the key stakeholders for verification of information accuracy.
5. Preparation of the Draft Final Report and distribution to users established for feedback and comments.
6. Reception of comments and feedback and preparation of the "audit trail"
7. Preparation and submission of the Final Report , including verification of the facts on the basis of comments on drafts , incorporating new materials and adjustments to the Draft Final Report

2.3 Structure of the evaluation report

The contents for the report were organized on the basis of the Table of Contents included in the new UNDP-GEF Midterm Review Terms of Reference to be used from July 1st, 2014.

This Table of Contents has some differences with the one originally included in the TOR but it was adopted aiming to comply with the new UNDP-GEF requirements in place since the mentioned date.

The Table of Contents complies and is consistent with the original TOR and the guidelines established in the GEF-UNDP Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects guiding the mid-term reviews from July 1st, 2014.

3. PROJECT DESCRIPTION AND BACKGROUND CONTEXT

3.1 Development context

Kenya is endowed with significant terrestrial, freshwater and marine biodiversity. The country is home to over 6,500 plant species, more than 260 of which are found nowhere else in the world. With 1,083 bird species recorded and over 350 species of mammals, Kenya ranks second among African countries in species richness for these animal groups. More species of large mammals are concentrated in its rangelands than in virtually any other African country. Forests occupy about 2.6% of the land surface of Kenya of which an estimated 1.24 million hectares are indigenous closed-canopy forests. Forest lands, including some 139,000 ha of coastal forests, are the habitat of hundreds of plants and animal species and harbour high endemism. The majority of Kenya forests are gazetted as national parks under the Kenya Wildlife Service (KWS), or as forest reserves managed by the Kenya Forest Service (KFS). Some 100,000 hectares of forests are Trust Lands, held on behalf of local people by the Ministry of Local Government through County Councils.

The coast of Kenya in the Western Indian Ocean extends over 600 km and is endowed with high diversity of habitats and species. The large continental shelf combined with shallow near shore zones, in an area where riverine sediment input is, in general, small, combine to provide vast fringing mangrove forests (some 530 to 610 km²), seagrass beds, lagoons and coral reefs (630 km²) which collectively harbour over 800 species. The total number of recorded coral species in the Kenya-Tanzania coastline is 112. Seagrass beds provide a habitat for a variety of commercially important fish species and endangered species such as the hawksbill turtle and the dugong. River delta areas, of which the Tana and Athi-Galana-Sabaki Rivers are the largest, provide important ecosystem services such as flushing away of wastes, salinity control, and dispersal and nurturing of larvae of a number of coastal organisms. There are 27,000 ha of beach and sand dunes in Kenya providing important ecosystem services such as retention of freshwater tables and protecting against saltwater intrusion.

Kenya's drylands also harbour significant biodiversity. Located northwest of Mount Kenya in the Rift Valley Province, the Laikipia ecosystem, where SGP sustainable land management (SLM) activities take place, is a million hectare Plateau of mostly rangelands, but also woodlands and forest patches. According to recent surveys, wildlife populations on the Plateau are the highest after the Maasai Mara Reserve, and densities are on the rise in contrast to the declining trend throughout the country. Laikipia is home to half of Kenya's critically endangered black rhino, as well as other rare species such as Jackson's hartebeest, African wild dog, and Grevy's zebra. In spite of its critical importance as a wildlife migration corridor, the Laikipia ecosystem is not sufficiently represented in the Kenya protected area system. Conservation of this biodiversity rich area is being taken up by private ranches and increasingly by ethnic Maasai, Samburu and Rendille pastoralist groups. The establishment of Conservancies out of Group Ranches and Trust Lands by these communities has transformed land governance in the area and is enabling conservation of wildlife and other biodiversity across some 48,500 hectares and beyond. Conservancies are tracts of land set aside by community groups for conservation purposes. Individual Conservancies range between 800 hectares (the smallest) to more than 33,000 hectares (the largest). Because some are contiguous territories, their importance as wildlife corridors is significant.

3.2 Problems that the project sought to address: threats and barriers targeted

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

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

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

Addressing environmental degradation and achieving sustainable livelihoods among pastoral communities is a major challenge. The new draft policy for ASAL areas recognizes that past policies and approaches to pastoral development in the country failed because they were based on a biased perception about pastoralist communities and because pastoralist development issues were not articulated in a comprehensive policy but rather treated in other policies such as agriculture and

livestock development, and tourism. This resulted in the relegation of pastoralist development issues to second place. Emphasis was put on sedentarization of nomadic pastoralists with a strong focus toward crop farming because the perception was that pastoralism was not a viable and sustainable way of life. While this perception has changed among government and development organizations, finding adequate sustainable development avenues that respect local ways of life remains a very complex endeavour and this can only be achieved with the full participation of communities.

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

Barriers

There are several barriers that prevent the implementation of the long-term solution and inhibit communities from taking advantage of the opportunities brought about by these new and progressive policies. Such barriers are, among others, the lack of information on the existence of these instruments, the lack of capacity among communities to understand the legal and technical contents of the documentation, and the difficulty of undertaking the processes of association, legal recognition, development and approval of relevant plans, and of obtaining the required permits. Lack of access to financial resources and to technical assistance to identify and implement sustainable livelihood initiatives is a pervasive barrier to community sustainable development and stewardship of their environment and natural resources.

Barriers to community participation in Forest Act of 2005 implementation

The Forest Act grants rights to communities to enter into forest management agreements with the Kenya Forest Service (KFS). Such agreements require local communities to constitute Community Forest Associations (CFAs) and to prepare sustainable forest management plans to be approved by KFS. Many communities are unaware of this opportunity, and if they are, they do not fully understand the legal implications and the processes that are needed to establish a CFA. More importantly, communities lack the knowledge, skills and resources to develop a forest management plan that mainstreams biodiversity considerations, is economically sound, and meets the requirements for approval by KFS. KFS has striven to assist communities in engaging and in meeting requirements, but it lacks sufficient qualified staff at the local level to provide technical assistance to communities, and lacks funds to engage outside expertise for this purpose. Last but not least, KFS cannot contribute investment capital or other types of support to community associations for the implementation of their forest management plans.

Barriers to community management of Conservancies

Group Ranches face several barriers to management of their Conservancies and their broader territories, namely, weak organizations and governance, lack of skills for business development and management, and lack of capital to invest in alternative livelihood options and to develop Conservancies. The nomadic culture of pastoralist communities poses additional challenges. These communities in Kenya live in insecure areas and have a history of marginalization and of rivalries between groups. Some of these challenges, particularly governance and security issues, are being addressed through the Northern Rangelands Trust, an umbrella organization bringing together the communities that established the Conservancies, the government and private individuals, but the communities need as much support as possible. Core tasks ahead include demarcation of Conservancies' core conservation areas, management of their broader territories, balancing livestock herd numbers with the carrying capacity of their land, and identification and implementation of income-generating activities which are also compatible with conservation goals.

Barriers to implementing the Beach Management Unit (BMU) legal framework and establishing Locally Managed Marine Areas (LMMAs)

The effective contribution of the BMU legal framework to sustainable marine resource use and conservation rests on a revision of the norm which was originally developed for and applied to freshwater fisheries in Lake Victoria. Its application to marine fisheries and coastal communities has encountered several problems, including determining the geographical jurisdiction of landing sites, which in turn determine community membership to specific BMUs, and the rights and responsibilities of each BMU. Because fishing areas are accessed by fishers from different BMUs, this is likely to cause conflict between different BMUs. Another barrier is the undefined role of BMUs (under the Fisheries Act) with respect to Locally Managed Marine Areas (LMMAs). Under the Fisheries Act, BMUs are authorized to have a designated co-management area to undertake fishing. However, these co-management areas and the jurisdiction of the BMU may not be the most conducive to effective conservation of marine resources and the ecosystems they depend on. Another important barrier is the weak governance of community organizations along the coast. These organizations lack adequate skills and cannot access technical assistance to improve their effectiveness and their services to members. A 2007 workshop involving several coastal communities identified additional barriers such as the small budget allocated to the Ministry of Fisheries Development (which is more inclined to spend its scarce resources on Lake Victoria in view of its larger contribution to the national economy), the encroachment on landing sites and public beach land by private developers, and the need to establish a national coastal fisheries association so that fisher communities may be represented and have a voice in policy and regulatory development and revisions.

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

Barriers to more sustainable community land management are multiple and include cultural, social and economic ones. Among others, lack of access to improved land management techniques adapted to these areas and that are acceptable to nomadic pastoral communities or to farmer communities immigrating from other regions of the country to ASAL areas; lack of awareness concerning spread of alien invasive species and their impact on pastures and grazing lands; lack of alternatives to reduce community vulnerability to drought and other weather-related events; lack of financial incentives for SLM, including access to markets for high value and/or underutilized crops; and lack of alternatives to the use of woodlands for fuelwood energy needs. SGP, which is expanding its geographic focus to the Laikipia ecosystem, will not attempt to remove them, but rather to build on the experience from other development partners and to explore and demonstrate options to be identified by local communities. Concerning the "Charcoal Rules" under the Forest Act

that legalize the production, transportation and marketing of charcoal in the Country in the hope that this would create an enabling environment for sustainable charcoal production and trade, the barriers to community participation in their implementation are many: in addition to awareness and information barriers, communities lack the technical and financial means to develop and implement a sustainable charcoal production plan, which is a requirement to obtain a charcoal production and trade permit. The Rules enacted in December 2009, have yet to prove that they can be implemented and enforced, and therefore, this represents a risk to communities willing to engage in their implementation.

Barriers to rural community contributions to a low carbon society

As discussed above, Kenya is still a net sink of GHG and communities have yet to meet their basic energy needs. There are many opportunities for communities' participation in the implementation of Kenya's Climate Change Response Strategy but information, capacity, and financial barriers remain. As a result, adoption of RE in the rural areas has not reached its full potential. The Feed-in-Tariff (FIT) scheme in Kenya is new and there are no examples of renewable energy electricity generated by communities being sold to the grid. The lack of concrete experience of government officials and communities is therefore an important barrier.

Over the years SGP has gained experience on how to bridge the policy-to-communities gap with some important successes. Generally, Kenyan government institutions welcome SGP support to implement the provisions of policies and norms because they realize that, in the absence of external support, they would be unable to reach out to a significant number of communities, provide financial and technical support to them, and undertake the monitoring that is required to assess policy results on the ground. SGP promotes and facilitates inter-institutional and inter-sectoral dialogue on issues of relevance to communities for the implementation of policies at the local level; supports pilot interventions, provides feedback to responsible institutions on consistency across norms, gaps, ease of implementation, etc.; and plays a major role in developing the capacity of communities in a wide range of aspects required for effective implementation of policies and norms.

3.3 Project Description and Strategy

Project Description

The SGP Kenya Country Program as a GEF full-size project

A first key aspect that should be kept in mind when analyzing the SGP OP5 Project in Kenya is that this is an unusual GEF full-size project. A typical Project defines a priori results to be achieved, inputs to be used to generate outputs to reach the results (all evidenced by indicators) and the required resources (funding and time) to perform the activities. The SGP Country Program does not work this way.

