Project Evaluation Series
26/2023

Terminal evaluation of project "Capacity, Policy and Financial Incentives for Participatory Forest Management in Kirisia Forest and Integrated Rangelands Management"

Project code: GCP/KEN/073/GFF
GEF ID: 5083

Annex 1. Terms of reference

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
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Contents

Boxes, figures and table

Abbreviations

AWF	African Wildlife Foundation
BH	Budget Holder
CFAs	Community Forest Associations
CTA	Chief Technical Advisor
FAO	Food and Agriculture Organization of the United Nations
FLO	Funding Liaison Officer
GEF	Global Environment Facility
GCU	GEF Coordination Unit
HNRM	holistic natural resource management
KEFRI	Kenya Forestry Research Institute
KFC	Kenya Forestry College
KFS	Kenya Forest Service
KWS	Kenyan Wildlife Service
LTO	Lead Technical Officer
NEMA	National Environment Management Authority
NGO	non-governmental organization
NWFPs	non-wood forest products
OFP	country level GEF Operational Focal Point
PFM	Participatory Forest Management
PTF	Project Task Force
SFM	sustainable forest management
TOC	theory of change
TOR	terms of reference

1. Background and context of the project

1. Since the Kirisia forest was gazetted in the 1930s during colonial times, an exclusionary conservation approach has been implemented, undermining previously strong customary management practices of the local Samburu pastoralists and Ndorobo forest dwellers.[1] Limited resources on the part of government authorities to fully enforce the exclusionary approach, migrations into the forest caused by conflict and drought in the north of the county, and damage caused by the demands of an increasing population of humans and livestock only compounded these managerial challenges.

2. The project originated as 5-year project under GEF 5 scheduled to run from January 2017 until January 2022, subsequently extended to December 2022. It is implemented through a partnership between mainly FAO, the Kenya Forest Service (KFS), the Kenyan Wildlife Service (KWS), the County Government of Samburu, the Kenya Forestry Research Institute (KEFRI), community forest associations (CFAs) and a local environmental non-governmental organization (NGO), the Suyian Trust.

3. Two critical barriers make it difficult for the partners to establish successful participatory forest management (PFM) systems and achieve the vision of a healthy forest ecosystem capable of supporting biodiversity, carbon stocks, livelihoods and local economic development in perpetuity. These are: insufficient institutional capacity to support PFM as the focus of an ecosystem-based management of dry land forest regimes; and an inadequate legal and regulatory framework that does not effectively empower communities for sustainable forest management (SFM).

4. The global environmental objective of the project is to strengthen biodiversity conservation and enhance carbon sequestration through participatory sustainable forest management systems in dryland public and communal lands. Its development objective is to improve livelihoods of communities from dryland forest-based products and services. The project aims "To deliver multiple Biodiversity, climate change and livelihood benefits from 91 452 ha of Kirisia Forest under PFM and 50 000 ha of rangelands under holistic natural resource management (HNRM) respectively".

Box 1. Basic project information

- GEF project ID number: 5083
- Recipient country: Kenya
- Implementing agency: FAO
- Executing agency: Ministry of Environment and Forestry; Kenya Forest Services (KFS); Kenya Wildlife Services (KWS) and Kenya Forestry Institute (KEFRI); Community Forest Associations (CFAs) and a local environmental NGO, the Suyian Trust
- Date of project start and expected end: 25 January 2017 – 31 December 2022
- Date of mid-term evaluation: May 2020

5. The GEF investment is to be used to put in place strategic capacities and incentives to influence the considerably larger baseline investment, to change the pattern of development currently happening at the expense of the natural capital, towards a more sustainable economic development model. The project will empower key institutions: Kenya Forest Service (KFS),

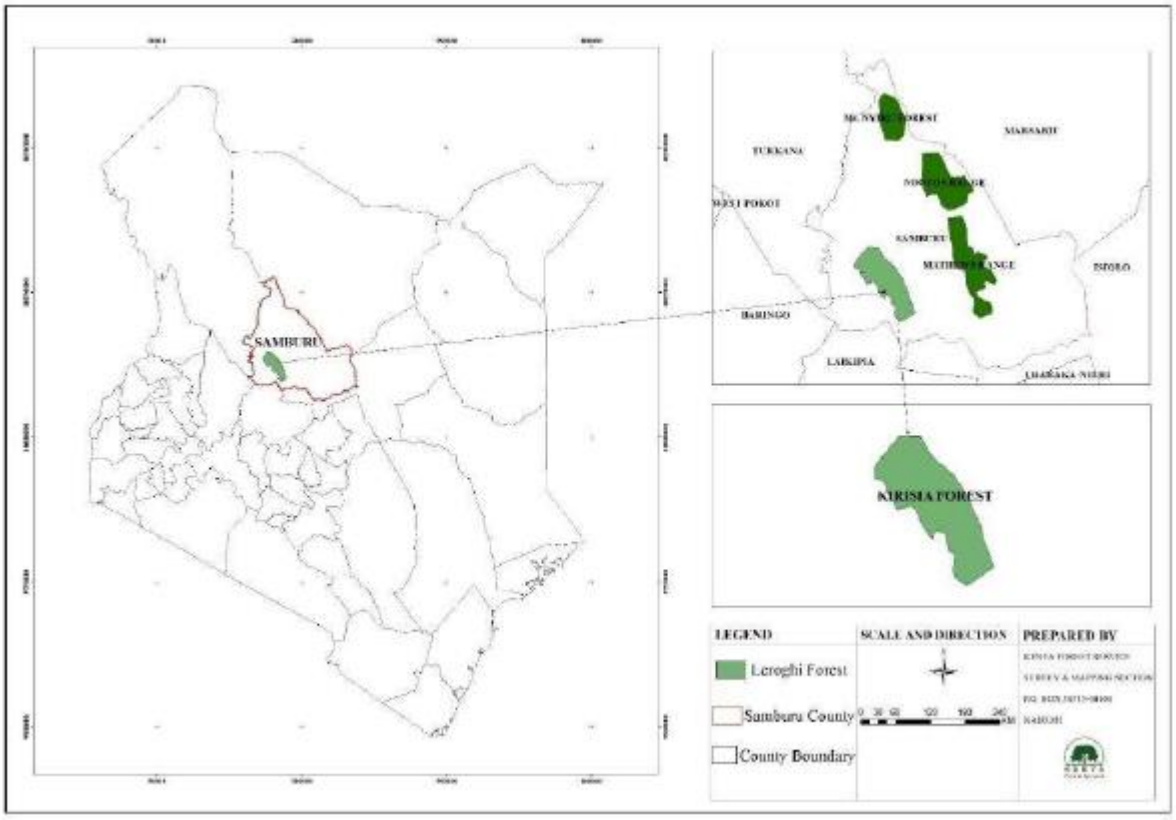
[1] The Kirisia ecosystem is inhabited by the Samburu nomadic pastoralists who are cousins to the Maasai, with similar culture and language. The area is also home to small populations of hunter gatherers (Ndorobo) who are undoubtedly the oldest inhabitants of the Kirisia Forest. The capital of the Samburu County is Maralal town, which hosts 37 000 people and growing. The Forest is owned by the National Government, held under Trust Land. Land in the areas around the forest is subdivided into group ranches (52 percent of total ecosystem) and to a lesser degree to private ownership (5 percent).

Community Forestry Association (CFA), Kenya Wildlife Service (KWS) and the County Government of Samburu. Through the project they will adopt and/or facilitate better forest management that will reduce the current rate of deforestation of the Kirisia Forest.

1.1 Description of project, project objectives and components

6. As mentioned, the project Capacity, Policy and Financial Incentives for PFM in Kisiria Forest (locally known as Leroghi) and Integrated Rangelands Management is implemented in Kirisia Forest, Kenya (see map below).

Figure 1. Map of Kenya showing location of Kirisia Forest



Source: Kenya Forest Services. Map conforms with UN Geospatial. 2011. *Map of Kenya*. New York, United States of America. https://www.un.org/geospatial/content/kenya

7. It was initiated as a 5 year project under GEF-5 and aims to catalyze integrated resource management so as to make Leroghi forest and the Kirisia ecosystem the best[2] managed and conserved in Kenya, and to ensure the forest continues to maintain carbon stock while the ecosystem delivers goods and services to support improved livelihoods over the long term. The project underwent a budget revision in early 2018 and details can be found in Appendix 8, however, this did not alter the proposed activities.

8. The project is designed to develop the necessary strategies, plans, tools and mechanisms that will aid stakeholders in sustainably managing their forest and land resources. The main outputs are integrated into two linked project components and different outcomes and outputs are associated with each:

[2] As per project document.

9. Component 1: Implementation of PFM and HNRM over 91 452 ha and 50 000 ha respectively, mitigate 2 935 701 tCO2eq, secure wildlife migratory corridors and increase financial returns from non-wood forest products (NWFPs) by 25 percent.

10. **Outcome 1:** Strengthened capacities of stakeholders implement PFM in the main land tenure categories of dryland forests delivers 2 935 701 tCO2eq:

- **Output 1.1**: Kirisia CFA empowered to provide community leadership in forest management and strong and widely representative partnership to KFS in PFM.
- **Output 1.2**: KFS has operational capacity to implement forest management and support CFA to implement PFM in the Kirisia forest and ecosystem, reducing deforestation rate from 1.4 percent to about 0.84 percent.
- **Output 1.3:** Forest Management Plan upgraded to Kirisia Ecosystem Management Plan, with a carbon and biodiversity monitoring program: KFS will work with the CFA, KWS and the county government to upgrade the current Kirisia Forest Plan (2012–2016) to Kirisia Ecosystem Management Plan (2016–2026).
- **Output 1.4:** Design and implement a forest rehabilitation/reforestation program putting 10 000 ha under regeneration and 17 000 ha under SFM: Working together with the CFA, the KFS will lead the program of reforestation, either through protection of badly degraded patches to encourage regeneration; or, through enrichment planting.
- **Output 1.5:** 50 000 hectares of rangeland under HNRM: Communities will be empowered to put over 50,000 ha under sustainable rangeland management through HNRM approach, which incorporates traditional resource management.

11. **Outcome 2:** Wildlife dispersal areas and migratory corridors secured to improve integrity of the Kirisia ecosystem as a wildlife refuge and critical part of maintaining the Samburu Heartland as a functioning ecosystem:

- **Output 2.1**: Securing dispersal areas and wildlife migratory corridors: Building on the draft zonation done by CFA, KFS and the African Wildlife Foundation (AWF) the project will support the mapping of critical wildlife habitats, and the identification of human/wildlife hotspots.
- **Output 2.2**: Support to and establishment of the new conservancies proposed by the county government (government co-finance).
- **Output 2.3**: Strengthening wildlife monitoring and protection within and outside the forest to cover the Kirisia ecosystem: The KWS and the partners only have inadequate equipment and infrastructure to undertake any meaningful management operations for wildlife monitoring and protection.

12. **Outcome 3:** Income from honey, tourism and other NWFPs providing financial incentives for PFM and conservation and increase household incomes by more than 25 percent for participating households:

- **Output 3.1:** Promoting high volume buying market linkages for honey. Under this output, the project will work with the agencies supporting honey cooperatives around Kirisia (in

particular AWF, KVDA, World Vision) to accelerate the training of bee keepers on improved honey production, processing and marketing.

- **Output 3.2:** Tourism development model developed, to deliver benefits to the local communities. Under this output, the project will support the CFA and the county government to improve the prospects for tourism development in the Kirisia landscape, ensuring that it is set up to be both effective and beneficial to the local community.