The SGP was created by GEF as a funding window to support projects from CBOs (community based organizations) and small and medium NGOs. It was established to balance the portfolio of full-size and medium-sized projects aimed at Governmental organizations and, to some extent, large NGOs (national and international).

Because of this origin, the SGP was established as a GEF corporate program, implemented by UNDP on behalf of the GEF partnership. This GEF-UNDP SGP has a centralized unit at UNDP Headquarters (CPMT) from which the national SGP Country Programmes (such as the former Kenya SGP) were coordinated and funded. The SGPs Country Programmes, in turn, channeled small funds (usually around US\$ 50,000 in Kenya) to CBOs and NGOs in the form of small grants with specific requirements.

This initiative was highly successful as documented in different evaluations and it was renewed with each one of the different GEF OPs. Therefore, and given both its continuity and *modus operandi* these SGP Country Programmes became programmatic, in the sense of long-term interventions based on the demands from local communities and civil society.

SGP success led to increased demand from the countries, quick program growth and the expected problems of managing a program in dozens of different countries with a limited budget. Therefore, at the end of OP4 there was a decision to “upgrade” or “graduate” the most successful and best established national SGPs to a different category. The chosen way to accommodate these new upgrading SGPs was to incorporate them as full-size Country Program projects within the GEF national portfolios starting with GEF OP5.

Therefore, at the end of OP5, these so called “projects” are evaluated in a similar way to the traditional GEF full-size projects. Obviously, it is necessary to briefly recall the SGP history to understand that this type of full-size project has some very specific characteristics that should not be forgotten at evaluation time.

A key aspect to be considered is that SGP Country Programs Projects do not implement directly. They don't have staff, resources, equipment or the mandate for direct implementation of activities leading to results and fulfillment of agreed indicators. These projects work by opening calls for proposals from CBOs and NGOs with a scope of areas of work based on the Project Document; therefore, the implementation of activities and achievements of results depends on the interest and willingness of other organizations to submit proposals within the defined scope of actions. If the organizations do not submit proposals the calls go unanswered and there are no actions made, money spent or results achieved.

Considering these aspects it is easy to understand that different aspects of the planning, monitoring and evaluation cycle are significantly affected by these conditions of operation and they need to be considered when assessing the different components and parts of the project cycle.

Strategy

The long-term solution proposed by this project is to build on the baseline to create a mosaic of land uses and community practices across the rural landscape that provide sustainable livelihoods while generating global benefits for biodiversity, land degradation and climate change mitigation. In order to achieve this and create the conditions for sustainability, replication, and up-scaling of such practices, SGP's approach for the next four years is to help remove barriers to the expedited and effective implementation of a series of innovative policies and norms that enable community stewardship of national resources enacted recently by the Government, as follows:

- The Kenya Forest Act of 2005, which provides for the establishment of Community Forest Associations (CFAs) and regulates community participation in the management of forests and the use of forest resources;
- Legal Notice No. 402 of the Fisheries Act, which paves the way for establishing Beach Management Units (BMUs) for each fish landing site along the coast, enabling fishing communities to actively participate in the management of coastal areas and resources;
- Under the National Environment Management Act it is now possible for communities to engage in Locally Managed Marine Areas (LMMAs);
- The 2009 "Charcoal Rules", which turned charcoal production and trade from being an illegal activity into one that will be actively managed and for which communities have a role to play;
- The Energy Feed-in-tariff Policy (FIT), while not directly targeting local communities, provides opportunities for upscaling community renewable energy generation projects and may pave the way for linking these with carbon markets in the future.

During OP5, the Kenya SGP is funding 65 projects (57 grants and 8 strategic). All grant projects have a budget in the US\$ 30,000 - 50,000 range, while the strategic ones are in the 100,000 to 150,000 range. All projects should provide co-financing as globally defined for SGP (1:1 relation).

Objectives, outcomes and indicators

Goal: To conserve globally significant ecosystems in Kenya and mitigate climate change by supporting the implementation of national environmental policies that also contribute to communities' improved livelihoods.			
	Indicator	Baseline	Targets End of Project
Project objective: Global environmental benefits secured and livelihoods improved through community based initiatives and actions that address biodiversity conservation and sustainable land management in production landscapes	Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation in:		
	Mt. Kenya Forest Reserve and buffer zone	3,385 hectares rehabilitated by communities in Mt Kenya Forest Reserve and buffer zone in the last 10 years ¹)	30,000 hectares of forests sustainably managed in accordance with the Forest Act of 2005
	Laikipia rangelands	Community-managed Laikipia rangelands conservation areas: 9 group ranches have formed the Naibunga conservancy covering 17,200 ha.	20,000 hectares under community conservancies in Laikipia with effective management and securing wildlife corridors
	Mangroves	Mangrove forests under community sustainable management practices: 6,600 ha or 12% of total mangrove area.	5,000 hectares of mangroves conserved by communities
	Marine areas	Community-managed marine conservation areas: 4 LMMAs established ² covering 1000 ha of which 2 operating and 2 at an inception stage.	10,000 hectares under community-managed marine conservation areas
	Increase in land area with improved management practices in pastoral and agricultural lands in ASAL	Number of hectares under community SLM practices will be determined for specific geographic area of intervention at project inception Hectares with tree cover in community lands (to be determined at inception stage for specific geographic area)	60,000 hectares under SLM practices 100 ha with increased tree cover
	Increased application at community level of legal and regulatory frameworks that integrate SFM principles	Zero communities with sustainable charcoal production in accordance with the "Charcoal Rules" of 2009.	At least 50% of participating communities obtain permit from KFS under the Charcoal Rules

¹ Over the last 10 years, the following have contributed to the rehabilitation of Mt. Kenya forest; SGP + green belt movement = 520 ha; SGP + local CBOs = 400 ha, GEF-MKEPP Mt. Kenya East project = 1,965 ha and 230 ha of plantation, KFS-PELIS and Green Zones = 500ha.

² Kiwini LMMA in Lamu, Wasini (Kwale), Mkokoni (Kiunga) and Kuruwitu LMMA in Kilifi

	Indicator	Baseline	Targets End of Project
Project objective: (cont.)	Increased number of communities earning an income from sustainable land and resource use with due consideration of biodiversity	About 27 communities at the Coast, 30 communities in Mt. Kenya, and 3 in Laikipia/northern rangelands earning an income from sustainable livelihood initiatives.	At least 10 additional communities in Mt. Kenya, 10 in Laikipia northern rangelands and 8 at the coast will earn an income from sustainable livelihood initiatives.
	RE policies and regulations adopted	Zero small-scale RE producers in FIT	1 demo
	GHG emissions avoided	Biogas units installed ³ in project area: 202 2,908 CO ₂ e avoided ⁴	700 new units (SGP direct) 6,650 new units (replication) 68,000 tons of CO ₂ e avoided
	Increased proportion of CBOs capable of developing eligible SGP projects as a proxy to their ability to diagnose and understand global environmental problems and of developing local solutions	Eligible project proposals received by SGP Mount Kenya region (40%) Laikipia region (0%) Coastal region (30%)	Increase in percentage of eligible proposals: Mt Kenya region (60%) Laikipia region (50%) Coastal region (60%)
Outcome 1 Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors	1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests)	Number of CFAs registered: 15 CFAs established, however, they are not all active, and most are at budding stage.	Six new CFAs
		10 CFAs have Forest Management Plans in Mt. Kenya but do not fully integrate BD	Five new Forest Management Plans integrating BD developed
		Number of Forest Management Agreements under implementation: 3 in Mt. Kenya	Three new Forest Management Agreements signed between local communities and KFS and under implementation
	1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area	Score of adapted METT (to be applied once specific conservancies have been selected for SGP grants)	At least 20% increase in METT scores
	1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity	85 BMUs established ⁵ of which some 17 operating . Four LMMAs established of which 2 operating	4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation
		LMMAs policy and regulatory framework unclear	LMMAs policies reviewed and proposal for regulatory framework developed

³ In the last 3 years, 162 units installed by SGP and 40 installed by GTZ and the National Biogas Programme.

⁴ An 8 cubic meters biogas plant offsets 4.8 tons/yr. The biogas units have been installed in the last 3 years.

⁵ These are BMUs that have simply elected executive committee members. Only about 17 BMUs have developed by-laws, have been trained on BMU operations, and have developed management plans.

	Indicator	Baseline	Targets End of Project
Outcome 2 Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities' livelihoods	Increased number of communities contributing to identify and prevent the spread of IAS in rangelands	Zero communities contributing to detect and/or control IAS in rangelands.	At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS
	Increased number of communities produce charcoal sustainably and legally	Zero communities in the project area with KFS permits under the Charcoal Rules of 2009	At least 100 communities aware of the new charcoal rules At least 10 communities producing and selling charcoal sustainably and legally
	Increased percentage of families/community groups implementing SLM practices in ASAL target areas	Baseline value of families/groups implementing conservation agriculture, zero-grazing and other SLM practices in ASAL target areas to be determined at project inception for specific geographic areas	20% increase of families/groups implementing SLM practices
	Increased or diversified investment in SLM at the local level	Types of SLM investments include: production and marketing of dryland products, e.g. livestock and livestock products, honey, dryland crops, e.g. aloe, eco-tourism and handicrafts. Also, water conservation and management, and small-scale eco-farming.	Four investment types for SLM at community level introduced or strengthened
	Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments.	The baseline for the number of sustainable income generating activities in the target area will be determined once the project begins.	At least 5 new or strengthened sustainable income generating activities
Outcome 3 Local communities implement low carbon technologies that address their energy needs and mitigate climate change	Increase in credit availability for rural families and business that want to adopt RE	Credit for small scale RE investments available from 2 cooperatives but for cooperative members only, e.g. Kathuna Dairy cooperative	At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments
	Increased number of trained personnel able to build and maintain biogas digesters	No. of trained individuals in project area: 17	An additional 10 people able to construct and provide maintenance to biogas units
	Number of small-scale RE project meeting FIT requirements	Zero small-scale RE projects meet FIT requirement	FIT demonstration meets FIT requirements
Outcome 4 Communities' capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.	Percentage of grantees that achieve their project outcomes	90%	90%
	Increased public awareness of global environmental issues in target areas	To be determined through a survey to be carried in the first year of project implementation	20% increase over baseline value
	Increased number of grantees applying adaptive management to their grants	50% of grantees apply adaptive management	80% of grantees applying adaptive management

3.4 Project Implementation Arrangements

The SGP in Kenya is executed by UNDP and implemented by UNOPS, through a small country program team.

UNDP provides overall program oversight and takes responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF.

The SGP Country Program in Kenya is guided by a National Steering Committee (NSC) integrated by governmental and non-governmental organizations with a non-governmental majority, a UNDP representative and representatives from different sectors and organizations and individuals with expertise in the GEF Focal Areas. The NSC is responsible for grant approval and for determining the overall strategy of the SGP in the country. The proposed members of the NSC are appointed formally by the UNDP Resident Representative after clearance by the Global Technical Advisor.

The National Coordination (Country Team) is composed of a National Coordinator and a Program Assistant. The National Coordination is responsible for the day-to-day operations of the program.

The Project works on the basis of annual calls for proposals from the prioritized regions (Mount Kenya, ASAL Laikipia and coastal and marine) and focused on the GEF focal operational areas addressed by Kenya SGP (Biodiversity, Climate Change and Land Degradation). These proposals are reviewed for fulfillment of requirements by the National Coordination and handed to the NSC that analyzes them and decides which ones will receive funding from SGP.

In the Kenya SGP Country Program the grants are usually on the order of US\$ 50,000. During this period each project is visited by members of the National Coordination Team. There are also successful efforts to include NSC members in the field visits in order to provide them opportunities to have first-hand impressions about the progress of the grant projects in the field. The grantee organizations should submit regular reports that are reviewed (and returned with comments when necessary) by the National Coordination.

3.5 Project timing and milestones

The Kenya SGP Country Program began its Fifth Operational Phase (OP5) in February 2012 with the CEO Endorsement of the full-size project (FSP). The internal arrangements within UNDP and UNOPS (e.g. developing the Project Document) to accommodate the new upgrading Country Program took the rest of the year. The PRODOC was signed by the Kenyan Government, UNDP and UNOPS in 2012.

The Kenya SGP Country Program made three calls for proposals in 2012, 2013 and 2014. Considering the date of project finalization (mid 2015) the 2012 proposals were allowed for an implementation period up to 24 months, the 2013 ones up to 18 months and the 2014 just for 12 months.

3.6 Main stakeholders - summary

Kenya SGP main partners are local community organizations of pastoral, farmer and fisher communities benefiting from SGP grants. Close working relations with national and local government authorities, national non-governmental organizations, and organizations with specialized skills have been forged over the years in the sectors and geographic areas of the

project. These institutions and organizations contribute to capacity building, knowledge management, and monitoring and evaluation, and some are represented in the SGP National Steering Committee on a rotational basis where they work pro bono. Involvement of local and national government representatives is essential to achieve policy change in relevant project areas. Insurance companies, cooperatives, and other financial entities are expected to play an important role in this project phase as they are essential to delivering some project outputs in the land degradation and climate change focal areas.

The SGP in Kenya has also formed mutually beneficial long-standing relationships with international, national and community level initiatives and partners, and will continue to seek synergies in the coming phase. SGP works with relevant stakeholders in the geographic and focal areas supported by SGP in Kenya, such as organizations represented in the COMPACT Local Consultative Body, to ensure coordination of donor funding on relevant initiatives and pave the way for replication and upscaling. Consultations with a significant number of organizations took place during the preparation of the PIF and continued during the inception and implementation phases of the project. SGP also works with other partners, including international scientific organizations and private sector organizations. SGP collaborates with other relevant GEF MSPs and FSPs implemented in Kenya wherever synergies can be found. SGP will tap into the large pool of expertise and experience found among national and regional NGOs, such as the African Wildlife Foundation, CORDIO, The Nature Conservancy, Nature Kenya, and Laikipia Wildlife Forum, among others.

4. FINDINGS

4.1 Project Strategy

Project Design

Conceptually, the project is well designed, despite some flaws in the Strategic Results Framework addressed in a later section.

The interesting aspects of the design are its concentration in a few and well defined areas: Mount Kenya, Laikipia and the coast, with the last one being larger than the other two. In a large country, with a large population and numerous different cultural and ethnic groups focalization is essential if impact is sought.

In this aspect there is a discussion between two different approaches within the SGP Kenya, its NSC and probably other levels. This discussion is about whether the SGP in Kenya should emphasize “impact” or “fairness” within the overall SGP strategy.

To achieve impact it is necessary to focus the SGP activities on a limited number of areas and to extend these activities over a number of years exceeding the time limits of a single GEF OP period. The rationale for pursuing impact is how to generate sustainable results that can persist along time and also that can be replicated and maintained without SGP assistance.

To achieve fairness it is necessary to ensure that all regions and groups can access SGP activities and grants on a more or less equal way. Therefore, the achievement of this purpose demands the SGP actions to be scattered all over the country or to rotate them more or less systematically across GEF OPs in order to provide all national groups similar opportunities to access SGP benefits. The rationale for pursuing fairness is rooted in the cultural diversity of the country and the need to ensure that all different groups have equitable access to the existing opportunities.

The second approach (fairness) seems to be better aligned with the traditional SGP operation before becoming an Upgrading Country Program. The shift of the Kenya SGP to an Upgrading Program and the fact that this program now has resources for a 4-year period allowing for longer term planning and implementation is bringing this discussion between impact and fairness back to the SGP NSC table.

This discussion will probably become stronger when developing the SGP proposal for GEF OP6 because there will be a tension between staying in the current geographical areas where processes are not yet sustainable and shifting to other areas to give them an opportunity.

It is not the function of the MTR to participate in this discussion and much less to make recommendations other than addressing it. However, it is a significant aspect to be highlighted in order to understand the underlying logic defining the location and reach of the Kenya SGP activities (both actual and to be proposed for the future).

All these processes were made simultaneously with the SGP design for OP5 in Kenya as a Country Program faced the challenge of its “upgrading”. This “upgrading” process meant evolving from an operation centrally coordinated and supervised by the SGP-CPMT in UNDP HQ and receiving annual budgets through CPMT to become a GEF full-size project, with a 4-year implementation period and pre-assigned funds for the entire period based on a budget coming from the Kenya GEF STAR allocation.

In terms of project strategy shifting from variable annual allocations of funds to secure funds for a 4-year period is a significant change in terms of project strategy. It is not evident that the SGP Kenya made full use of this strategic difference during OP5. There are some visible changes towards a longer term strategy in the form of a broader and more comprehensive use of the strategic projects. Additionally other actions were taken such as:

- 1) In the 1st 2 years of the project, the NSC met more frequently and reviewed many more proposals than in previous phases, with the understanding that funds are available, and that the project will have to undergo both a mid-term review and an end-of-project evaluation at the end of the OP5.
- 2) The call for proposals varied to meet the needs of the program. For instance, biodiversity funds were committed earlier because both the geographical and thematic focuses were not so new to the communities.

On the other hand, the basic operations continued around annual calls for small grants that cannot be repeated. In other words, it is the perception of the MTR that the advantages of the Kenya SGP being an upgrading program still have plenty of opportunities to be better used, particularly if impact is pursued.

Obviously, under the new framework it will be necessary for the SGP to define more precisely what “impact” (or “fairness”) means, and what kind of processes (with their indicators) should be implemented to ensure that they are properly achieved.

Finally, but not less important, the SGP project is well aligned with global and national priorities. Kenya is also a signatory of the different global Conventions that make it an eligible country for GEF funding in these areas.

In terms of gender issues, the PRODOC has no specific indicators for gender. Despite that, the active presence of women and the concern about key women's issues are well considered and achieved in the field projects, and this good practice can be improved by maintaining a specific register of women's participation in all SGP funded activities.

Summarizing, from the MTR perspective there are no major or significant concerns about the design of this project for GEF OP5. However, there are some key pending discussions on issues outlined in this section that will need to be addressed and solved in terms of the design of the new proposal for GEF OP6.

Results Framework/Logframe

The Project Results Framework is reasonably good. Its different components are well defined and articulated and the basic project logic can be easily identified across the different vertical layers (Project Objective, Outcome, Outputs) and horizontal components (Objective/Outcomes, Indicators, Baseline situation, End of Project Target, Source of Verification and Assumptions).

Having established a general assessment of the Results Framework it is also necessary to highlight that there are several indicators that could have been better chosen. There are too many indicators requiring the preparation of a baseline and then a final evaluation to be able to contrast the final situation with the baseline to define whether or not the project achieved its results.

This type of indicators conspire against the regular Project monitoring because there are just two stages (initial and final) and it is not possible to assess during the long implementation period how good is the project progress. The best evidence about this situation can be obtained by looking at the table of Progress towards results in the next section; of the 17 Outcome indicators, six cannot be assessed (more one third) for the mentioned reason. A better choice of indicators would have allowed for a different and better assessment at MTR.

There are some indicators that did not reflect well what they intended to make evident. In the climate change outcome, the Project is aiming to install 650 domestic biogas facilities, but the only indicator referring to this issue is related to number of "biogas technicians trained", which is quite far from the actual work. It can be accepted that the project did not realize its potential for domestic biogas expansion at the design time, but even in that case there should have been a request to add indicators to the Results Framework to take care of this significant addition to the program. As it is now, one of the main achievements of the Program may pass completely unnoticed.

It is not clear why these basic mistakes happened but, from the MTR perspective, they are probably linked to the insufficient level of development of the SGP Kenya M&E system, an issue that is addressed in detail later in the pertinent section.

Summarizing, there are no major MTR concerns in this area of project design linked specifically to the Project Results Framework. Obviously there is plenty of room to improve the selection of indicators for the next GEF OP6.

4.2 Progress Towards Results

Progress towards outcomes analysis

The analysis of progress towards outcomes based on the results of the project information regarding partial progress achieved by projects under implementation and the field visits to several grant projects demonstrate that the SGP project is going reasonably well and that it can be expected that the SGP will achieve the agreed products and results by the end of the OP5.

The following table shows progress by outcome and indicators as reported in the 2014 PIR completed at the MTR time. The following Table presents the information about progress towards project objective indicators including the pertinent MTR ratings and their justification.

Progress Towards Project Results

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
Outcome 1 Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors	1.1 Increased number of CFAs established and with Forest Management Agreements approved by KFS and under implementation in target areas (Buffer zone of Mt. Kenya Forest Reserve and Mangrove Forests)	Number of CFAs registered: 15 CFAs established, however, they are not all active, and most are at budding stage.	Six new CFAs	5 new community based projects were approved to mainstream biodiversity conservation into forest ecosystems. Four of them focus on terrestrial forest ecosystems, while the remaining 1 is geared towards marine/mangrove conservation. All projects are enhancing the institutional capacity of Community Forest Associations (CFAs) through organizational training, awareness on the Forest Act, developing management plans and building negotiation skills for signing Management Agreements with the Kenya Forest Service. Biodiversity conservation in forest ecosystems is enhanced through activities by various CFAs: establishing Indigenous and Community Conserved Areas (ICCAs) for maintaining or improving the conservation status of 3 endemic bird species; developing a participatory compensatory scheme to pilot PES among 300 farmers neighbouring Mt. Kenya forest; lobbying newly established County governments to prioritize forest ecosystems in their development and financial planning.	On target	The achieved progress is close to the target level and all processes are active. Therefore, it can be expected that they will be completed satisfactorily in the remaining project time.
		10 CFAs have Forest Management Plans in Mt. Kenya but do not fully integrate BD	Five new Forest Management Plans integrating BD developed	7 Forest Management Plans have been developed and are being enriched before they are approved by the government.	On target	Plans are ready. Government approval is pending; it is reasonable to expect it by end of project
		Number of Forest Management Agreements under implementation: 3 in Mt. Kenya	Three new Forest Management Agreements signed between local communities and KFS and under implementation	10 CFAs are working on their Forest Management Agreements (FMAs). Some are in the process of drafting the FMAs and others are further ahead and are negotiating them before they are signed by the Kenya Forest Service.	On target	Similar to the previous case. There is potential for overachievement, but it depends on Gvmt. Approval that can be obtained before project ends.