- **Output 3.3:** Identify other NWFPs such as herbal plants and edible plants with potential for viable business opportunities and design and implement strategies to exploit them commercially: Anticipating that one of the action plans expected to support the implementation of the grazing plans will be increasing opportunities for other NWFPs, the project will, early in the process, undertake a feasibility study to identify NWFPs using the Market Analysis Approach[3] in consultation with local communities that can be exploited commercially and formulate a strategy and business plans for potential NWFPs.

13. **Outcome 4:** Knowledge systems inform adaptive management in PFM (in conjunction with output 1.3):

- **Output 4.1:** A carbon, biodiversity and livelihoods monitoring plan designed, implemented, lessons being used to inform adaptive management and carbon accounting (in conjunction with output 1.4).

- **Output 4.2:** Knowledge management system set up, informed by project evaluations and terminal reviews (project monitoring and evaluation [M&E] formulated, mid-term review [MTR] and final evaluation undertaken).

- **Output 4.3:** Resource centre established and operationalized, local traditional knowledge documented (co-finance).

14. **Component 2:** Policy and legal framework emplaced and enabling PMF in support of the mitigation and financial returns targets under component 1.

15. **Outcome 5:** Subsidiary legislation and guidelines for county level implementation of the PFM National Policy of 2005 emplaced, informed by Community Bio-cultural community protocol:

- **Output 5.1**: Subsidiary legislation and guidelines for county level implementation of the PFM National Policy of 2005 emplaced, informed by Community Bio-cultural community protocols.

- **Output 5.2**: Advocacy: county and national government lobbied to adopt proposed policy reforms.

[3] Developed by FAO: https://www.fao.org/forestry/enterprises/25492/en/

16. Originally, at design, the project finances were structured as per the table below:

Financing plan	**USD**
GEF allocation (USD)	**2 823 439**
BD	1 220 410
CCM	897 671
SFM/REDD	705 358
Co-financing (USD):	**8 675 178**
Kenya Forestry Service (KFS)	500 000
Forestry Research Institute (KEFRI)	500 000
Kenya Wildlife Service (KWS)	500 000
FAO	3 446 178
Samburu County Government	2 515 000
Community Forestry Associations	414 000
Kenya Forest Working Group	800 000
Total Budget:	**11 498 617**

Source: Elaborated by the Evaluation Team.

17. The project's latest project implementation report (PIR) (until June 2022) reports that the project's progress toward its stated outcomes is overall satisfactory. Of note, Output 3 which focuses on improving livelihoods through beekeeping and other NWFP production, transformation and sale remains a little behind schedule due to the need to sign letters of agreement (LOAs): one to develop the Samburu Tourism Strategic Plan, the other for CFAs to undertake livelihood activities which include honey production and processing, poultry, and kitchen garden interventions to support the procurement of microprocessing and harvesting equipment for honey and wax. Similarly, Outcome 5 faces another administrative challenge whereby the policy expert to be recruited in close collaboration with the county Department of Environment, Natural Resources and Energy is becoming a drawn-out process. Currently (November 25, 2022), all LOAs have been signed (seven in total) two will be closed at the end of November, the remaining five will run until the end of the project. All but one procurement action (Honey value chain) has been put in the system however about ten still need to be issued or delivered. Finally, it should be noted that a further challenge to the project has been the absence of a Lead Technical Officer (LTO) between January to June 2022.

18. Nevertheless, an MTR was carried out in May 2020, and all 25 recommendations were adopted.[4] The final evaluation will have to review these carefully, assess their potential (theoretical) and actual (implementation) effects on the project.

1.2 Project stakeholders and their role

19. These did not change over the course of the project, from inception to when the mid-term review reviewed the initial stakeholder analysis, to after the management response adopted recommendations from the MTR. As per project document, the relevant stakeholders are presented in the table below.

[4] Of note, recommendation 11 (Ensure the proposed resource centre is practical, deemed to be useful by potential users in terms of information materials most wanted, accessible and sustainable) was only partially accepted as the project underwent a shift in effort to focus on re-establishing the CFA structure into the three new CFAs, and this would have spread the remaining project period and resources too thin

Stakeholder	Interest in BD/SFM/CCM	Degree of interest	Level of influence	Comments	Participation in project implementation
Leroghi/Kirisia Community Forest Association (CFA) + 7 Group Ranches[1] has formed Kirisia-Ngotea Conservancy.	Dry season grazing, sources of water, honey and medicine	High	Low	The survival of their livestock and livelihood is directly dependent on the forest, but they have low influence on decision-making. However, singing of FMA with KFS has empowered CFA by law and policy to make decisions.	Leroghi CFA has signed a Forest Management Agreement with KFS. With facilitation from the Samburu county the CFA and 7 Group ranches has formed Kirisia-Ngotea Conservancy. This management structure will be at the centre of project activities in the field. The project will build capacity on management, governance, forest-based enterprise development and natural resource management.
Sadhana Forest Kenya	Reduce forest pressure and improved livelihoods through tree planting	High	Medium	They have an interest in improving livelihood	A small NGO that has recently decided to make a long-term investment in Samburu County. They have set up field headquarters just south of Leroghi Forest. Their main focus is on support for household level multipurpose tree planting. They are very keen to participate in this project.
Nomotio Pastoralist Initiative	Creating awareness through environmental education/advocacy	High	Medium	Sensitization and awareness creation is key in behavioral change	This is a local NGO operating in Samburu and specializes in environmental education/advocacy as well as livelihoods improvement for local people. Will participate in awareness and advocacy work of the project.
World Vision	Farmer Managed Natural Regeneration (FMNR)	High	Medium	FMNR is one of the models for forest regeneration	World Vision is implementing a five-year project targeting communities around Leroghi forest. As part of the NRM component WV is piloting FMNR (Farmer Managed Natural Regeneration), which could be adopted as a forest regeneration model. WV technical expertise will be used in demonstrating FMNR.
African Wildlife Foundation (AWF)	Implementation of Kirisia Management plan	High	High	AWF is keen on the biodiversity conservation and livelihood improvement of	Facilitated the development of Kirisia-Leroghi Forest Management Plan. AWF has undertaken a number of studies, which the project

Stakeholder	Interest in BD/SFM/CCM	Degree of interest	Level of influence	Comments	Participation in project implementation
				Kirisia forest and communities	can benefit from. AWF will be involved in the feasibility study of an eco-lodge and work with Samburu County, KWS on wildlife migratory corridors
Green Belt Movement (GBM)	Protection of Kirisia forest as a water tour through tree planting and alternative livelihoods	High	Medium	Medium influence. GBM has worked in Kirisia for the last three years. May have knowledge and information to access decision making process	GBM is an environmental organization that empowers communities, particularly women, to conserve the environment and improve livelihoods. GBM encourages women to work together to grow seedlings and plant trees. It is currently involved in tree planting to restore degraded areas of Leroghi forest and promotion of alternative sources of livelihood and efficient energy technologies.
Samburu County Government	Environmental conservation and tourism	High	High	Legally mandated and empowered to facilitate improved investment and livelihood improvement for the community	The county government will play a direct role in support of the development of SFM systems Kirisia-Ngotea Conservancy. The project will assist the county government to develop appropriate legislation to define the roles of the country government and communities for forest management on community-owned lands. The county government will also be an important stakeholder for Leroghi with special interests in the watershed functions of Leroghi, the economic development aspects of the co-management system and the resolution of the issue of the displaced Samburu pastoralists living in the forest and ensuring that wildlife corridors are clear of settlements
Kenya Forestry College (KFC), Londiani	Training on Forest management	High	Low	Efforts will be made to ensure that adequate dryland forest training materials are available	The college offers training at the diploma and certificate levels, and short courses in forestry and related fields. It is expected that KFC will be one of the key users of the mobile drylands field school facility

Stakeholder	Interest in BD/SFM/CCM	Degree of interest	Level of influence	Comments	Participation in project implementation
					and may become a co-manager of the facility with the CFA.
Nairobi University	Training	High	Low	Training of personnel to manage dryland forests	It is expected that the University of Nairobi will become one of the key users of the drylands field school facility developed by the project.
National Environmental Management Authority (NEMA)	Environmental Management and Governance	High	High	Mandate to ensure environmental laws are adhered to.	Will provide oversight through participation in the project steering committee and project evaluations.
Kenya Wildlife Service (KWS)	Wildlife Management	High	High	High level of influence since they co-manage the forest with KFS	KWS will advise on how best to integrate wildlife conservation into the Leroghi management system. KWS will also work with the Samburu County to ensure that wildlife corridors are marked and cleared of human settlement
Ministry of Agriculture, Livestock and Fisheries	Range Management Systems	High	Low	High interest because their mandate in range management.	Will participate in the project through the project steering committee and provide technical advice in the development of sustainable range management systems.
Kenya Forestry Research Institute (KEFRI)	Forest research	High	Medium	High interest since their core business is research. Influence is medium because they can only recommend action	KEFRI's regional research centre in Kitui specialises in dryland forests hence experience with technologies for sustainable use of dryland forests. KEFRI will take the lead on the development of knowledge management in support of participatory SFM. KEFRI is the lead in certifying seeds sources and tree nurseries n Kenya. They will deliver required training and technical support to local NGOs, communities and other stakeholders involved in forest restoration, in seed collection from native species, production of seedlings and restoration techniques.
Kenya Forest Service (KFS)	Management of forests	High	High	Are empowered by an Act of	KFS is under the Ministry of Forestry and Wildlife and is

Stakeholder	Interest in BD/SFM/CCM	Degree of interest	Level of influence	Comments	Participation in project implementation
				Parliament to manage forests	one of the executing partners. The proposed Project Management Unit (PMU) to be based in Maralal will work directly with KFS to ensure the objectives of the project are realised. KFS has a strong partnership with the local communities through the Kirisia CFA for the management of Leroghi Forest. KFS will facilitate sharing of lessons learned and partnerships and linkages with relevant on-going initiatives in the country.
East Africa Wildlife Society	NGO working in forest conservation	High	High	EAWLS is keen on the biodiversity conservation and livelihood improvement of Kirisia forest and communities	Are implementing an LoA for livelihood development and designation of Kirisia forest as an important bird area (IBA)
Kenya Water Towers Agency	Government agency working on coordination of management of water towers in Kenya	High	High	Are empowered by an Act of Parliament to manage water towers	Are implementing an LoA on establishment of water resource users associations and spring protection
Northern Rangeland Trust	NGO working on rangeland management and community conservancies	High	Medium	NRT is keen on rangeland management and community conservancies in the Kirisia forest landscape	Are implementing an LoA to develop the Samburu county tourism strategy

Note:

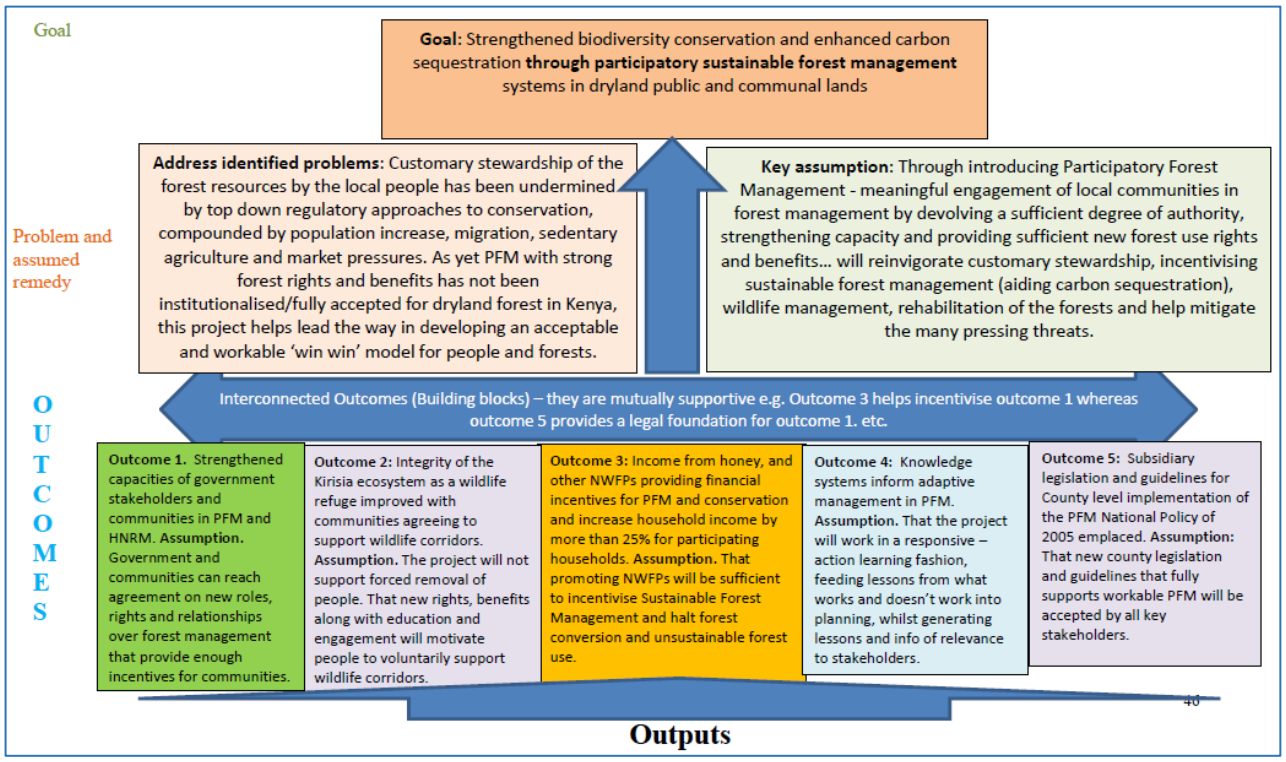
[1] "A group ranch is a livestock production system or enterprise where a group of people jointly own freehold title to land, maintain agreed stocking levels and herd their livestock collectively which they own individually (Ministry of Agriculture, 1968)." - Group Representative Act of 1968.

Source: Elaborated by the Evaluation Team.

1.3 Theory of change

20. A theory of change (TOC) was reconstructed during the project mid-term review (see comments on Appendix 7). This is the basis that the final evaluation will review and amend as necessary to anchor its analysis.

Figure 2. Theory of change developed by the mid-term evaluators



Source: Elaborated by the mid-term evalaution team.

21. According to the mid-term review analysis, an unanticipated challenge to the logic of the project was that the project had assumed it would build on and from the existing single Community Forest Association (CFA). However, a combination of factors made this CFA unpopular and caused conflict in the area, these factors included the formation of the CFA in a way that wasn't built 'bottom up' from within communities and also didn't have political buy-in during a period of political turbulence. Therefore, the project instead of relying and building upon a good foundation spent significant time and effort in conflict resolution, awareness creation, trust building and formation of three new CFAs in a bottom up process. There was however no other way around this issue, for the project to proceed, the conflict needed to be solved and the CFA replaced. The project dealt with this situation astutely and effectively but it did have significant impact on the project's implementation status against its anticipated targets, particularly in terms of timeliness of interventions.

2. Terminal evaluation purpose and scope

22. The final evaluation has a dual purpose: accountability and learning (improvement and enlightenment). On the one hand, it aims to obtain an independent assessment of whether or not the planned inputs have led and/or contributed to the achievement of the planned results (outputs, outcomes, objective, and impact). On the other, it also seeks to examine and detail project achievements, identify barriers and challenges to implementation and determinants for success or failure (reasons for why project results have been delivered, or why they have not), and identify any broader results and impacts, positive or negative, intended or unintended, which have occurred through the project in an effort to inform and improve similar future projects. As part of the learning component, the assessment will seek to identify and document lessons learned and make recommendations for improving sustainability of benefits gained through the project. The evaluation will assess the appropriateness of the exit strategy in terms of how the project will phase-out its interventions while ensuring that project achievements are retained and that restoration efforts go beyond the life of the project.

23. The primary intended users of the evaluation include the Budget Holder (BH), Project Task Force (PTF), Chief Technical Advisor (CTA), FAO technical, programme and operations personnel, the donor, and other external stakeholders, including government institutions related to the project who can use the findings of the evaluation to affect change.

24. Different purposes and users of evaluations are recapped in Table 1 below.

Table 1. Main purposes and intended users of the evaluation

Purpose		Intended user
Accountability. To respond to the information needs and interests of policymakers and other actors with a decision-making role.	Inform decision-making Provide accountability	FAO Management Government
Improvement. Programme improvement and organization development provides valuable information for managers or others responsible for programme operations.	Improve programme	Operational partners Project Task Force, Project Management Unit, FAO country office(s) GEF project formulators
Enlightenment. In-depth understanding of the programme and its practices normally cater to the information needs and interests of programme personnel and sometimes participants.	Contribute to knowledge	FAO personnel and future formulators and implementers

Source: Elaborated by the Evaluation Team.

25. The final evaluation will cover the entire project implementation area, namely, Kirisia forest and the activities carried out from the beginning of the project up to the end of the evaluation field mission. It will cover all the project components that is the entire GEF, Government and other partners 'components of the project as well as the co-financed components such as in-kind contributions from participating implementation Partners (County Government of Samburu, Community Forest Associations, Kenya Forest Working Group). It will focus particularly on the implementation which took place after the mid-term evaluation (from May 2020), as the mid-term evaluation covered the first half of implementation in depth, it will nevertheless be comprehensive of the project's implementation timeframe. The evaluation is to be carried out as a decentralized evaluation as per the new FAO Office of Evaluation and GEF evaluation policy; in other words, the FAO Regional Office for Africa is responsible for the evaluation.

3. Evaluation objective and questions

26. This final evaluation will seek to assess the extent to which the project achieved its intended results. More specifically, it will seek to determine whether the project's model and its specificities tied to Kenya warrant scaling up.

27. The following evaluation questions target the key information needs of the evaluation. They will be reviewed by the evaluation team and are subject to modification during the evaluation's inception phase (the evaluation team is responsible for developing the final evaluation matrix during the inception phase), however, the criteria addressed is comprehensive and will not be subject to change. As per GEF policy, certain criteria will be rated.

Box 2. Evaluation questions

1) Relevance (rating required)	To what extent are the expected results of the project aligned with the GEF Operational Programs focal areas/strategies, national priorities and the FAO Country Programming Framework? • Have there been any changes since project design, such as new national policies, plans or programs that have necessitated a reorientation of project objectives and goals? • Were project outcomes congruent with the GEF focal areas/operational programme strategies, country priorities and FAO Country Programming Framework? • Was the project design appropriate for delivering the expected outcomes? • To what extent has the project responded to identified capacity needs across the three CD dimensions, and how have they capitalized on existing capacities?
2) Effectiveness (rating required)	To what extent have project objectives been achieved, and were any unintended results achieved (positive and/or negative)? • To what extent were stakeholder capacities to implement PFM strengthened; were objectives in terms of carbon emissions saved met? • To what extent were wildlife dispersal areas and migratory corridors secured; did these contribute to improving the integrity of Kirisia ecosystems? • To what extent were Income from honey, tourism and other NWFPs providing financial incentives for PFM and conservation, contributing to increases in participating household incomes? • To what extent do Knowledge systems inform adaptive management in PFM ? • To what extent are subsidiary legislation and guidelines for County level implementation of the PFM National Policy of 2005 in place and informed by Community Bio-cultural community protocols? • To what extent did the intervention enhance target beneficiaries' functional and technical skills and their knowledge? Are target beneficiaries implementing/using them and demonstrate changes in attitudes and practices? • To what extent did the intervention contribute to improve the performance of the beneficiary organizations and promote institutional changes? • What are the outcomes at enabling environment level, within the intervention?
3) Efficiency (rating required)	To what extent has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation?
4) Sustainability (rating required)	What is the likelihood that the project results will continue to be useful or its achievements will remain even after the end of the project? • What is the appropriateness of the exit strategy developed for the project? What is the plan for transferring to key stakeholders the key results and outputs of the project? • How do you gauge the readiness of key stakeholders who are expected to play a critical role in sustaining the results?

	• To what extent has the project defined a plan that outlines tasks and deadlines for close-out? • To what extent has the project outlined the process by which the products and responsibilities will be handed over? • What are the main risks that could affect the sustainability of project benefits and the conditions put in place to prevent or mitigate them? • How sustainable are the achieved results on capacity development? What mechanisms are in place to ensure sustainability? • To what extent the achievement of CD outputs and outcomes contributed to achieve development outcomes? • What transformational change the intervention has contributed to generate (or has the potential to) from its work on CD dimensions and the creation of virtuous interconnections?
5) Factors affecting performance (rating required)	**Implementation.** To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well were risks identified and managed? **Execution.** To what extent did the execution agency effectively discharge its role and responsibilities related to the management and administration of the project? **Monitoring and evaluation** (M&E design) Was the M&E plan practical and sufficient? (M&E implementation) Did the M&E system operate as per the M&E plan? Was information gathered in a systematic manner, using appropriate methodologies? Was the information from the M&E system appropriately used to make timely decisions and foster learning during project implementation? **Financial management and co-financing.** To what extent did the expected co-financing materialize, and how did shortfall in co-financing, or materialization of greater than expected co-financing affect project results? **Project partnership and stakeholder engagement.** Were other actors, such as civil society, indigenous population or private sector involved in project design or implementation, and what was the effect on the project results? **Communication, knowledge management**[5] **and knowledge products.** How is the project assessing, documenting and sharing its results, lessons learned and experiences? To what extent are communication products and activities likely to support the sustainability and scaling-up of project results?
6) Environmental and social safeguards	To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?
7) Gender	To what extent were gender considerations taken into account in designing and implementing the project? Was the project implemented in a manner that ensures gender equitable participation and benefits?
8) Progress to impact	To what extent may the progress towards long-term impact be attributed to the project? • Was there any evidence of environmental stress reduction and environmental status change, or any change in policy/legal/regulatory framework? • Are there any barriers or other risks that may prevent future progress towards long-term impact?
9) Lessons learned	What knowledge has been generated from project results and experiences, which have a wider value and potential for broader application, replicability and use?

[5] See for reference: Stocking, M. *et al.* 2018. *Managing knowledge for a sustainable global future*. Scientific and Technical Advisory Panel to the Global Environment Facility. Washington, DC.

4. Methodology

28. The evaluation will adhere to the United Nations Evaluation Group (UNEG) Norms and Standards[6] and be in line with FAO Office of Evaluation Manual and methodological guidelines and practices. The evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.

29. The evaluation integrates the GEF criteria and requirements into the methodology, to facilitate comparison with the reports produced by GEF and to contribute to the GEF project selection process. In this respect, the evaluation will present an assessment of GEF criteria as presented in the GEF evaluation criteria rating table.[7] The evaluation will present the financial and co-financing data (see Appendix 6) according to the new GEF Guidelines published in May 2019 and adopted by this terminal evaluation.

30. The evaluation will follow a theory of change approach with an emphasis on the results chain. The theory of change will seek to capture the causal relationship between inputs, expected products detailed in the project's results framework, results to which they should contribute, and conditions under which they should occur. The evaluation team will start from the Theory developed during the MTR and, in consultation with the project team, ensure its validity or provide an alternative. The theory of change will be included in the inception report and, in case amendments are brought the theory of change (TOC) established at mid-term, the new TOC will be reviewed and agreed upon with the project team. If the TOC changes, it should also be approved by project team. The final evaluation theory of change will also include assumptions, a mapping of externalities and possible unwanted outcomes. The TOC, thus developed, will serve for the analysis of the project strategy and design.