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
	1.2 Enhanced management effectiveness of Community Conservancies in the Laikipia area	Score of adapted METT (to be applied once specific conservancies have been selected for SGP grants)	At least 20% increase in METT scores	Not reported yet as the contrast between baseline and final status will be done by end of project.	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.
	1.3 Increased number of BMUs and LMMAs conserving coastal and marine biodiversity	85 BMUs established ⁶ of which some 17 operating. Four LMMAs established of which 2 are operating	4 LMMAs established and managed by BMUs or other CBOs of which at least 3 with management plans designed and under implementation	The process of establishing 3 new Co-management Community Marine Areas (CCMAs) under these projects with a total area of 12,000ha has begun.	Presumably on-target	The processes began and they are active. There is no information about the level of progress achieved and the remaining steps. The MTR presumes, based on interviews, that the indicator will be achieved, perhaps with some shortcomings.
		LMMA policy and regulatory framework unclear	LMMA policies reviewed and proposal for regulatory framework developed	Desktop reviews have commenced looking at strategies and avenues that can be used to ascertain CCA establishment in Kenya. BMU by-laws, the national fisheries regulatory framework and other relevant resource management legislations are being examined	On-target	This process is already in place. As it involves just desk/office analytical work it is expected that it will be completed by end of project.
Outcome 2 Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities' livelihoods	Increased number of communities contributing to identify and prevent the spread of IAS in rangelands	Zero communities contributing to detect and/or control IAS in rangelands.	At least 20 pastoral communities and 10 agricultural communities taking action to prevent, detect and control IAS	Mpala Research Center in partnership with CABI – the 2 organizations spearheading IAS control and management, received a grant in August 2013 for addressing challenges related to Invasive species. They have obtained permits from relevant government authorities (KEPHIS and NEMA) to release a host specific and damaging bio-control agent that will destroy <i>Opuntia stricta</i> – the most common and pervasive IAS in Laikipia County. The communities in Doldol are being trained on the use, rearing and management of the biocontrol agent (<i>Dactylopius opuntiae</i>).	Presumably on-target	While there is no precise information about the number of communities involved in IAS, the quality on involved partners allows for presuming that they are moving to achieve the established targets

⁶ These are BMUs that have simply elected executive committee members. Only about 17 BMUs have developed by-laws, have been trained on BMU operations, and have developed management plans.

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
	Increased number of communities produce charcoal sustainably and legally	Zero communities in the project area with KFS permits under the Charcoal Rules of 2009	At least 100 communities aware of the new charcoal rules At least 10 communities producing and selling charcoal sustainably and legally	The Forest Charcoal Rules were translated from English into Kiswahili – the local, national language, to facilitate understanding of the rules by local communities. Other than the Forest Action Network, 3 other NGOs received funding to promote sustainable charcoal production, through creating awareness on the Charcoal rules, and facilitating the establishment of Charcoal Producing Associations (CPAs). They are, Wildliving Resources, Rumuruti Forest Association and Tree is Life Trust. FAN has facilitated the purchase of charcoal kilns for 5 CPAs. 7 communities affiliated with Rumuruti Forest Association and Wildliving Resources are producing and selling charcoal legally and sustainably.	On-target	The required materials for the awareness work are ready and 3 organizations are working on this task. There is no information available yet about how many communities they have reached, but it can be presumed that they are progressing as expected. In terms of number of communities already selling charcoal legally and sustainably, the achieved progress (70%) is reasonable and it can be expected that the full target will be achieved by end of project
	Increased percentage of families/community groups implementing SLM practices in ASAL target areas	Baseline value of families/groups implementing conservation agriculture, zero-grazing and other SLM practices in ASAL target areas to be determined at project inception for specific geographic areas	20% increase of families/groups implementing SLM practices	7 NGOs/CBOs, namely Sugutan CBO, Segera Jirani na Mazingira CBO, Farming Systems Kenya, Sadhana Forest Kenya, Ewaso Narok Water River Users Association, Kenya National Federation of Farmers, and Tree is Life, are working with both pastoral and agricultural communities to promote adoption of : (i) cultivation of fast-growing, drought-resistance crops; (ii) rain-water harvesting from rooftops, in water pans, and underground; (iii) minimal soil tillage, (iv) promotion of high-value food crops and fruit trees, (v) application of organic fertilizer (vi) planting of indigenous tree seedlings along riverine areas (vii) planting of agro-forestry tree seedlings on private, small-scale farms (viii) terracing on slopes	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
	Increased or diversified investment in SLM at the local level	Types of SLM investments include: production and marketing of dryland products, e.g. livestock and livestock products, honey, dryland crops, e.g. aloe, eco-tourism and handicrafts. Also, water conservation and management, and small-scale eco-farming.	Four investment types for SLM at community level introduced or strengthened	In Laikipia County, communities that have benefited from SLM training, are putting their knowledge and skills to practice, by engaging in activities that integrate income generation. The activities include the following: (i) production, promotion and sale of fireless cookers, (for significant reduction in firewood use), (ii) growing of food crops under conservation agriculture principles, (iii) Establishment of green houses for domestic consumption and sale of food crops (iv) Empowering small-holder farmers to adopt tea-tree; a resilient oil-based tree processed for oil production.	Achieved	These four lines of activities are already in place in Laikipia, as verified by the MTR field visit to this area.
	Increased number of Income Generating Activities (IGAs) for improved livelihoods, as a result of SLM investments.	The baseline for the number of sustainable income generating activities in the target area will be determined once the project begins.	At least 5 new or strengthened sustainable income generating activities	Not reported yet as the contrast between baseline and final status will be done by end of project.	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.
Outcome 3 Local communities implement low carbon technologies that address their energy needs and mitigate climate change	Increase in credit availability for rural families and business that want to adopt RE	Credit for small scale RE investments available from 2 cooperatives but for cooperative members only, e.g. Kathuna Dairy cooperative	At least 2 new financial institutions offering credit for RE including biogas and at least 50 families receiving credit for RE investments	SGP entered into a partnership with The Kenya National Domestic biogas Program (KENDBIP), an EU-funded program, which offered a subsidy of shs 25,000 (USD 300) for construction of each household that applied for installation of a biogas unit. Based on the success of prior lending, Savings and Cooperative Organizations (SACCOs) are willing to provide credit for domestic biogas installation to non-members. Two such examples are Biashara SACCO and Taifa SACCO. SGP continues to explore other lending options among micro-finance institutions.	On-target	The number of financial institutions engaged has been achieved and surpassed. There is no report on number of families receiving credits for them; therefore this indicator cannot be considered as Achieved

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
	Increased number of trained personnel able to build and maintain biogas digesters	No. of trained individuals in project area: 17	An additional 10 people able to construct and provide maintenance to biogas units	10 biogas projects, which will install a total of approximately 650 biogas digesters, have received funding from GEF SGP. Most have used the artisans trained by the Kenya National Domestic Biogas Program (KENDBIP), which organized a formal training program for artisans. However, an additional 5 artisans were trained by the K-Rep Development Agency project, in areas where the KENDBIP was not operational; namely in the South Rift region.	On-target	The narrative implies that the target was achieved, but finally the precise information is not available at MTR. Therefore it cannot be considered as Achieved but most probably the required evidence will be available by end of project.
	Number of small-scale RE project meeting FIT requirements	Zero small-scale RE projects meet FIT requirement	FIT demonstration meets FIT requirements	Mutunguru micro-hydro power CBO in Meru has continued to seek and acquire relevant licenses and documents in an effort to meet the requirements for the Feed-In-Tariff policy. Debt and Equity Funding has been secured. The equity investors acquired a grant from Overseas private Investment Cooperation (OPIC), an American financial investment company, to undertake studies and finance the scale upto 6 MW. Engineers from Fitchner were on site in August 2014 to undertake additional hydrological and geological surveys. Application for the Power Purchase Agreement (PPA) has began, while awaiting the Water Resources Management Authority Permit. The CBO has registered a company that will represent the 1200 members of the community.	On-target	The evidence shows that there is considerable progress towards meeting FIT requirements. It is expected that the process will be completed by end of project.

	Description of Indicator	BaselineLevel	Target level at End of Project	Progress level at MTR (October 2014) based on 2014 PIR	Achievement Rating	Justification for rating
Outcome 4 Communities' capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.	Percentage of grantees that achieve their project outcomes	90%	90%	Not reported yet as the contrast between baseline and final status will be done by end of project.	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.
	Increased public awareness of global environmental issues in target areas	To be determined through a survey to be carried in the first year of project implementation	20% increase over baseline value	Not reported yet as the contrast between baseline and final status will be done by end of project.	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.
	Increased number of grantees applying adaptive management to their grants	50% of grantees apply adaptive management	80% of grantees applying adaptive management	Not reported yet as the contrast between baseline and final status will be done by end of project.	Cannot be assessed at MTR	This indicator is planned for a final evaluation to be made by contrasting end-of-project status against the baseline.

Progress towards achieving Project Objectives

The MTR was not able to assess the degree of the Kenya SGP to achieve its Project Objectives because the Project did not have the aggregated information necessary to do that task. For that same reason there is no Project Report on the GEF Tracking Tools from Kenya SGP.

The subjective perception of the reviewer, based on experience and feelings and not on hard evidence, is that the SGP will probably achieve its Project Objectives. What is not clear is whether or not it will be able to provide hard evidence of this, despite recent efforts in this direction.

The basic reason is that the M&E System is not sufficiently developed to be able to aggregate the information coming from the individual grant reports to generate the aggregated figures established in the Project Objective indicators. This issue will be addressed in detail in the M&E section.

Remaining barriers to achieving the project objective

Based on the information from the table in the previous section it is fairly evident that the project is reasonably on-target to achieve most of the agreed end-of-project outcome targets and its Project objective target by the end of the project next June 2015.

As remarked in the previous sections it is not clear whether or not the M&E system will be able to provide the evidence required to demonstrate such achievements. While the Project is already implementing actions to improve the M&E issue it is important to stay focused on it to reach a good situation at the end of the Project.

Summarizing, the MTR did not identify significant remaining barriers constraining the achievement of the project results and objectives at the end of the current phase.

4.3 Project Implementation and Adaptive Management

Management Arrangements

During this OP5, and with the SGP operating as an “upgrading” program, management arrangements and procedures worked well, according to all interviewed parties.

The coordination with the UNDP CO has been good; the UNDP Program Officer is a member of the NSC and participates in most of the meetings and tasks and maintains a good idea of project activities, potential, problems, etc.

The Kenya SGP is well recognized and respected within the UNDP CO, and there is a good working relationship with different units and projects. This situation is helped by the fact that the SGP National Coordination team is hosted by the UNDP CO.

The NSC meets regularly and contributes to the overall management of the SGP by participating in both the selection of proposals and, less intensively, in some of the monitoring/follow-up visits to the grant projects. The NSC also hold sessions to discuss issues related to enhanced positioning, building relations with relevant stakeholders, knowledge management, and establishing links with County governments.

An aspect to be highlighted is the intelligent use made of the strategic projects by the Kenya SGP. The SGP has eight strategic projects covering issues and areas larger than the regular grants to CBOs and implemented by different well-known and reputable organizations. These strategic projects are instrumental in implementing complementary activities such as micro-lending, networking among grantee organizations, certification, training, policy analysis and development and other. These activities provide the larger scale activities required to develop a larger context and framework for the CBO-level activities. This is a very relevant and useful component of the SGP Kenya and an aspect to be considered by other SGPs as a practice with potential to increase the potential impact of SGP interventions.

Despite the good and harmonious operation of the SGP Kenya as an Upgrading Country Program during OP5, a basic vacuum remains in terms of strategic management and decision making about the SGP itself. During the previous Operational Phases, as a regular SGP participant in the SGP Global Program, the Kenya SGP reported directly to the SGP CPMT (Central Program Management Team) at the SGP central office at UNDP HQ in New York.

With the “upgrading”, this reporting line was replaced by a coordination line and three simultaneous reporting lines were established in the PRODOC to the National Steering Committee, the UNDP Resident Representative and the CPMT in central SGP at the UNDP HQ in New York. As long as these three structures are in agreements there are no problems, but it is not well defined what to do if they aren’t. In other words, it is necessary to define who has the decision-making authority and what is the decision-making process to decide about the strategic orientation of the SGP Country Program (approach, priority areas, program scope and reach, NSC composition, NC staffing, etc.) if the case arises in which different supervisors (UNDP CO, NSC and/or UNDP-GTA) have non-negotiable differences about these aspects.

Work planning

Work planning does not present major problems. The SGP develops and follows an Annual Workplan that is used to develop monthly workplans.

All approved project proposals are based on the SGP logframe results and indicators, and there is a clear and visible connection between the project logframe and the proposals.

The MTR finds that work planning is well conducted and there are no MTR concerns in this regard.

Finance and co-finance

The project management costs have remained at similar levels to previous OPs. There are studies indicating that the efficiency of the SGP is comparable or better than the average of GEF projects; therefore it can be said that this good situation is maintained. No comments were recorded regarding the costs of project coordination by the authorities or other organizations involved in the project.

A point raised by the Kenya GEF Focal Point was focused on the need to have an adequate registration of the funds allocated to the Kenya SGP in the Kenya national accounts. The point was about proper registration considering that these resources are allocated to Kenya and they need to be registered and reflected in the national accounts; the point was not about handling or managing the funds.

Regarding co-financing, the Kenya SGP requires at least a level of co-financing equal to the amount received from the GEF (1: 1). This co-financing can be made in cash or in kind, at the discretion of

the applicant organization. There are weaknesses about reporting on the effective disbursement of these co-financing commitments (both in cash and kind). Therefore it is difficult to demonstrate the achievement of the co-financing level or its eventual surpassing.

Tracking co-financing requires additional efforts. Every grant and strategic project has co-financing pledges included, as well as the co-financing presented in the PRODOC. There is a need to intensify the efforts to track the fulfillment of these different co-financing sources in order to provide evidence that the SGP co-financing commitments are satisfied. The information and partial reports available at MTR time do not allow completing this task satisfactorily, as shown in the table below.

#	Sources of Co-Funding	Name of Co-Financier (source)	Type of Co-financing	Amount at design	Disbursed until June 2014	Notes
1	National Government		Cash			Not defined yet
2	National Government	Kenya National Domestic Biogas Program	In Kind	1,400,000.-	n.a.	Not accounted yet
3	GEF Agency	UNDP	Cash	1,000,000.	n.a.	TRAC Funds & other donors expected
4	GEF Agency	UNDP	In Kind	200,000	n.a.	Not accounted yet
5	CSO	Grantees, private sector, other multilateral and bilateral agencies	Cash and In Kind	2,900,000.-	n.a.	Not accounted yet
	TOTAL			5,500,000.-	n.a.	Cannot be assessed by MTR

The table above was taken from the approved PRODOC and it shows at first a very basic level of co-financing planning. There is a small number of categories and not well defined (did not differentiate between cash and in-kind contributions). The lack of information at MTR time reflects that co-financing tracking is not yet a key priority for the SGP in Kenya.

It is important to highlight that many contributions have not been fully accounted for yet because projects are still under implementation. Therefore, it is not too late for the Kenya SGP to collect and aggregate the co-financing information if a fast and intensive effort is made. To be able to demonstrate that the co-financing levels pledged at project design were actually achieved will be a strong indicator of management effectiveness at end-of-project evaluation.

Moreover, as Kenya moves towards a better overall economic situation as a country (as demonstrated by the different global indicators and the current rebasing process⁷) co-financing criteria may become more relevant when selecting and assessing project proposals; therefore, better co-financing tracking will become critical for the Kenya SGP.

One issue to highlight is that, in all visited cases, the products resulting from the investments made by the SGP grants are visible (construction, materials, equipment, works of various kinds, home gardens, plantations, etc.) depending on the type of funded project.

⁷ Kenya is completing a detailed process to recalculate its GDP base. As a consequence of this calculation the GDP base will increase and most probably Kenya will become part of the WB middle-income countries

Project-level monitoring and evaluation systems

The Kenya SGP Monitoring and evaluation system is the weakest component identified by the MTR. The main problem is that the system is not complete yet. The most important component, gathering information from the projects is in place. Probably some aspects can be improved, particularly those related with the fulfillment of the co-financing commitments of the grantees.

There is a need to improve the components related with organizing and aggregating the collected information in order to provide evidence about the achievement of the different PRODOC indicators as well as of the co-financing implementation by all organizations (local, governmental and international) based on their pledges at the planning stages.

The complete implementation of the M&E system would have provided the information required to assess progress of more Outcome indicators at MTR time, but also along the project implementation period. Probably, this better information would have alerted the SGP staff about the constraints of many of the indicators mentioned in the Strategic Results section of this report, for which there is no possibility of assessment until the end of the Project. Moreover, a fully operational M&E system would have resulted in fulfillment of the requirement to keep updated reports to the GEF tracking Tools.

Two organizations were given approval for funding to conduct capacity building of the SGP grantees as well as assist in monitoring and collating information of outputs and outcomes. Millennium Community Development Initiatives (MCDI) and Nature Kenya (NK), two well-established NGOs, are working with grantees in Mt. Kenya/Laikipia regions and Coast region respectively. However, they received their 1st disbursement only in August 2014, therefore at the MTR time there was no available results yet.

Given the level of progress of the different grants, and the fact that most of them are not closed yet given their variable timeframe depending on when they were allocated (2012, 2013 or 2014), there is enough time to complete the development of the M&E system and to generate the required information for the end-of-project evaluation next year.

The Project M&E is the issue of major concern for the MTR. It is not affecting the capacity of the Kenya SGP to operate or to achieve results and it is in process of being solved, but definitively there is a need to reach a better status about M&E at the end of the Project

Stakeholder engagement

The SGP in Kenya has formed well established and long-standing relationships with national and community level initiatives and partners (public and private sector) and has continued seeking synergies during OP5.

Local community groups located in the three prioritized regions are the most important SGP partners, including indigenous organizations.

Despite the absence of gender indicators in the SGP Results Framework, during the MTR visits and interviews it became evident that gender equity is an aspect that runs effectively across all project activities.

Based on the evidence provided by the field visits and interviews, it becomes clear that there is a close communication between the National Coordination and its partners at different levels, both local CBOs and NGOs and organizations running the strategic projects.

The annual meetings among grant projects implementing organizations is a good practice to build connections and links among them and to have them exchanging information and experiences. Similar events are also required among the strategic projects as these meetings seem to have been much less frequent than the first ones.

All these mechanisms contributed to develop an active and fluid relationship between the project and the local organizations providing a strong base for a better engagement of the stakeholders in all project activities.

Summarizing, there are no significant MTR concerns regarding stakeholder engagement in the Kenya SGP Country Program.

Reporting

Reporting works reasonably well in general, particularly regarding the reporting from the National Coordination (NC) to the National Steering Committee. In addition to the regular NSC meetings usually attended by all representatives, there is a significant flow of information within the system through email and other digital means.

NSC members feel well informed and updated about project progress and well consulted by the National Coordination regarding critical issues. At the same time, the National Coordination perception is that the NSC provides good support to the project and a good space to address project problems, analyze new ideas, etc. The participation of some NSC members in grant monitoring and follow-up activities in the field is a good practice adopted by the Kenya SGP.

GEF reporting is well performed in general. During OP5, PIR documents for 2013 were completed on schedule and the 2014 PIR was completed before the implementation of this MTR.

There is a request made by the GEF Operational Focal Point about the need of capturing SGP Project information by the Kenya National Treasury, considering that the SGP funding comes from the GEF STAR Allocation to the country. The MTR considers that this is a reasonable request and that the adequate mechanism for reporting and capturing information should be agreed internally between the parties (KNT, OFP, UNDP, UNOPS, SGP).

GEF Tracking Tools

As mentioned before, the SGP Kenya Country Program has not made yet its report to the GEF Tracking Tools. It is expected that this situation will be addressed and solved before the end of the project next June 2015.

Summarizing, there are no major MTR concerns regarding reporting with the Kenya SGP Country Program besides the mentioned need of reporting on the GEF Tracking Tools.

Communications

As presented above in the section on stakeholder engagement, SGP communications with stakeholders and partners are very good. No other comments are needed about this.

In terms of public communications the situation is less well developed, mainly due to the lack of active Website (www.gefsgp-undp.or.ke). There are problems with the hosting arrangement and the provider of the service. Therefore the site is outdated and the MTR reviewer was not able to access it at all because according to the browser the UNDPO server could not be accessed. The SGP is active in solving the problems.

The Kenya SGP tries to compensate for this absence by making use of other communication mechanisms through its partners and their dissemination mechanisms in the different regions. This approach seems to be working well in terms of reception of proposals for the different annual calls, as Kenya SGP is getting plenty of them every time.