31. Likewise, at the beginning of the evaluation process, a stakeholder mapping will be prepared with the objective of identifying additional users of the evaluation and planning the information collection phase, ensuring that all counterparts are identified.

32. To answer the key questions, an evaluation matrix will be developed in which the indicators, the evaluative criteria, the sources of information to monitor said indicators, as well as the methods and instruments that will be used to respond to the evaluation criteria will be detailed. The evaluation team will further develop the main evaluation questions presented in these terms of reference and break them down into sub-questions able to capture specific features of project implementation at country level.

33. In general, the following methods and sources will be used to collect and analyse primary and secondary data to answer the evaluation questions:

    i. Desk review of the mid-term evaluation report, project documents, including data from the project monitoring system; if available, the same project information platform, semi-annual and country progress reports, project implementation reports, national strategic documents, documents of regional/local governments and the organizations and institutions involved related to the issue climate change and adaptation; technical

[6] http://www.uneval.org/document/detail/21

[7] See Appendix 5 for more information on GEF ratings.

reports and reports from FAO support missions, and any other that is identified in the course of the evaluation.

ii. Semi-structured interviews (in person or remotely) with key informants, stakeholders, and participants at the regional, national and county level, public and private, based on interview protocols developed by the evaluation team.

iii. Focus group discussions (in presence or remotely) with project participants and stakeholders, including local communities, also supported by interview protocols.

iv. Direct observation during field visits if the COVID-19 pandemic allows it.

v. Online surveys of key stakeholders not interviewed.

vi. Level of budget execution: sites with a medium/high level of budget execution/support (range to be defined at a later stage).

vii. Number of activities implemented under the main products: sites with a medium/high number of key activities implemented (range to be defined at a later stage).

viii. Level of results: sites with successful and not so successful results to identify useful lessons for future interventions.

ix. Sites visited during the mid-term evaluation, if relevant: some of the sites visited by the mid-term evaluation to corroborate the evaluation of the identified results and sites not visited by the mid-term evaluation to increase geographic coverage and representativeness.

34. At the beginning of the investigation phase, a protocol for the interviews will be developed according to the type of actor to be interviewed and the topic(s) to be addressed. Special attention will be paid to ensure that women, indigenous groups and other disadvantaged groups are properly consulted. In terms of gender analysis, the evaluation team will assess the project's contribution to the objectives presented in the FAO Policy on Gender Equality,[8] as well as in the GEF Policy on Gender Equality.

35. As a reference to evaluate the work carried out with local communities, the evaluation team will use the FAO Free, Prior and Informed Consent (FPIC)[9] Manual. Together with the FAO Policy on Indigenous and Tribal Peoples,[10] this document will serve as a reference regarding FAO's approach for reaching consensus with local communities benefiting from a project.

36. The OED Capacity Development Evaluation Framework[11] will be the basis for evaluating the measures, approach, performance and results of the activities that were implemented throughout the project to develop capacities. The interview protocols will seek to measure the level of knowledge, attitudes and practices (KAP model) of the beneficiaries.

37. To answer the question on sustainability, four main criteria will be assessed: i) beneficiaries' ownership of project results; ii) availability of resources; iii) sufficient capacities of the actors involved; and iv) conducive institutional and social environment (with respect to the FAO Capacity Development Evaluation Framework).

[8] https://www.fao.org/3/cb1583en/cb1583en.pdf
I6190E.pdf (fao.org) [9]
[10] FAO_policy.pdf
[11] OED Capacity Development Evaluation Framework (fao.org)

38. Beyond the methodological elements outlined above, final decisions about the specific design and methods for the evaluation should emerge from consultations among the project team, the evaluators and key stakeholders about what is appropriate and feasible to meet the evaluation purpose and objectives and answer the evaluation questions. These will be reflected in the inception report.

5. Roles and responsibilities

39. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation in the case of Regional Evaluation Specialist-managed.

40. The Regional Evaluation Specialist, based in the FAO Regional Office for Africa, will act as Evaluation Manager. The Regional Evaluation Specialist is responsible for developing the first draft TOR. Besides the TOR drafting and finalization, the Regional Evaluation Specialist is responsible for the selection of the evaluations team. The Regional Evaluation Specialist shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for quality assurance purposes in terms of presentation, compliance with the TOR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. The Regional Evaluation Specialist also has a responsibility in following-up with the budget holder for the timely preparation of the management response and the follow-up to the management response.

41. The Budget Holder (BH) is responsible for initiating the evaluation process. Together with the project Lead Technical Officer (LTO)/Chief Technical Advisor, they assist the Evaluation Manager in the identification of potential consultants and in the organization of the field mission. The BH will provide the evaluation team with all project documents needed for the terminal evaluation. The BH is also responsible for sharing the terminal evaluation report with the GEF Operational Focal Point, the executing partner, the project team and national partners and for leading and coordinating the preparation of the FAO management response and the follow-up report, fully supported in this task by the LTO and other members of the Project Task Force (PTF). The FAO Office of Evaluation guidelines for the management response and the follow-up report provide necessary details on this process. Involvement of different members of the PTF will depend on respective roles and participation in the project.

42. The GEF Coordination Unit (GCU) in particular the Funding Liaison Officer (FLO) is responsible for providing inputs to the first version of the terms of reference, they are required to meet with the evaluation team, make available information and documentation as necessary, and comment on the draft evaluation report.

43. The country level GEF Operational Focal Point (OFP): according to the GEF Evaluation Policy (2019), the OFPs will be informed of the terminal evaluation and will, where applicable and feasible, be briefed and debriefed at the start and at the end of evaluation missions. They will receive a draft report for comment, will be invited to contribute to the management response (where applicable), and will receive the final evaluation report within 12 months of project completion. GEF OFPs play a key role in facilitating access to staff members of government institutions involved in GEF projects during evaluations. They may promote the use of, follow-up to, and action on evaluation recommendations related to GEF matters and directed at the regional, national and project levels. They also play an important role in keeping national stakeholders (including the civil society organizations involved in GEF activities) fully consulted with, informed on, and involved in the plans, conduct, and results of country-related GEF evaluation activities.

44. The Evaluation Team is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the Evaluation Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report. The evaluation team will agree on the outline of the report early on in the evaluation process, based on the template provided by FAO Office of Evaluation. The

Evaluation Team will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the Evaluation Manager, consultations with the budget holder and PTF where necessary. The evaluation team is fully responsible for its report which may not reflect the views of the government or of FAO. An evaluation report is not subject to technical clearance by FAO although the FAO Office of Evaluation is responsible for quality assurance of all evaluation reports.

45. The Evaluation Team Leader guides and coordinates the evaluation team members in their specific work, discusses their findings, conclusions and recommendations, and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own.

46. For further details related to the tasks of the evaluation team leader and evaluation team members, please refer to template job descriptions provided by the FAO Office of Evaluation upon request.

47. The FAO Office of Evaluation Decentralization Support Team (DST) and in particular the appointed FAO Office of Evaluation Supporting Officer will provide comments on the various deliverables and technical support throughout the evaluation process.

48. The RES Supervisor in the concerned Regional Office is responsible for the final clearance of evaluation products, in particular TOR and evaluation report.

6. Evaluation team composition and profile

49. A team of two consultants is foreseen to conduct this final evaluation: one lead consultants and one team member with complementary experience and skills. The two will be external individual consultants and will not have been previously involved in the design, execution or advising on any aspect of this GEF project. As a whole the evaluation team must possess the following skills and experience:

i. a solid understanding of the Kenyan context;

ii. extensive experience and knowledge of natural resource management and biodiversity policies and issues;

iii. solid experience in evaluation project or programmes at field level and facilitating evaluation processes;

iv. experience in managing GEF projects or GEF evaluations will be considered an advantage;

v. knowledge of the GEF Monitoring and Evaluation Policy;

vi. knowledge of results based management and evaluation methodologies;

vii. to the extent possible, every effort will be made to hire individuals based in Kenya and of Kenyan citizenship; and

viii. experience in or knowledge of evaluations integrating gender in project design and implementation a plus; knowledge of gender equality and human rights considerations in the Kenyan context and familiarity with FAO's Gender policy preferred.

7. Evaluation products (deliverables)

50. This section describes the key evaluation products the evaluation team will be accountable for producing. At the minimum, these products should include:

i. Inception report: an inception report should be prepared by the evaluation team before going into the fully-fledged data collection exercise. It should include a stakeholders mapping, a revised theory of change, an evaluation matrix showing how each evaluation question will be answered trough indicators, methods, sources of data and data collection procedures. The inception report should also include a flexible plan, with different scenarios, for the investigation phase when it is not possible to entirely plan ahead for field/country visits. The inception report should include a proposed schedule of tasks, activities and deliverables, a stakeholder analysis and the final evaluation matrix (which breaks down the evaluation methodology and data collection tools).

ii. Zero draft evaluation report: a clear, concise (30-45 pages excluding appendices and annexes), professionally written and high-quality draft evaluation report is expected. The report should be written in English or another UN official language, and composed in accordance with FAOSTYLE.[12] For reference, samples of FAO evaluation reports can also be accessed at https://www.fao.org/evaluation/evaluation-digest. The zero draft should be sent by the evaluation team the RES for comments, peer review and clearance, and will then be circulated by OED/RES for comments to internal and external stakeholders (FAO Office of Evaluation, BH, FLO, LTO, FAO's GEF Coordination Unit, project team, executing partner, project Steering Committee members, key project partners).

iii. Final evaluation report: this is the result of the incorporation of comments received on the zero draft. The final report will be submitted by the RES to all stakeholders, and, budget allowing, will be revised by an editor and graphic designer, before publication on the FAO Office of Evaluation or Regional Office website.

iv. The evaluation report should be prepared in MS Word format and submitted electronically by the evaluation team leader to the Regional Evaluation Specialist. The Regional Evaluation Specialist will have the final decision as to how the report should be composed.

v. Supporting evidence: electronic or hard copies of the survey data and report, minutes or notes of interviews and discussions, and other sources of the primary data/information collected by the evaluation team and used in the report should be sent to the Regional Evaluation Specialist. Sources of secondary data/information used in the report should be cited in the text and included in the list of documents reviewed in the evaluation report.

vi. The evaluation report should include an abstract of 200 to maximum 400 words and an executive summary, and illustrate the evidence found that responds to the evaluation questions listed in the terms of reference. The executive summary should be drafted as presented in Annex 3A of the FAO Office of Evaluation project evaluation manual.

vii. All GEF evaluation reports should have a full translation in English if they are prepared in another UN language. This is under FAO responsibility.

viii. Evaluation reports should have numbered paragraphs, following the GEF-FAO Office of Evaluation reporting outline (Appendix 1). Supporting data and analysis should be annexed to the report when considered important to complement the main report.

ix. Evaluation briefs and other knowledge products or participation in knowledge sharing events, if relevant.

x. The evaluation report should include the GEF evaluation criteria rating table:[13]

[12] https://www.fao.org/3/i7429en/I7429EN.pdf.

[13] See Appendix 5 for more information on GEF ratings.

GEF criteria/sub-criteria	Rating[1]	Summary comments[2]
A. STRATEGIC RELEVANCE		
A1. Overall strategic relevance	HS-HU	
A1.1. Alignment with GEF and FAO strategic priorities	HS-HU	
A1.2. Relevance to national, regional and global priorities and beneficiary needs	HS-HU	
A1.3. Complementarity with existing interventions	HS-HU	
B. EFFECTIVENESS		
B1. Overall assessment of project results	HS-HU	
B1.1 Delivery of project outputs	HS-HU	
B1.2 Progress towards outcomes[3] and project objectives	HS-HU	
- Outcome 1	HS-HU	
- Outcome 2	HS-HU	
- Etc.	HS-HU	
- Overall rating of progress towards achieving objectives/ outcomes	HS-HU	
B1.3 Likelihood of impact	HS-HU	
C. EFFICIENCY		
C1. Efficiency[4]	HS-HU	
D. SUSTAINABILITY OF PROJECT OUTCOMES		
D1. Overall likelihood of risks to sustainability	L-HU	
D1.1. Financial risks	L-HU	
D1.2. Socio-political risks	L-HU	
D1.3. Institutional and governance risks	L-HU	
D1.4. Environmental risks	L-HU	
D2. Catalysis and replication	HS-HU	
E. FACTORS AFFECTING PERFORMANCE		
E1. Project design and readiness[5]	HS-HU	
E2. Quality of project implementation	HS-HU	
E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)	HS-HU	
E2.1 Project oversight (PSC, project working group, etc.)	HS-HU	
E3. Quality of project execution For DEX projects: Project Management Unit/BH; For OPIM projects: Executing Agency	HS-HU	
E4. Financial management and co-financing	HS-HU	
E5. Project partnerships and stakeholder engagement	HS-HU	
E6. Communication, knowledge management and knowledge products	HS-HU	
E7. Overall quality of M&E	HS-HU	
E7.1 M&E design	HS-HU	
E7.2 M&E plan implementation (including financial and human resources)	HS-HU	
E8. Overall assessment of factors affecting performance	HS-HU	
F. CROSS-CUTTING CONCERNS		
F1. Gender and other equity dimensions	HS-HU	
F2. Human rights issues/Indigenous Peoples	HS-HU	

GEF criteria/sub-criteria	Rating[1]	Summary comments[2]
F2. Environmental and social safeguards	HS-HU	
Overall project rating	**HS-HU**	

Notes:
[1] See rating scheme in Appendix 5.
[2] Include reference to the relevant sections in the report.
[3] Assessment and ratings by individual outcomes may be undertaken if there is added value.
[4] Includes cost efficiency and timeliness.
[5] This refers to factors affecting the project's ability to start as expected, such as the presence of sufficient capacity among executing partners at project launch.

Source: Elaborated by the Evaluation Team.

8. Evaluation time frame

This section lists and describes all tasks and deliverables for which evaluators or the evaluation team will be responsible and accountable, as well as those involving the commissioning office, indicating for each the due date or time frame (e.g. briefings, draft report, final report), as well as who is responsible for its completion.

Task	**Dates**	**Responsibility (OED or RES)**
Team identification and recruitment	November/December 2022	Evaluation Manager
TOR preparation	September-November2022	Evaluation Manager, LTO, FLO and GCU
TOR finalization	Early December 2022	Evaluation Manager
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	Early January 2022	Evaluation Manager, project team/country office and evaluation team
Reading background documentation	January 2022	Evaluation team
Briefing of evaluation team	End of January 2023	Evaluation Manager, GCU, LTO, FLO
Inception report	February 07, 2023	Evaluation Team
Data collection	February 14 –28, 2023	Evaluation Team with support of Evaluation Manager and PMU/Country Office
Production of first draft for Evaluation Manager review	March 10, 2023	Evaluation Team
Circulation of first draft for comments (BH, LTO, FLO, project team, GCU, key national partners, PSC members, EP)	March 24 – April 07, 2023	Evaluation Manager
Integration of comments and production of the final report	April 24, 2023	Evaluation Team
Circulation of final report and publication	May 2023	Evaluation Manager
Management response	One month after the final report is issued	BH
Follow-up report on terminal evaluation	Six months after the management response is issued	BH

Appendix 1. FAO-GEF terminal evaluation reporting outline

A specific template will be provided to the Evaluation Team.

Appendix 2. Overview of the available documents

[A list of important documents and webpages that the evaluators should read at the outset of the evaluation and before finalizing the evaluation design and the inception report. This list should include all GEF M&E and Evaluation guidelines.
The list should include the documents that have been provided to the evaluation team, such as:]

1. Project Identification Form (PIF)
2. Comments received from GEF Secretariat, the GEF Scientific and Technical Advisory Panel (STAP) and the GEF Council members on the project's design and FAO's responses
3. FAO Concept Note, and FAO Project Review Committee report
4. Request for GEF CEO Endorsement
5. FAO-GEF Project Preparation Grant (PPG) document[14]
6. Project Document
7. Project Inception Report
8. Six-monthly FAO project progress reports (PPR)
9. Annual work plans and budgets (including budget revisions)
10. All annual GEF Project Implementation Review (PIR) reports[15]
11. Any documentation detailing any changes to the project framework and project components, e.g. changes to outcomes and outputs as originally designed
12. List of stakeholders
13. List of project sites and site location maps (for planning the mission itineraries and fieldwork)
14. Execution Agreements in case under Operational Partners Implementation Modality (OPIM) and letters of Agreement (LOA)
15. Relevant technical, backstopping, and project supervision mission reports, including Back to the Office Reports (BTOR) of relevant project and FAO staff, and any reports on technical support provided by FAO HQ or regional office staff
16. Minutes of the meetings of the Project Steering Committee (PSC), FAO Project Task Force (PTF) and other relevant meetings
17. Any Environmental and Social Safeguards analysis and mitigation plan produced during project design period and online records on FPMIS
18. Any awareness raising and communications materials produced by the project, such as brochures, leaflets, presentations given at meeting, address of project website, etc.
19. FAO policy documents e.g. related to FAO Strategic Objectives and Gender
20. All other monitoring reports prepared by the project
21. Finalized GEF focal area Tracking Tools (TT) at CEO endorsement and updated TT at midterm for GEF-5 projects or review of contribution to GEF-7 core indicators (retrofitted) for GEF-6 projects, and GEF-7 core indicators for GEF-7 approved projects
22. Financial management information including: an up-to-date co-financing table; summary report on the project's financial management and expenditures to date; a summary of any financial revisions made to the project and their purpose; and copies of any completed audits for comment (as appropriate).
23. GEF Policy on Gender Equality, GEF Gender Implementation Strategy, and GEF Guidance to Advance Gender Equality in GEF Projects and Programmes
24. MTR/MTE report and management response
25. FAO Country/Countries Programme Framework document; FAO Guide to the Project Cycle; FAO Environment and Social Management Guidelines and Policy; FAO Policy on Gender Equality; Guide to mainstreaming gender in FAO's Project Cycle; and Free, Prior and Informed Consent (FPIC) Manual

In the case of programmes

26. CEO endorsement/approval of child projects under the programme
27. Programme Framework Document (PFD) and child projects titles or concepts

[14] Applicable to full-sized projects, medium-sized projects, and projects under programmes for which Project Preparation Grant (PPG) was approved by the GEF.

[15] A Project Progress Report (PPR) is a FAO requirement, due every six months, with deadlines on 31 July for a reporting period from 1 January to 30 June, and on 31 January for a reporting period from 1 July to 31 December every year. The Project Implementation Report (PIR) is a GEF requirement, due every year (usually from July) until project closure for projects that have been under implementation for one year or longer.

Appendix 3. Project results framework

Results chain	Indicators	Baseline[1]	Mid-term milestone	Target	Means of verification
Global Environmental Objective: Strengthened biodiversity conservation and enhance carbon sequestration through participatory sustainable forest management systems in dryland public and communal lands	Amount of greenhouse gas (GHG) emission avoided	At current 1.4% deforestation	Reduced rate of deforestation to 0.84% for the 45 000 ha intact forest, and 17 000 ha under sustainable forest management and 10 000 ha restoration/ regeneration	Direct emission avoided of 2 935 701 tCO2eq from 72 000 ha and indirect emission avoided of 3 807 701 tCO2eq from 80 000 ha (covering the greater Samburu, Marsabit and Likipia forest ecosystems).	Kirisia ecosystem management plan; project M&E reports; Independent mid-term review and final evaluation; GEF5- SFM and CCM Tracking Tools; EX-ACT results
	Extent of wildlife dispersal areas connected by wildlife migratory corridors	50% of the Kirisia landscape	60% of the Kirisia landscape	75% of the Kirisia landscape	Kirisia ecosystem management plan with zonations; Conservancies management reports; KWS and project annual reports
	Percentage change in total revenues earned by CFA, local forest management groups, and community members from forest-based activities, products and services.	To be confirmed at inception	10% increase over baseline	25% increase over baseline (Approx. USD 2 000 000 in total revenues generated)	Project monitoring reports; Independent mid-term review and final evaluation
Assumptions and risks for the general objective	Assumption: i) community co-managers find the incentives/benefits for co-management to be clearly superior to the costs.; ii) communities are able to develop the governance capacities to enforce the new rules necessary for PFM and conservancy management. Risks: i) lack of cohesion amongst stakeholders; ii) complexity in stakeholder collaboration due to differing interests and wide range of stakeholders; iii) slow operationalization of legislation legalizing conservancies as the vehicle for co-management; and iv) delays caused by the complexities in increasing membership to the CFA.				
Component 1: Implementation of Participatory Forest Management (PFM) and Holistic Natural Resources Management (HNRM) over 91 452 ha and 50 000 ha respectively mitigate 2 935 701 tCO2eq (direct)/ 3 807 701 tCO2eq (indirect), secure wildlife migratory corridors and increase financial returns from non-wood forest products (NWFPs) by 25%					
Outcome 1: Strengthened capacities of KFS and CFA put PFM and HNRM	KFS and CFA Institutional Capacity as measured by the UNDP standard capacity scorecard for CFA, KFS, KWS, and HNRM	Less than 50 points (to be confirmed at inception)	25% increase in capacity from baseline	50% increase in capacity scores over baseline measured by UNDP capacity scorecard	- Project monitoring reports; Independent mid-term review and final evaluation; - GEF5- SFM and CCM Tracking Tools;
	Area of degraded forest habitats undergoing reforestation/ restoration and their GHG emissions avoided	0 ha	5 000 ha	10 000 ha with 1 324 441 tCO2eq (direct) avoided	

Appendix 3. Project results framework

Results chain	Indicators	Baseline[1]	Mid-term milestone	Target	Means of verification
	Areas of forest under protection management regime and their GHG emissions avoided	0 ha	15 000 ha	45 000 ha with 630 912 tCO2eq (direct) avoided	- EX-ACT results; - Productivity assessment report for rangeland;
	Area under SFM and their GHG emissions avoided	0 ha	5 000 ha	17 000 ha with 980 348 tCO2eq (direct) avoided	
	Rangelands being managed by HNRM plans	0 ha (productivity baseline to be established at inception)	25 000 ha ha rangelands under HNRM plans with 10% increase in productivity of degradation over baseline.	50 000 ha rangelands under HNRM plans with 25% increase in productivity of degradation over baseline.	
Outcome 2: Integrity of the Kirisia ecosystem as a wildlife refuge improved to continue playing the critical role of maintaining the Samburu Heartland as a functioning ecosystem, and habitat for wildlife	Percentage of landsscape being managed under conservancies with agreements for protecting migratory corridors	3 conservancies active, 6 in intitial stages, none of them have migratory corridor protection agreements	6 conservancies operational and have high scores on the UNDP capacity assessment scorecard (for institutional capacity)	12 conservancies with agreements being honoured that protect wildlife	Project monitoring reports; Independent mid-term review and final evaluation
	Incidents of poaching for various species	Kirisia currenlty leads in incidents of poaching of elephants in the Northern Landscape	No further increase in poaching incidents from baseline	At least 40% decrease in incidents of poaching related deaths of wildlife species	Project monitoring reports; Independent mid-term review and final evaluation
Outcome 3: Income from honey, and other NWFPs providing financial incentives for PFM and conservation and increase household income by more than 25% for participating households	Percentage increase in household incomes from NWFPs	Established at inception	15% income increase from NWFPs over baseline for participating households	25% income increase from NWFPs over baseline for participating households	Project monitoring reports; Independent mid-term and final evaluations
Outcome 4: Knowledge systems inform adaptive management in PFM	Lessons available from PFM inform policy implementation	National PFM policy wasinformed by lessons but more needed to expand beneficiation from PFM by communities	Lessons on CFAs available	County government has adopted lessons in local level PFM	Project monitoring reports; Independent mid-term review and final evaluation