Kenya SGP systematizes its experiences regularly through meetings and exchanges. Recently a consultant with previous experience with SGP Kenya has been requested by the SGP team to collate data on the SGP projects, and make an analysis of experiences and impact, that will be used for developing a SGP booklet. This is another step in the right direction, but still the MTR perception is that much more needs to be done to fully convert the rich SGP experience into publications, videos, radio programs or other media. It is expected that in the remaining year of the project these activities will continue and, even better, increase.

This richness of experience and lessons is one of the greatest legacies of the Kenya SGP (in addition to its concrete field results) and the fact that they are not easily accessible to the public is a weakness to highlight and address.

Obviously it would be significantly unrealistic to pretend to have this task of extracting, organizing and disseminating lessons learned to be carried out by the SGP National Coordination team. As explained before, this is a small two-person team already overcommitted by the fundamental tasks required to run the basic operations of the Project. Therefore the way that is followed with the hiring of experienced consultants or assigning resources for competitive grants aimed to organizations doing this type of work or bringing volunteers for these tasks, are appropriate ways for the SGP to address this aspect.

4.4 Sustainability

Financial risks to sustainability

The financial risks to the sustainability of the actions funded in OP5 do not seem important. In other words, the invested resources are there in the hands of the local organizations and well incorporated into their actions. Moreover, most of the actions are aimed to really basic aspects of the wellbeing of the local communities (energy, light, fuel, cash income and similar); therefore, the recipients and beneficiaries of these activities are the ones with the highest interest in keeping them active at the individual/family level.

In the case of activities at a larger scale (community), what was seen in the field is that communities are already taking care of the maintenance of the operation of the goods or equipment they have simply by charging themselves for the use. This approach is well illustrated by the case of the photovoltaic / wind energy generation facilities that are maintained with the payment made

by the villagers to recharge their mobile phones. Others sell services (as the boarding schools) or goods produced in the common land, such as the surplus vegetables produced with drip irrigation, or artisanal products for domestic use.

Based on the presented aspects the MTR rates the financial sustainability as Likely.

Socio-economic risks to sustainability

Socio-economic risks are not significant because of the way in which SGP is implemented. SGP activities are not decided by the SGP National Coordination; they are decided, designed, justified and implemented by the local groups committing their own resources to the activities they propose.

As a consequence, what is perceived in the field visits and interviews with the local groups is that they are entirely committed to the success and continuity of the undertaken efforts.

Similarly, the engagement of national organizations, NGOs, local governments and other stakeholders in the field projects also contribute to create an enabling environment protecting the initiatives from the usual socio-economic problems.

Based on the presented aspects the MTR rates the socio-economic sustainability as Likely.

Institutional framework and governance risks to sustainability

The national institutional framework in Kenya seems to be shifting to a clear commitment with the environment and participatory democracy mechanisms. The new Constitution of Kenya promulgated in August 2010 is revolutionary in matters pertaining to natural resources management and the environment. These have been integrated from the Preamble - where respect for the environment as a heritage to be sustained for the benefit of future generations and the commitment to nurture and protect the well-being of communities are spelt out - to the Schedules. For example, Chapter 4 on the Bill of Rights stipulates that every person has the right to a clean and healthy environment; Chapter 5 on Land and the Environment establishes that equitable access to land, security of land rights, sustainable and productive management of land resources, and sound conservation and protection of ecologically sensitive areas are fundamental principles. The new Constitution also addresses devolution of power to the local level, which will create both opportunities and challenges for natural resources management. The counties will be the new centers of decision-making enabling communities to participate actively in their own development. County governments will have executive roles and will manage devolved funds. Implementing Chapter 11 of the Constitution on devolution will take several years because it requires developing and adopting a number of laws. SGP will play a supportive role in helping strengthen community-based organizations and other local stakeholders in preparation for their participation in county governance for environmental sustainability.

Moreover, supporting the implementation mechanisms of the new Constitution on issues related to GEF goals is a basic element of the rationales for the proposal for SGP Kenya for OP5; therefore, this alignment ensures, at least until and if there are changes policy, the institutional sustainability of SGP actions.

Because of this situation the MTR rating of sustainability in this aspect is Likely.

Environmental risks to sustainability

The most evident risk to the environmental sustainability of SGP actions is a long-term one: climate change. This is a relevant risk because of its scale and because it has the potential to affect the core component of the SGP (and GEF) approach: biodiversity conservation in protected areas, biological corridors and buffer zones. Everybody expects that the work in environmental connectivity carried out by GEF, SGP and many other agencies and organizations will be enough to reduce the risks that climate change poses for biodiversity conservation, but nobody knows for sure. Therefore, and despite the uncertainty, doing what is being done is still the best no-regrets bet.

Other short-term risks as deforestation, forest fires, overgrazing, overfishing, environmental degradation (soil, water, etc.) can be significant in very specific parts of the country or to some very specific SGP-supported projects, but they do not imply a generalized risk for the entire set of project activities.

Based on the presented aspects the MTR rates the environmental sustainability as Likely.

5. CONCLUSIONS AND RECOMMENDATIONS

5.1 Conclusions

13. The current project full size corresponding to the 5th Operational Phase of the GEF SGP is relevant to the GEF and country objectives with which it must be consistent.
14. The progress made until the MTR time shows that the project is progressing towards its planned results in a satisfactory way in general. Calls for proposals were made as planned, grants were allocated and grant implementation is progressing well. A total of 57 grants have already been allocated mostly to CBOs. Several strategic projects (eight in total) were allocated to address different issues at scales larger than CBO grants (micro-lending, networking, policy influencing, etc.) and they are successfully fulfilling their expected roles
15. The National Steering Committee works satisfactorily; they meet frequently and perform what was expected from them (project strategic orientation, selection of proposals for grants, etc.) very well. Members of the NSC participate when possible in field monitoring and supervision visits.
16. The relationship with the UNDP Country Office is good; the program officer is updated about the progress of the project and participates in project activities
17. The project has operated within the historical average efficiency of SGP projects. Some previous studies have shown that this efficiency is good in relation to the general average of GEF funded projects.
18. The monitoring and evaluation system works properly in the components in operation. Unfortunately the M&E system is still incomplete making it difficult to track both Outcome and Project indicators as agreed on the PRODOC. As a consequence, reports to the GEF Tracking Tools were not yet available and some of the evidence needed to fulfill the MTR requirements was not available. The Kenya SGP is already making efforts to address this problem.
19. Several Outcome indicators were not assessed by the MTR because of the way they were defined in the PRODOC.
20. Monitoring of co-financing commitments is weak and does not provide adequate evidence to assess the extent in which these commitments are met. At the same time, the resources and capacities contributed by the communities involved in the projects become invisible instead of being an empowering and visible element.
21. The accumulation of tasks arising from the new status of Kenya SGP as an upgrading SGP is outpacing the availability of time and effort of the National Coordination team creating a need to identify mechanisms to strengthen this team. There are efforts in this direction through the hiring of experts, the use of strategic projects to bring relevant organizations and the request of UN Volunteers to strengthen the NC team. All these efforts are adequate and they should be maintained.
22. Summarizing, there are no major MTR concerns about the Kenya Country Program in GEF OP5. There are some weaknesses already mentioned, but the remaining time until the completion of OP5 provides enough space to overcome them and achieve a fully satisfactory completion of the current phase. The major concern is about the M&E system but it is expected that the recently undertaken activities will address the issue satisfactorily.

23. There are a few key aspects to be addressed and solved by the NSC and the National Coordination in order to prepare a new proposal for GEF OP6. Two of these aspects are: a) to develop an agreement about which one of the two criteria (impact or fairness) will be the one guiding the SGP strategy in the future. b) to define how the upgrading Kenya SGP is going to make the best possible use of the strategic advantages of being an upgrading program. Both aspects complement each other and need to be addressed jointly.
24. The varied and numerous strengths and opportunities of the project and its innovative potential provide a strong basis for the development of an attractive proposal for GEF OP6 aiming to continue and expand the SGP actions and impacts. Harnessing these opportunities and overcoming the weaknesses are aspects that must be considered when preparing the proposal for the new phase.

Recommendations

10. To complete the current phase of the SGP Kenya maintaining the current ways operation that has proven effective and efficient to achieve the proposed results. Overall the SGP Kenya is implementing this project in a very proper manner and so the first recommendation is to maintain the good work until the end of OP5.
11. To complete the development of the SGP Monitoring and Evaluation system to be able to generate the necessary information to provide evidence about the achievement of Project and Outcome indicators before the end of OP5. The efforts already in place in this regard should not be left unattended.
12. To complete the report to the different GEF Tracking Tools before the end of OP5.
13. To improve the tracking of the co-financing pledges by different organizations and the grantees defined in the SGP PRODOC and the Grant agreements. This tracking should provide evidence to demonstrate the fulfillment of the commitments made at Project and grants signatures before the end of OP5.
14. Within the available time period before the end of the project to continue and, if possible to increase, the activities aimed to make an analysis of the SGP experience during OP5 and the pertinent extraction and dissemination of lessons learned.
15. To increase the exchange of experiences between the SGP strategic projects and between the organizations implementing these projects.
16. To strengthen the SGP National Coordination team through some outsourcing procedures (volunteers, consultants, other) to obtain the necessary additional efforts to fulfill these recommendations.
17. To start interacting with the UNDP-GEF Global Technical Advisor for SGP Upgrading Country Programs to find alternatives to improve the situation of multiple and simultaneous reporting lines that currently frame the Kenya SGP operation and that may lead to conflicting views about the SGP eventually affecting its operations and performance.
18. To make all efforts to achieve a project proposal for the next operational phase of the GEF that maximizes the chances of being incorporated into the national GEF portfolio under the GEF STAR allocation.

November 28, 2014

ANNEXES

ANNEX 1. TERMS OF REFERENCE

Terms of Reference

Evaluations of the GEF-financed Full-Size Projects for the Fifth Phase of the GEF Small Grants Program in Bolivia, Costa Rica, Ecuador, Kenya and México

The five projects listed here were approved in GEF OP5 as upgrading country Program projects financed by the GEF. Upgrading SGP Country Program projects are products of the policy approved by GEF Council at the November Council of 2008. Under this policy, countries were encouraged to finance their SGP Country Programs with a higher amount from their STAR allocations. The average GEF financing per upgrading country Program is USD 4.6 million.

Upgrading Country Programs follow SGP Operational Guidelines, in particular in regard to the composition of the National Steering Committee and the role of the National Coordinator. The four-year standard Country Program Strategies have been substituted by UNDP-GEF Project Documents in which a logical framework delineates the expected outputs and outcomes to be produced as a consequence of a focused grant making scheme. In the case of the five UCPs listed here, UNOPS remains the executing agency.

The evaluations of the five projects consist of one Terminal Evaluation (Mexico) and four Midterm Reviews (Bolivia, Costa Rica, Ecuador and Kenya). UNDP-GEF supplies standard TORs for Terminal Evaluations (page 2-13) and Midterm Reviews (page 14-25), which can be found below. The project evaluations will require assessment, against the outcomes and outputs of each project, of the impacts achieved or in progress, identification of lessons learned, identification of bottlenecks and obstacles to further implementation and development of the Country Programs for the future. The evaluator will produce an individual written assessment report for each project, as well as an overall synthetic, comparative report across all projects which will identify trends and patterns in design and implementation as input to SGP Program analysis overall.