Results chain	Indicators	Baseline[1]	Mid-term milestone	Target	Means of verification
Assumptions and risks for component 1 outcomes	- Climate change could lead to both changed distributions of BD components, and changes in demands on biodiversity-based resources. - Conservancies are slow to join the project for fear of loss of autonomy. -Climate change affects ecosystem resilience. Assumptions: landscape approach understood and bought into by stakeholders Risk: Explosion of poaching activities driven by forces external to the Samburu community; **Assumption:** Recovery of the Kenyan tourism industry **Risk:** Continued insecurity on the Maralal road (which the County Government has committed to tackle); Risks: - Threat of continued subdivision of the Group Ranches accompanied by fencing, overgrazing, extension of agriculture and unplanned human development. Assumption: Community cohesion around HNRM can be achieved, and that communities buy-into the potential benefits of the approach; Risk: Continued insecurity in the North (with the Turkana and Rendille) over cattle raids continues, undermining HNRM planning and execution of plans Risk: Participation by women in the project is limited by lack of awareness and cultural norms Assumptions: clear and defined interest in economic engagement by appropriate stakeholders including women Risk: National government may refuse to allow CFA to benefit from harvesting of live and dead trees from the gazetted forest				
Component 2: Policy and legal framework strengthened					
Outcome 5: Subsidiary legislation and guidelines for County level implementation of the PFM National Policy of 2005 emplaced, informed by Community Bio-cultural community protocols	Number of County level strategies and plans supporting participatory PFM developed	2005 Forestry Bill allows PFM but not harminzed with County policies	Policy and legal gap anlysis completed, gaps identified and recommendations for addressing them available	80% of community management structures have legal documents that empower them with control of access and with management, harvesting and marketing rights	Policy gap analysis report Guidelines M&E reports
Assumptions and risks for component 2 outcomes	Assumptions: governance systems will enable the necessary cohesion and pace of implementation Risk: slow operationalization of policy and legal review processes due to complexity of devolved and national governments				

Note:

[1] When a baseline is not available and may require additional resources to determine, a preliminary activity could be created in the work plan.

Appendix 4. Glossary

(Source: GEF Evaluation Policy, 2019)

Agency fee: the financing provided to a GEF partner Agency in connection with a GEF project or programme.
CEO Approval: the approval of a fully developed medium-sized project or enabling activity by the GEF CEO.
CEO Endorsement: the endorsement of a fully developed full-sized project by the GEF CEO.
Child project: a project that forms part of a programme, as set out in a programme framework document.
Co-financing: financing additional to GEF project financing, and that supports implementation of a GEF-financed project or programme and the achievement of its objectives.
Evaluation: Evaluation is the systematic and impartial assessment of planned, ongoing, or completed activities, projects, programmes in specific focal areas or sectors, policies, strategies and their implementation, or other topics relevant to the GEF partnership and organization.
Full-sized project: a project with GEF project financing exceeding US$2 million.
GEF additionality: the additional effects (both environmental and otherwise) that can be directly associated with a GEF-supported project or programme
GEF Agency: an agency eligible to request and receive GEF resources directly for the design, implementation, and supervision of GEF projects and programmes
GEF-financed activity (or intervention): any programmatic approach, full-sized project, medium-sized project, or enabling activity financed from any GEF-managed trust fund, as well as regional and national outreach activities
GEF Operational Focal Point[16]: nominated by the recipient country, the GEF Operational Focal Point ensures that GEF proposals and activities in the country are consistent with country priorities and the country commitments under global environmental conventions; identifies project ideas to meet country priorities; endorses project proposals; facilitates broad based in-country consultations on GEF operational matters; and provides feedback on GEF activities, including implementation of projects.
Global Environmental Benefits: these relate to international conventions and commitments the GEF is mandated to serve. GEF projects must demonstrate that the project activities are delivering global environmental benefits.
Goal: a higher-order objective to which a GEF-financed project or programme is intended to contribute.
Knowledge Management: the process by which organizations within the GEF partnership generate value and improve performance from their intellectual and knowledge-based assets.
Impact: the positive and negative, primary and secondary long-term effects produced by a project or programme, directly or indirectly, intended or unintended.
Indicator: a quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to a project or programme, or to help assess the performance of an organization.
Lead Agency: The Agency that coordinates all activities under a programme.
Medium-sized project: a project with GEF project financing of up to US$2 million.
Midterm review: an assessment of a project or programme's performance and results carried out for adaptive management purposes at the midpoint of a project or programme's intended duration.
Monitoring: a continuous or periodic function, carried out by project or programme management, that uses a standardized and systematic process of collecting and analyzing data on specific indicators to provide decision-makers and management of a GEF-financed activity with information on progress in the achievement of objectives and in the use of allocated funds.
Outcome: an intended or achieved short- or medium-term effect of a project or programme's outputs.

[16] See https://www.thegef.org/sites/default/files/council-meeting-documents/C.8.Inf_.5_5.pdf

Output: a product or service that results from the completion of activities implemented within a project or programme.
Portfolio: a subset of projects focusing on a specific theme, GEF focal area, geographic region, country, or GEF Agency.
Programme: a coherent set of interventions designed to attain specific global, regional, country, or sector objectives, consisting of a variable number of child projects.
Programme's added value: the additional results brought in by the GEF funding delivered as a programme compared with either a pre-existing or a hypothetical set of stand-alone full- and/or medium-sized projects or other comparable alternatives.
Programme framework document: the document that sets forth the concept of a programme that is proposed for GEF financing.
Result: Include intervention outputs, outcomes, progress toward longer-term impact including global environmental benefits, and should be discernible/measurable.
Stakeholder: an individual or group that has an interest in the outcome of a GEF project or programme or is likely to be affected by it, such as local communities, indigenous peoples, civil society organizations, and private sector entities; stakeholders may include national project or programme executing agencies, or groups contracted to conduct activities at various stages of the project or programme.
Stakeholder engagement: a process that begins with stakeholder identification and analysis, and includes planning; disclosure of information; consultation and participation; monitoring, evaluation, and learning throughout the project cycle; addressing grievances; and ongoing reporting to stakeholders.
Terminal evaluation: evaluation of a project or programme's design, performance, and results carried out at the end of implementation.

Appendix 5. GEF ratings

PROJECT RESULTS AND OUTCOMES

Project outcomes are rated based on the extent to which project objectives were achieved. A six-point rating scale is used to assess overall outcomes:

Rating	***Description***
Highly Satisfactory (HS)	*Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings.*
Satisfactory (S)	*Level of outcomes achieved was as expected and/or there were no or minor shortcomings.*
Moderately Satisfactory (MS)	*Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.*
Moderately Unsatisfactory (MU)	*Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings.*
Unsatisfactory (U)	*Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.*
Highly Unsatisfactory (HU)	*Only a negligible level of outcomes achieved and/or there were severe shortcomings.*
Unable to Assess (UA)	*The available information does not allow an assessment of the level of outcome achievements.*

During project implementation, the results framework of some projects may have been modified. In cases where modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the evaluator should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.

PROJECT IMPLEMENTATION AND EXECUTION

Quality of implementation and of execution will be rated separately. Quality of implementation pertains to the role and responsibilities discharged by the GEF agencies that have direct access to GEF resources. Quality of execution pertains to the roles and responsibilities discharged by the country or regional counterparts that received GEF funds from the GEF agencies and executed the funded activities on ground. The performance will be rated on a six-point scale:

Rating	***Description***
Highly Satisfactory (HS)	*There were no shortcomings and quality of **implementation** or **execution** exceeded expectations.*
Satisfactory (S)	*There were no or minor shortcomings and quality of **implementation** or **execution** meets expectations.*
Moderately Satisfactory (MS)	*There were some shortcomings and quality of **implementation** or **execution** more or less meets expectations.*
Moderately Unsatisfactory (MU)	*There were significant shortcomings and quality of **implementation** or **execution** somewhat lower than expected.*
Unsatisfactory (U)	*There were major shortcomings and quality of **implementation** or **execution** substantially lower than expected.*
Highly Unsatisfactory (HU)	*There were severe shortcomings in quality of **implementation** or **execution**.*
Unable to Assess (UA)	*The available information does not allow an assessment of the quality of **implementation** or **execution**.*

MONITORING AND EVALUATION

Quality of project M&E will be assessed in terms of:

i. design

ii. implementation

SUSTAINABILITY

The sustainability will be assessed taking into account the risks related to financial, socio-political, institutional and environmental sustainability of project outcomes. The evaluator may also take other risks into account that may affect sustainability. The overall sustainability will be assessed using a four-point scale:

Rating	***Description***
Likely (L)	*There is little or no risk to sustainability.*
Moderately Likely (ML)	*There are moderate risks to sustainability.*
Moderately Unlikely (MU)	*There are significant risks to sustainability.*
Unlikely (U)	*There are severe risks to sustainability.*
Unable to Assess (UA)	*Unable to assess the expected incidence and magnitude of risks to sustainability.*

Appendix 6. Financial data

GEF financing table

Co-financer name	Co-financer type[17]	Co-financing type[18]	Co-financing agreed upon at CEO endorsement (in USD)			Materialized co-financing at project end (in USD)		
			In kind	Cash	Total	In kind	Cash	Total
Total								

GEF grant by project component and result

	Total at CEO endorsement		Total at the end of the project	
	%	(USD '000)	%	(USD '000)
Component 1: **Outcome 1.1** **Outcome 1.2** **Subtotal**				
Component 2: **Outcome 2.1** **Outcome 2.1** **Subtotal**				
Component 3: **Outcome 3.1** **Subtotal**				
Component 4: **Outcome 4.1:** **Subtotal**				
TOTAL PROJECT COST				

[17] Some examples of categories include: local, provincial or national government; autonomous semi-governmental institutions; private sector; multilateral or bilateral organizations; educational and research institutions; non-governmental organizations; civil society organizations; foundations; beneficiaries; GEF agencies; and others (please explain).

[18] Scholarships, loans, equity participation by beneficiaries (individuals) in form of cash, guarantees, in-kind or material contributions, and others (please explain).

Appendix 7. Theory of change, as per the mid-term review

1. The local Samburu nomadic people have a long history of customary forest and rangeland management practices. These customary practices have been undermined by top down conservation approaches. When the forest was gazetted in the 1930s by the colonial administration, settlement within it and most customary uses were criminalized and a militaristic protection regime was introduced. Without rights, often forcibly removed and persecuted for use of the forest, communities no longer had the incentive to control access, manage the forest or regulate use. As stewardship by communities lessened, the government had insufficient resources to fully enforce this top down regulatory approach. This led to a degree of 'open access' behaviour, where local people did not feel responsible for the forest so there was uncontrolled access and use. This was compounded by refugees arriving from the north of Samburu County in the 1990s during conflict and drought to seek refuge in the forest. On top of this, increased population increasing, increased adoption of sedentary agriculture and break down of traditional culture as well as increased market demand for forest products all contributed to forest destruction. The breakdown of customary control certainly worsened the impact on the forest of all the other factors, especially the migration into the forest by refugees and destructive uses such as uncontrolled charcoal production.

2. The project takes advantage of and put into practice, aspects of recent legislative provisions that support more devolution of natural resources management, including the Forest Act of 2016 allow for greater community engagement in management of natural forest resources. This operationalization of devolution policy will be achieved by supporting a PFM pilot in Kirisia forest and HNRM in surrounding rangelands where more authority, rights and responsibilities will be devolved to communities who will work with partnership with government stakeholders in managing the natural resources. Fundamentally at a time when there are more threats than ever to the forest, the project aims to replace a more top down approach that has produced an antagonistic relationship between government and communities over the forest, with a new partnership approach, a sharing of rights, authority and responsibilities. It is envisaged that this approach will produce a 'win-win' for government, communities and the forest with the project's global environmental objective of: 'Strengthened biodiversity conservation and enhanced carbon sequestration through participatory sustainable forest management systems in dryland public and communal lands'.

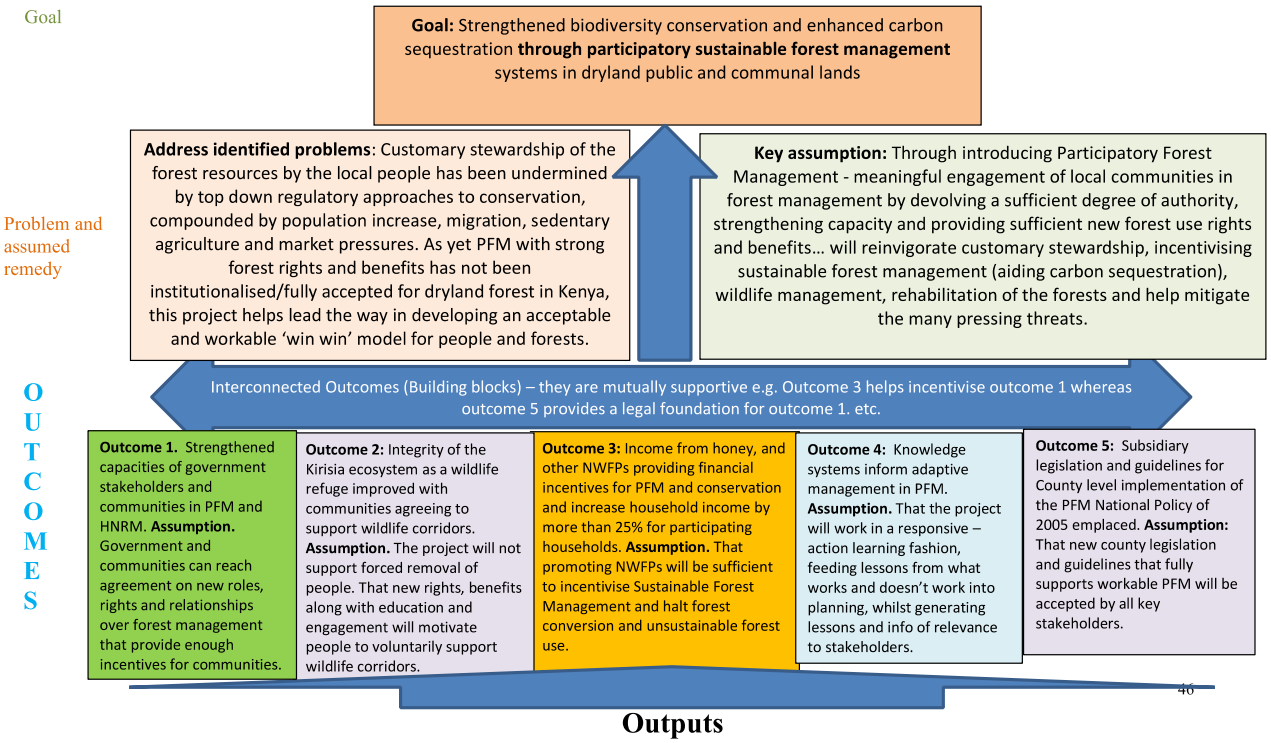
3. The project's aims and approach fit well with GEF priorities (BD-2, CCM-5, SFM/REDD+-1, SFM/REDD+-2) aiming to achieve environmental and ecological objectives in an approach that also delivers social, economic and empowerment benefits. The project fits very well in helping operationalise an evolving legal and institutional framework in Kenya that supports increased local devolution and empowerment of communities to take more control of the sustainable management of natural resources (see the Forest Act 2016, Constitution of Kenya 2010, the Land Act 2012 and many others).

4. The central premise of the project around the efficacy of devolution of rights and responsibilities to communities to promote sustainable forest and rangeland management was considered highly relevant by communities with whom the MTR team interacted with during the review. On the other hand although many government officials interacted with fully supported the premise that devolving more rights and responsibilities to communities over the forest resources would incentivise more sustainable management, there were some indications and reports of tough 'top down' exclusionary pronouncements from some senior officials who have again reiterated the need to fully exclude people and punish forest use. Therefore, the project has a very relevant role

still to play in piloting an alternative approach to top down exclusionary approaches whilst building trust between all stakeholders in the approach and each other.

5. An unanticipated challenge to the logic of the project was that the project had assumed it would build on and from the existing single Community Forest Association (CFA). However, a combination of factors made this CFA unpopular and caused conflict in the area, these factors included the formation of the CFA in a way that wasn't built 'bottom up' from within communities and also didn't have political buy-in during a period of political turbulence. Therefore, the project instead of having a good foundation to build on had to spend significant time and effort in conflict resolution, awareness creation, trust building and formation of 3 new CFAs in a bottom up process. There was however no other way around this issue, for the project to proceed, the conflict needed to be solved and the CFA replaced. The project dealt with this situation astutely and effectively but it did have significant impact on the project's implementation status against its anticipated targets.

Appendix Figure 1. Theory of change (interpreted by the reviewers)



Appendix 8. Summary budget revision

Rationale
The Project Steering Committee (PSC) meeting held on 8 February 2018 reviewed the workplan and made recommendations to address emerging issues in the project area. In this regard, the project workplan and budget was revised accordingly with merging of some activities and addition of new ones. The Excel budget provides details of the changes and there are budget notes in every line. Overall, there were no fundamental changes and no activity was scrapped. The main area of the revision were on:

International consultants
The PSC stated that the country has adequate capacity to handle the activities that could have been undertaken by the international consultants except on SFM/REDD+. In this regard, the international consultant's budget has been revised downwards and some activities will be covered by national consultants and others through LOAs.

National consultants
The PSC felt that there were so many consultants doing various activities and generating so many reports that may not be coordinated. The PSC proposed that some activities be merged while others be implemented through LOAs. A new line for communication expert was added to work on the project communication strategy as per GEF requirements.

Contracts
The PSC proposed that some activities under international and national consultants be covered through LOAs for better coordination and cost effectiveness. The LOAs are being implemented by national institutions (KFS, KEFRI, KWS, NMK) with statutory mandate and technical capacity in their respective areas and thus their involvement is key for sustainability of project outcomes. In this regard, the PSC felt that these institutions should be given more responsibilities and thus the additional budget under the contracts budget line.

Travel
No change

Training and workshops
Some training activities were transferred to the contracts budget line since they were closely linked.

Expendable equipment
The PSC observed that the budget for communication materials was inadequate and proposed increment. The PSC also proposed that KFS should train the Community Forest Association (CFA) in tree nursery establishment for long-term supply of seedlings instead of buying seedlings directly from elsewhere. In this regard, the tree seedling budget was reduced by half and the other half transferred to contracts budget line to provide training of CFAs in tree nursery establishment.

Non-expendable equipment
The PSC has no objection to all items but proposed additional budget for specialized equipment for forest and wildlife monitoring. The PSC proposed piloting of application of DRONES in forest and wildlife monitoring due to the huge expanse of Kirisia ecosystem.

General operating expenses
The additional cost of security provision and high cost of fuel was factored in the additional budget.

Proposed budget

	Code	DESCRIPTION	Approved budget Total budget ($)	Proposed new budget ($)	Budget holder fee	Budget notes	Component 1	Component 2	PMC
		5300 Salaries Professionals							
	5011	Administration and Finance Officer	90 000	62 450	62 450				**62 450**
	5011	Programme/M&E Assistant	44 450	0					
	5300	**Total professionals**	**134 450**	**62 450**	**62 450**	BH Fee Budget			
	5570	**Consultants**							
	5542	**International Consultants**							
	5013	International Legal/policy expert (international policy guidance, protocol, MoUs, Agreements)	18 000	0		Removed to be covered by National Consultant (A38)		-	
	5013	International SFM/REDD+ /PFM specialist	12 000	32 000		Retained and Budget added	**32 000**		
	5013	International Enterprise Development Expert	12 000	0		Removed to be covered by National Consultant (A29)	-		
	5013	International MRV system development expert	12 000	0		Removed to be covered by LoA (A51)	-		
	5013	International Holistic Natural Resources/Rangeland Management expert	18 000	0		To be covered under HNRM LoA (A60)	-		
		Sub-total international Consultants	**72 000**	**32 000**					
	5543	**National consultants**							
	5013	Institutional development expert	4 000	5 000		Retained and Budget added	**5 000**		
	5013	Conflict resolution and stakeholder management expert	10 000	38 400		Retained and budget added to cover expanded TOR	**23 040**	**15 360**	
	5013	GIS/forest inventory Expert (Ground Truthing)	30 000	30 000		Budget line Retained	**30 000**		
	5013	Legal Expert (legislation, policy guidance, protocol, MoUs, Agreements)	20 000	20 000		Budget line Retained	**10 000**	**10 000**	
	5013	Expert for analysis of wildfire risk and develop a forest fire management strategy	3 000	0		To be covered under KFS LoA2 (A54)	-		
	5013	Expert to customise curricula for agro-pastoral field schools (wildlife/human conflicts, tenure rights, participatory SFM, nursery and reforestation techniques)	4 000	0		To be covered under new Agropastoral FFS LoA (A61)	-		
	5013	Bio-diversity development expert	11 250	0		Activity A23 and A27 to be merged and turned to a new LoA (A59)	-		
	5013	Land Use and rangeland management Expert	4 000	0		To be covered under new HNRM LoA (A60)	-		
	5013	Expert for mapping of wildlife corridors and critical wildlife habitats, and identification of human/wildlife hotspots	6 000	0		To be covered under KWS LoA1 (A56)	-		
	5013	SFM/REDD+ /PFM specialist	20 000	0		Activity to be covered by international consultant (A11)	-		
	5013	Expert for Status update of biodiversity for Leroghi ecosystem and identification of critical threatened/endangered species and the underlying drivers of biodiversity loss in Leroghi	6 000	0		Activity A23 and A27 to be merged and turned to new LoA (A59)	-		
	5013	Forest Management Expert (Development of Forest rehabilitation /reforestation strategy)	11 250	0		To be covered under KFS LoA2 (A54)	-		
	5013	Enterprise Development Expert	12 000	24 000		Retained and Budget added for extra 6 months	**24 000**		
	5013	GIS/remote sensing Expert Mapping of critical wildlife migratory corridors in the Samburu Heartlands and identification of human/wildlife hotspots/ Identify and map high value biodiversity areas (HVBAs) and forest fragments outside of the gazetted blocks	30 000	0		To be covered under KWS LoA1 (A56)	-		
	5013	Expert for support of a participatory study to identify other NWFP and their value chains	5 000	0		To be covered under KEFRI LoA (A52)	-		
	5013	Expert to undertake a gender assessment/gender analysis, develop strategy and action plan	8 000	0		Activity Already undertaken	-		
	5013	Expert for design and implementation of an M&E system	16 000	0		Activity to be covered by M&E Officer (A41)	-	-	
	5013	Expert for implementation of strategy/action plan	16 000	0		To be covered by NPC (A39)	-	-	
	5013	Natural Resources Management Officer	90,000	90,000	72 000	Funds moved from line 5011 cover the NRM officer for the entire project duration	**78 000**	**12 000**	**72 000**
	5013	Gender officer	48,000	38,000		Budget Reduced since most Gender work is already covered	**33 250**	**4 750**	