UNDP-GEF Midterm Review Terms of Reference Template

Note: This template MTR ToR fits the formatting requirements of the UNDP Procurement website.

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full or medium*-sized project titled *Project Title* (PIMS#) implemented through the *Executing Agency*, which is to be undertaken in *year*. The project started on the *project document signature date* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated following the completion of the second Annual Project Review/ Project Implementation Report (APR/PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*.

2. PROJECT BACKGROUND INFORMATION

The project was designed to: *(provide a brief introduction to the project including project goal, objective and key outcomes, its location, timeframe the justification for the project, total budget and planned co-financing. Briefly describe the institutional arrangements of the project and any other relevant partners and stakeholders).*

3. OBJECTIVES OF THIS MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (ProDoc), and assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve results. The MTR will also review the project's strategy, its risks to sustainability and the project's preparation of a strategy for when UNDP-GEF project support ends (if they have one and if they don't, then assist them in preparing one at the midterm).

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including APR/PIRs, project budget revisions, lesson learned reports, other project files, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach⁸ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.⁹ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list)*; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to *(location)*, including the following project sites *(list)*.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

⁸ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

⁹ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

5. DETAILED SCOPE OF MTR

The MTR team will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for requirements on ratings. No overall rating is required.

5.1 Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the project document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

5.2 Project Results

Progress Towards Results:

- Review the logframe indicators against progress made towards the end-of-project targets using the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "High risk of not being achieved" (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

5.3 Project Implementation and Adaptive Management

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been solved.

- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project document logical/results framework as a management tool and review any changes made to it since project start. Ensure any revisions meet UNDP-GEF requirements and assess the impact of the revised approach on project management.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allowed for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Are project teams meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Monitoring Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and long-term investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express to the public the project progress and intended impact (is there a project website or a weekly e-bulletin, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the project Implementing Partners and recommend areas for improvement.
- Review the quality of support provided by UNDP and recommend areas for improvement.

5.4 Long-term Sustainability

- Validate whether the risks identified in the Project Document, APR/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why. Give particular attention to critical risks.
- Assess overall risk management to sustainability factors of the project in terms of risks to motivations, capacity, and resources. Does the project have sustainability benchmarks built into the project cycle?
- *Financial Sustainability*: What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?
- *Socio-political Sustainability*: Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned are being documented by the project team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?
- *Institutional and Governance Sustainability*: Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.
- *Environmental Sustainability*: Are there any environmental risks that may jeopardize sustenance of project outcomes? The MTR should assess whether certain activities will pose a threat to the sustainability of the project outcomes.

6. CONCLUSIONS & RECOMMENDATIONS

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for guidance on a recommendation table.

The MTR team will make recommendations by outcomes, as well as on Project Implementation and on Long-Term Sustainability/ Risk Mitigation strategy; they will make at least 5 key recommendations, and no more than 15 recommendations total.

7. TIMEFRAME

The total duration of the MTR will be (# of weeks) starting (date) according to the tentative MTR timeframe as follows:

DATE	ACTIVITY
(dates)	Desk review - 2 days
(date)	MTR Inception Workshop - 1 day
(dates)	Validation of MTR Inception Report - 1 day
(dates)	Stakeholder meetings, interviews, field visits - 6-8 days, depending on number and distances
(dates)	Mission wrap-up & presentation of initial findings 3 days
(dates)	Preparing draft report 5 days
(dates)	Incorporating audit trail on draft report/Finalization of final report (off-site) 2

	<i>days</i>
<i>(dates)</i>	Preparation & Issue of Management Response
<i>(dates)</i>	Comments/ Feedback on the Management Response
<i>(date)</i>	Expected date of full MTR completion

Options for field trips should be provided in the Inception Report.

8. MIDTERM REVIEW DELIVERABLES

- **MTR Inception Report:** MTR team clarifies objectives and methods of Midterm Review
 - Timing: No later than 2 weeks before the MTR mission
 - Responsibilities: MTR team submits to the Commissioning Unit
- **Presentation:** Initial Findings
 - Timing: End of MTR mission
 - Responsibilities: MTR Team presents to project management and the Commissioning Unit
- **Draft Final Report:** Full report (as template in Annex B) with annexes
 - Timing: Within 3 weeks of the MTR mission
 - Responsibilities: Sent to the Commissioning Unit, reviewed by RTA, PCU, GEF OFP
- **Final Report:** Revised report with audit trail detailing how all received comment have (and have not) been addressed in the final MTR report
 - Timing: Within 1 week of receiving UNDP comments on draft
 - Responsibilities: Sent to the Commissioning Unit
- **Comments on the Management Response:** Review the Management Response to the Final MTR report and provide comments
 - Timing: Within 1 week of receiving the Management Response
 - Responsibilities: Sent to the Commissioning Unit

9. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP-GEF GLECRDS under the responsibility of the UNDP-GEF global manager for the SGP Upgrading Country Programs.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

10. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *(fill in GEF Focal Area)*;
- Experience working with the GEF or GEF-evaluations;
- Experience working in *(region of project)*;
- Work experience in relevant technical areas for at least **10 years**;

- Demonstrated understanding of issues related to gender and *(fill in GEF Focal Area)*; experience in gender sensitive evaluation and analysis.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset.

11. PAYMENT MODALITIES AND SPECIFICATIONS

Upon approval of final version of the Midterm Review report by the Commissioning Unit and the UNDP-GEF RTA/team, 80% of the payment will be disbursed. Upon receipt of comments/ feedback on the Management Response, the remaining 20% of the payment will be disbursed.

ANNEX 2. EVALUATIVE MATRIX

Evaluation question	Indicators	Sources	Methodology *
PROJECT STRATEGY: How appropriate is the strategy and project design?			
<ul style="list-style-type: none"> How appropriate was the design of the project? 	<ul style="list-style-type: none"> Correspondence between the problems addressed by the project and underlying assumptions 	<ul style="list-style-type: none"> Project Documents SGP Staff 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Correspondence between project strategy and most effective route to achieving goals 	<ul style="list-style-type: none"> Project Documents SGP Staff 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Evidence of incorporating lessons from other projects in the design 	<ul style="list-style-type: none"> Project Documents SGP Staff 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Evidence of project alignment with national goals and priorities 	<ul style="list-style-type: none"> UNDP Documents National Planning Documents Project Documents 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Evidence of ownership of the project by national organizations 	<ul style="list-style-type: none"> Governmental staff 	<ul style="list-style-type: none"> I
	<ul style="list-style-type: none"> Evidence of incorporation of perspectives of local, partners and other stakeholders in the project design 	<ul style="list-style-type: none"> Local stakeholders Governmental staff Representatives of organizations 	<ul style="list-style-type: none"> I
<ul style="list-style-type: none"> How appropriate is the Project results framework / logframe? 	<ul style="list-style-type: none"> Adequacy of the Project Goals and Indicators (SMART) to its strategy 	<ul style="list-style-type: none"> PRODOC & Reports SGP Staff 	<ul style="list-style-type: none"> DR + I Evaluator's criteria
	<ul style="list-style-type: none"> Degree of clarity, practicality and feasibility of the Project objectives and results to the situation and time available 	<ul style="list-style-type: none"> PRODOC & Reports 	<ul style="list-style-type: none"> DR Evaluator's criteria
	<ul style="list-style-type: none"> Evidence of effects not considered to be included in the results framework and monitored regularly 	<ul style="list-style-type: none"> PRODOC & Reports Local stakeholders Governmental staff Representatives of organizations 	<ul style="list-style-type: none"> DR + I + DO Evaluator's criteria
	<ul style="list-style-type: none"> Extent to which aspects of gender equity and other of similar amplitude in terms of development are effectively monitored. 	<ul style="list-style-type: none"> PRODOC & Reports SGP Staff 	<ul style="list-style-type: none"> DR + I Evaluator's criteria

PROJECT RESULTS: What is the degree of project progress towards expected results?			
<ul style="list-style-type: none"> ¿What are the achievements of the project until MTR? 	<ul style="list-style-type: none"> Proposed Objectives and Results 	<ul style="list-style-type: none"> PRODOC 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Achieved Objectives and Results 	<ul style="list-style-type: none"> PRODOC & Reports Partners and participants Field Visits 	<ul style="list-style-type: none"> DR + I + DO
	<ul style="list-style-type: none"> Degree of correspondence between progress and proposed in the GEF Tracking Tools for the Project Thematic area 	<ul style="list-style-type: none"> PRODOC & Reports GEF Tracking Tools SGP Staff 	<ul style="list-style-type: none"> DR + I + DO Evaluator's criteria
	<ul style="list-style-type: none"> List of topics and areas in which the project can expand the benefits in terms of achievements 	<ul style="list-style-type: none"> PRODOC & Reports Local stakeholders Governmental staff Representatives of organizations 	<ul style="list-style-type: none"> DR + I + DO Evaluator's criteria
PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT: How appropriate was the implementation of the project so far and to what extent was necessary to implement adaptive management?			
<ul style="list-style-type: none"> How appropriate is operational planning? 	<ul style="list-style-type: none"> List of startup and project implementation delays and measures to address them 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Extent to which operational planning is guided by results 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Degree of use of the results matrix and adjustments made to it since the beginning of the Project 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
<ul style="list-style-type: none"> How adequate has been finance and co-finance management? 	<ul style="list-style-type: none"> Efficiency in the management of project financial resources 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Changes in the allocation of project funds and relevance and degree of ownership 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Degree of ownership of the financial controls of the project (including planning and reporting) and its flow of funds (to and from the project) 	<ul style="list-style-type: none"> SGP Project Information 	<ul style="list-style-type: none"> DR + I
	<ul style="list-style-type: none"> Degree to which the co-financing is provided and its level of strategic use 	<ul style="list-style-type: none"> SGP Project Information Co-financing information 	<ul style="list-style-type: none"> DR + I

<ul style="list-style-type: none"> • How adequate is the monitoring of the project? 	<ul style="list-style-type: none"> • Monitoring system in place 	<ul style="list-style-type: none"> • SGP Project Information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Participation and inclusion of partners in monitoring 	<ul style="list-style-type: none"> • SGP Project Information • Partners information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Alignment with other (national GEF) systems 	<ul style="list-style-type: none"> • SGP Project Information • Other systems information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Degree of adequacy of funding for monitoring 	<ul style="list-style-type: none"> • SGP Project Information 	<ul style="list-style-type: none"> • DR + I
<ul style="list-style-type: none"> • How suitable are the reports of the project? 	<ul style="list-style-type: none"> • Level of Reporting of Project adjustments to the Project Committee 	<ul style="list-style-type: none"> • SGP Project Information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Level of documentation and dissemination of project settings to the partners. 	<ul style="list-style-type: none"> • SGP Project Information • Partners information 	<ul style="list-style-type: none"> • DR + I
<ul style="list-style-type: none"> • How suitable are project communications? 	<ul style="list-style-type: none"> • Degree of regularity, effectiveness and inclusiveness of Project communication efforts 	<ul style="list-style-type: none"> • SGP Project Information • Partners information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Adequacy of public communications of Project activities and achievements 	<ul style="list-style-type: none"> • SGP Project Information • Partners information 	<ul style="list-style-type: none"> • DR + I + DO
<ul style="list-style-type: none"> • How suitable are the management arrangements of the project? 	<ul style="list-style-type: none"> • Overall effectiveness of the project management (responsibilities, lines of supervision, decision making) 	<ul style="list-style-type: none"> • SGP Project Information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Quality of project implementation 	<ul style="list-style-type: none"> • SGP Project Information 	<ul style="list-style-type: none"> • DR + I
	<ul style="list-style-type: none"> • Quality of support provided by UNDP 	<ul style="list-style-type: none"> • SGP Project Information • UNDP information 	<ul style="list-style-type: none"> • DR + I

LONG-TERM SUSTAINABILITY: To what extent there are financial, institutional, socio-economic and / or environmental risks to the project results long term sustainability?			
<ul style="list-style-type: none"> • How suitable are the project's strategies to address the different types of risks to the sustainability of project results? 	<ul style="list-style-type: none"> • Degree of relevance of the risks identified in the PRODOC, APR / PIR and ATLAS. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO
	<ul style="list-style-type: none"> • General Degree of risk factors of sustainability in terms of motivation, capacity and resources. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO
	<ul style="list-style-type: none"> • List, relevance and existence and implementation of prevention and mitigation of financial sustainability. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO
	<ul style="list-style-type: none"> • List, relevance and existence and implementation of prevention and mitigation of socio-political sustainability. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO
	<ul style="list-style-type: none"> • List, relevance and existence and implementation of prevention and mitigation of institutional and / or governance sustainability. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO
	<ul style="list-style-type: none"> • List, relevance and existence and implementation of prevention and mitigation of environmental sustainability. 	<ul style="list-style-type: none"> • SGP Project Information • Partners and participants perceptions • Field Visits 	<ul style="list-style-type: none"> • DR + I + DO

* Methodology:

DR. Documents Review

I. Interviews

DO. Direct Observation

ANNEX 3. MTR RATINGS AND RATINGS SCALE

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The Project strategy is sound. The Project Logical Framework is well constructed in logic terms but it has several shortcomings and problems with the chosen indicators. Progress about one third of the indicators could not be assessed at MTR time-
Progress Towards Results	Objective Achievement Rating: 5 Satisfactory	The Achievement Rating is based on the Achievement of individual results below. In turn, these are based on the Summary Table of Progress Towards Results (previous section) and the fully detailed table in section 4.2 Progress Towards Results. The MTR has not identified areas of concern or remaining barriers to achieving the results.
	Outcome 1 <i>Community-based initiatives mainstream biodiversity conservation into forest and marine ecosystems management, and help maintain key wildlife corridors</i> Achievement Rating: 5 Satisfactory	According to the above Tables, there are six indicators for this Outcome. Four of them are on-target, one can be reasonably presumed to be on-target and there is one that cannot be assessed given that because of the nature of the indicator it should be assessed at the end of the project.
	Outcome 2 <i>Flow of forest and agro-ecosystem services maintained for long-term sustainability of communities' livelihoods</i> Achievement Rating: 5 Satisfactory	According to the above Tables, there are five indicators for this Outcome. One of them is already achieved, another is on-target and a third can be presumed to be on-target. Two indicators cannot be assessed at MTR because they are designed to be evaluated at the end of the project.
	Outcome 3 <i>Local communities implement low carbon technologies that address their energy needs and mitigate climate change</i> Achievement Rating: 5 Satisfactory	All three indicators are assessed as being on-target.
	Outcome 4 <i>Communities' capacities in GEF Focal Areas strengthened and awareness and knowledge management enhanced.</i> Achievement Rating: 5 Satisfactory	This is the most difficult Outcome to rate because none of the three indicators was assessed by the MTR. The reason is, again, the nature of indicator agreed on the PRODOC. Considering the nature of the indicator and what was seen in the field and collected from the interviews, the subjective assessment of the MTR is that they will be achieved by the end of the project.
Project Implementation & Adaptive Management	5 Satisfactory	According to the results shown in Section 4.3 (Management Arrangements) regarding Work planning, Finance, Stakeholder engagement, Reporting and Communications, all these areas are managed adequately and the MTR did not identify any major concern about them. The M&E system and the co-financing tracking are the major weaknesses identified by the MTR. They do not affect the operational capacity of the SGP but they are not providing the required evidence to demonstrate the SGP achievements. If taken alone, both M&E System and co-financing tracking would be rated just as Moderately satisfactory

Measure	MTR Rating	Achievement Description
Sustainability	4 Likely	According to the results shown in Section 4.4 Sustainability, the MTR did not identify any major concern about them and the four different sustainability areas (financial, socioeconomic, institutional and governance, and environmental) were assessed as Likely,

MTR RATING SCALES

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ANNEX 4. MTR MISSION ITINERARY

The field visit was conducted between October 4 and 10, 2014 in accordance with the following schedule agreed with the SGP National Coordination and with support from the UNDP Country Office

October 3 & 4	
Whole day	<ul style="list-style-type: none"> • Trip Costa Rica - Kenya. Arrival and accommodation in Nairobi
October 5	
Whole day	<ul style="list-style-type: none"> • Review of SGP documents
October 6	
Morning	<ul style="list-style-type: none"> • Meeting with the SGP National Coordination
Afternoon	<ul style="list-style-type: none"> • Meeting with the UNDP Program Officer
October 7	
Morning	<ul style="list-style-type: none"> • Meeting with the SGP National Steering Committee • Meeting with Strategic Projects (first group)
Afternoon	<ul style="list-style-type: none"> • Meeting with Strategic Projects (second group)
October 8	
Morning	<ul style="list-style-type: none"> • Field visit to renewable energy project in Kajiado
Afternoon	<ul style="list-style-type: none"> • Meeting and interview with Zeitz Foundation members
October 9	
Morning	<ul style="list-style-type: none"> • Field visit to water harvesting projects in Laikipia • Field visit to biogas project near Nanyuki
Afternoon	<ul style="list-style-type: none"> • Field visit to tea-tree and other aromatic herbs oil extraction plant near Nanyuki • Field visit to farmer producing tea-tree near Nanyuki
October 10	
Morning	<ul style="list-style-type: none"> • Return to Nairobi • Meeting with UNDP Program Officer • Debriefing session with SGP National Coordination
Evening	<ul style="list-style-type: none"> • Return to Costa Rica
October 11 & 12	
Whole day	<ul style="list-style-type: none"> • Trip Nairobi - San Jose (Costa Rica)

ANNEX 5. LIST OF INTERVIEWED PERSONS

The list of persons interviewed during this MTR includes:

Organizations and persons at the community level

Olosho-Oibor Community, Kajiado District

- Paul Kenaye Skuda, Chairperson Ewanga Olosho -Oibor (CBO) Community based Organization and Headteacher, Olosho-Oibor Primary School
- Kursai Kimpoo, Kimpool Village Elder
- Chief Joseph Panin, Chief Olosho-Oibor Sublocation
- Lydia Samayo Mpyoyo, Member of Board CBO
- Silvia Turpesio, Secretary CBO
- Simon Parilesian, Manager CBO

Segera Jirani, Laikipia District

- Jackson, Former Chief
- Regina, Group Treasurer
- Mary, Chair Lead

Laiccodo, Nanyuki District

- Ephraim Derito, farmer
- Margaret Ngatia, LAICCODO Chair

Kenya Organic Agriculture Network, Nanyuki District

- Eustace Kiarii Gacanja, National Coordinator
- **** tea-tree farmer

Zeitz Foundation, Laikipia District

- Njenga Kahiro

Strathmore Energy Research Center (SERC)

- Paul Njuguna

Partner organizations in strategic projects

- George Charles Njua Gita, TNC
- Mercy Karunditu, Green Belt Movement
- J J Wahira, SACDEP
- Charles Kiama, SACDEP
- Melita Samoilys, CORDIO
- Gladys Klarigia, KWCA
- Dickson Kaelo, KWCA
- Faith Milkah, Mount Kenya Biodiversity Conservation and Climate Change
- Walter Tinega, Kenya Development Agency, Kenya Rural Enterprise Program
- Julius Muchemi, ERMIS Africa
- Titus M. Muia, Maasai Wilderness Conservation Trust

Governmental Officers

- Agnes Yobterik, Director, Programmes, Projects and Strategic Initiatives, Ministry of Environment, Water and Natural Resources, and OFP representative
- Elizabeth Wambugu, Kenya Forest Service

UNDP Kenya Country Office

- David Githaiga, Team Leader, Energy, Environment and Climate Change

Kenya SGP National Coordination

- Nancy Chege
- Mary Mbaabu

Kenya SGP National Steering Committee

- Agnes Yobterik, Director, Programmes, Projects and Strategic Initiatives, Ministry of Environment, Water and Natural Resources
- Jacqueline Uku, Project Coordinator, Kenya Coastal Development Project, KEMFRI
- Samson Wasao, African Institute for Development Policy
- Elizabeth Wambugu, Kenya Forest Service

Global Coordination of the GEF-UNDP Small Grants Program (SGP)

- Nick Remple, UNDP Global Technical Advisor for SGP Upgrading Programs

ANNEX 6. LIST OF DOCUMENTS REVIEWED

1. Kenya SGP Project Document (PRODOC)
2. 2014 Project Implementation Report (PIR)
3. United Nations Development Assistance Framework (UNDAF)
4. UNDP Country Program Document Kenya (CPD)
5. Grant proposals (several)
6. Strategic projects proposals
7. Grant progress reports (several)
8. Strategic projects reports (several)
9. UNDP Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects
10. UNDP Handbook on Planning, Monitoring and Evaluating for Development Results
11. GEF Evaluation Office. The ROTI Handbook: Towards enhancing the Impacts of Environmental Projects
12. UNEG. UNEG Ethical Guidelines for Evaluation

ANNEX 7. UNEG CODE OF CONDUCT FOR EVALUATORS/MIDTERM REVIEW CONSULTANTS

Evaluators/Consultants:

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 limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form

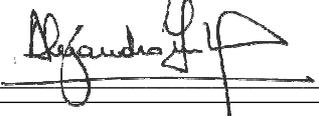
Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: _____ Alejandro Carlos IMBACH _____

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 at _____ Turrialba, Costa Rica _____ (Place) on _____ October 1st, 2014 _____ (Date)

Signature: _____


ANNEX 8. MTR REPORT CLEARANCE FORM

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-GEF Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____