			Approved budget						
	Code	DESCRIPTION	Total budget ($)	Proposed new budget ($)	Budget holder fee	Budget notes	Component 1	Component 2	PMC
New	5013	Communication Expert	0	36 000		New Line Added to cover a GEF Communications Expert	18 000	18 000	
	5013	Policy officer (including policy gap analysis)	35 000	23 000		Position Retained with a reduced budget		23 000	
	5013	National Project Manager/coordinator	135 000	135 000		Original Budget line Retained	118 125	16 875	
	5013	Project Officer at project management unit	45 000	45 000		Original Budget line Retained	39 000	6 000	
	5013	M&E officer at project management unit	40 000	34 000		Reduced budget; Expected cost sharing with the GEF 6 project	17 000	17 000	
	5013	Operations Assistant at project management unit	60 000	75 000		Increased Budget to cover entire project duration	50 000	25 000	
	5013	Samburu Office Assistant	30 000	30 000		Budget line Retained	26 250	3 750	
	5013	Driver	60 000	60 000		Budget line Retained	52 500	7 500	
	5013	Finance and Admin		30 000		New Line Added	22 500	7 500	
		Sub-total national consultants	**759 500**	**713 400**					
	5570	**Total sonsultants**	**831 500**	**745 400**					
	5650	**Contracts**							
	5014	LoA for development of forest management funds at the CFA, LFMG and the group ranches	60 000	0		To be covered under KFS1 LoA (A53)	-		
	5014	LoA for support the operational development of the SSU (procedures, guidelines and reporting) for CFAs (KFWG)	60 000	60 000		Original Budget line Retained	60 000		
	5014	Service contract for construction of services for a fire towers and provision of machinery and fencing	120 000	60 000		Budget to be split by half to cover both service provision and procurement of machinery/equipment	60 000		
	5014	LoA for a Knowledge platform for MRV of carbon accounting, biodiversity, socioeconomic data	60 000	30 000		Retained to focus on MRV and carbon accounting, Bodiversity asesement to be covered by NMK LoA (A59)	30 000		
	5014	LoA for Forest inventory of permanent sample plots (PSP) for MRV for calculation of avoided deforestation and Training of CFA Forest User Groups in NWFPs (KEFRI)	70 000	70 000		KEFRI LoA to focus on NWFPs and Socio-economic data (MRV to be covered by LoA (A51)	70 000		
	5014	Lo A for Review and upgrading of PFM to Kirisia Ecosystem Management Plan (KFS)	70 000	100 000		KFS LoA1	50 000	50 000	
New	5014	Support to forest restoration programme (KFS)	0	50 000		Added KFS LoA2 to cover actual restoration programme	50 000		
	5014	LoA for the training of CFAs in nursery establishment and management	50 000	30 000		To be covered under an LoA-Service Provider TBD	30 000		
	5014	LoA for establishment of anti-poaching activities in the conservancies (KWS)	30 000	60 000		KWS LoA1 to incorporate baseline suvey migratory corrdidors mapping	60 000		
	5014	LoA for support of establishment and capacity building of Community wildlife Conservancies (KWS)	56 000	50 000		To be covered under an LoA with KWS2	25 000	25 000	
	5014	LoA to Develop County Tourism Strategy (AWF)	30 000	70 000		To be covered under an LoA with AWF	70 000		
New	5014	LoA for designing a biodiversity monitoring plan in a participatory process involving all the key partners (KWS, KFS, CFA, and County Government) and research institutions (building on best practices)	0	30 000		To be covered under an LoA with NMK	30 000		
New	5014	LoA for Holistic Natural Resource Management, Land Use and Integrated Rangeland Management	0	50 000		To be covered under an LoA	50 000		
New	5014	Agropastoral FFS LoA	0	40 000		To be covered under an LoA-Sandana Forest	40 000		
	5014	External Project Mid-Term Review	35 000	35 000		Original Budget line Retained	35 000		
	5014	External Project Evaluation, Final	50 000	50 000		Original Budget line Retained	50 000		
	5650	**Total contract**	**691 000**	**785 000**					
	5900	**Travel**							
	5021	DSA for county team (drivers, Engineer & surveyor)	15 000	15 000		Original Budget line Retained	15 000		
	5021	Baseline survey travel	20 000	20 000		Original Budget line Retained	20 000		
	5021	Travel FAO project personnel	80 000	80 000		Original Budget line Retained	70 000	10 000	
	5021	Travel Government/Partners	72 000	72 000		Original Budget line Retained	63 000	9 000	
	5900	**Total travel**	**187 000**	**187 000**					
	5023	**Training and workshops**							
New	5023	Awareness raising-Stakeholder consultation/baseline survey/ scoping mission/meeting with stakeholders (CFA etc.) for capacity and support needs assessment of the key institutions involved in PFM	36 000	36 000		New line for community sensitization and awareness activities	24 000	12 000	

Appendix 7. Theory of change, as per the mid-term review

			Approved budget						
	Code	DESCRIPTION	Total budget ($)	Proposed new budget ($)	Budget holder fee	Budget notes	Component 1	Component 2	PMC
	5023	Workshops for i) participatory land delineation of the geographic limits for each local forest management groups (LFMG) in Leroghi; ii) the development of constitutional by-laws for the CFA; iii) conflict resolution between the boundaries of Leroghi state forest and the surrounding ranches;	24 000	24 000		Original Budget line Retained	**24 000**		
	5023	Training for forest protection and fire management (wildlife conservancies, Community Forest Rangers)	42 000	42 000		Original Budget line Retained	**42 000**		
	5023	Training workshops for participatory inventory , mapping and zoning of the Kirisia ecosystem resources and zones, bio-diversity monitoring plan (including GIS mapping, ground truthing and participatory zoning)	36 000	0		To be covered under by LoA (A59)	-		
	5023	Workshop for participatory development of LFMG plans, zoning and definition of the forest management objectives at the LFMG level	20 000	20 000		Original Budget line Retained	**20 000**		
	5023	Awareness raising and support to the development of SME for timber products and forest restoration services	12 000	12 000		Original Budget line Retained	**12 000**		
	5023	Training on Farmer Managed Natural Regeneration, Forest User Groups in Market Analysis and Enterprise Development, SFM technical skills (county, community)	48 000	48 000		Original Budget line Retained	**48 000**		
	5023	Training for participatory analysis of the impacts of overgrazing and Holistic Natural Resource Management (Enrichment planting, Natural regeneration) (county extension staff, pastoral Farmer Field School Facilitators)	30 000	0		To be covered under HNRM LoA A60	-		
	5023	Community awareness and sensitization with land users/ owners, consultative meetings for formalisation of the new conservancies with appropriate governance and management structures	20 000	20 000		Original Budget line Retained	**20 000**		
	5023	Training to local communities as anti-poaching rangers for the conservancies	24 000			To be covered by KWS LoA (A56)	-		
	5023	Business Skill Training/workshops for Proper honey handling techniques, establishment of honey collection points , support the County Government to mobilize funding for a honey processing plant (PPP), Producer Organisations and market players	36 000	36 000		Original Budget line Retained	**36 000**		
	5023	Training for producer organizations on Village Community Banking (VICOBA)	20 000	20 000		Original Budget line Retained	**20 000**		
	5023	Workshop for identification and support of SME based on wildlife (ecotourism), medicinal plants, wood and Non-wood forest products, business/enterprise development plans, implementation of the business enterprise plans, consultations between producer associations and market players	30 000	30 000		Original Budget line Retained	**30 000**		
	5023	Training of CPA members in sustainable NWFPs production	15 000	0		To be covered under Move KEFRI LoA (A51)	-		
	5023	Awareness raising and workshop on drafting bio-cultural community protocols (BCPs)	30 000	30 000		Original Budget line Retained		**30 000**	
	5023	workshops for the participatory review by high-level decision makers and support , Support advocacy and policy dialogue activities on gender	24 000	24 000		Original Budget line Retained		**24 000**	
	5023	Project Advisory events to establish a knowledge management structure for collection and MRV of carbon accounting, biodiversity, livelihood, community resources information, gender	12 000	12 000		Original Budget line Retained	**3 000**	**9 000**	
	5023	Inception workshop	5 000	5 000		Original Budget line Retained	**5 000**		
	5023	Closing workshop	6 104	6 104		Original Budget line Retained	**6 104**		
	5023	**Total training**	**470 104**	**365 104**					
	6000	**Expendable procurement**							
	5024	Printed material, brochure, outreach etc.	4 535	24 535		Budget Increased to cater for communicarion/visibility		**24 535**	
	5024	Satellite Images	10 000	10 000		Original Budget line Retained	**10 000**		
	5024	Tree seedlings (1,000,000@US$ 0.1)	100 000	50 000		To be incorporated in KFS LoA2 (A56)	**50 000**		
	5024	Topographic Maps for Leroghi forest (printed)	5 000	5 000		Original Budget line Retained	**5 000**		
New	5024	Office Supplies	0	10 000			**5 000**	**5 000**	
	6000	**Total expendable procurement**	**119 535**	**99 535**					
	6100	**Non-expendable procurement**							
	5025	Android tablets for data entry	4 000	4 000		Original Budget line Retained	**4 000**		
	5025	Mobile Phones	2 400	2 400		Original Budget line Retained	**2 400**		
	5025	Motor cycles	18 000	18 000		Original Budget line Retained	**18 000**		
	5025	Office vehicle (landcruisers)	56 000	56 000		Original Budget line Retained	**49 000**	**7 000**	
	5025	Pre-fabricated units	24 000	24 000		Original Budget line Retained	**24 000**		
	5025	Tractor/trailer	40 000	40 000		Original Budget line Retained	**40 000**		
	5025	Equipment and materials for wildlife monitoring and protection	50 000	100 000		Budget Increased to cater For procurement of Drones for Forest Surveillance	**100 000**		
	5025	Office Furniture and equipment	10 000	10 000		Original Budget line Retained	**10 000**		

			Approved budget						
	Code	DESCRIPTION	Total budget ($)	Proposed new budget ($)	Budget holder fee	Budget notes	Component 1	Component 2	PMC
	5025	ICT equipment (computers, Power Back ups, printers, photocopier, scanner and projector)	20 000	20 000		Original Budget line Retained	20 000		
	5025	Processing machinery for agro-products	20 000	20 000		Original Budget line Retained	20 000		
	5025	Laptop computer	12 000	12 000		Original Budget line Retained	10 500	1 500	
New	5025	Procurement of Fire fighting machinery		40 000			40 000		
	6100	Total Non-expendable procurement	256 400	346 400					
	6300	General Operating Expenses (GOE) budget							
	5028	miscellaneous cost including stationary and consumables, security escort)	30 950	47 050		Budget increased for office stationery and consumables	37 640	9 410	
	5028	Office space	24 000	25 000			21 875	3 125	
	5028	Internet and telephone connection (including field)	20 000	20 000			20 000		
	5028	Fuel (for the road grader)	8 000	8 000			8 000		
	5028	Vehicle fuel cost	15 000	25 000		Budget increased	21 875	3 125	
	5028	Vehicle maintenance cost	35 500	35 500			31 950	3 550	
		6300 total GOE budget	133 450	160 550					
		LINE TOTAL	2 823 439	2 688 989	134 450				
		Total Project Costs		2 823 439			2 296 009	392 980	134 450
			Original budget	Revised budget	Difference				
		SUBTOTAL Comp1	2 329 214	2 296 009	(33,205)				
		SUBTOTAL Comp2	359 775	392 980	33,205				
		Total components	2 688 989	2 688 989	-				
		SUBTOTAL Project Management	134 450	134 450	-				
		Total	2 823 439	2 823 439	-				

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