



## **Mid-Term Review of FAO-GEF Project**

**FAO Project ID: GCP/KEN/090/GFF**

**GEF Project ID: 9556**

**Restoration of arid and semi-arid lands (ASAL) of Kenya  
through bio-enterprise development and other incentives**

**The Restoration Initiative Child project**

**Final Report**

**MTR conducted in March 2022**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**

**NAIROBI - KENYA**

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Note: All maps prepared by the ASAL Project.

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## **MTR team**

- *Warren Olding (International consultant and team leader)*
- *Prof Bernard Muok & Mr Robinson Ng'ethe (National consultants)*

## **FAO-GEF Coordination Unit, MTR support**

- *Ms Genevieve Braun and Ms Ydidiya Abera*

## **FAO Budget Holder**

- *Mrs Carla Mucavi*

# Acronyms and abbreviations

AFOLU	Agriculture, forestry and other land use sector
AFR100	African Forest Landscape Restoration Initiative
ANR	Assisted natural regeneration
AREECA	Large-scale Forest Landscape Restoration in Africa
BD	Biodiversity
BH	Budget holder
BMU	Min. for Environment, Nature Conservation & Nuclear Safety (Germany)
CADEP	Capacity Development for Sustainable Forest Management Project
CBD	Convention on Biological Diversity
CC	Climate change
CEAP	County Environment Action Plan
CFA	Community Forest Association
CIDP	County Integrated Development Plan
CMLC	Community land management committees
CPF	Country Programming Framework
CSO	Civil Society Organisation
DEX	Direct execution (FAO)
ESM	Environmental and Social Management (FAO Safeguards)
Ex-Act	Ex-ante Carbon Balance Tool
EO	Expected outcome
FAO-STP	Food and Agriculture Organization Office in Sao Tomé and Príncipe
FLO	Funding liaison officer (FAO)
FLR	Forest landscape restoration
EES	Environmental and social safeguards
EO	Expected outcome
ETS	Emission trading scheme (also known as Cap and Trade scheme)
FLRM	Forest and Landscape Restoration Mechanism
FOLAREP	Forest Landscape Restoration Implementation Action Plan (2022-2025)
FSMP	Forest sector management plan
FRA	Forest resource assessment
GCP	Global child project (of TRI)
GEB	Global Environmental Benefits
GEF	Global Environment Facility
GHG	Greenhouse gas
GCU	GEF Coordination Unit (FAO-Rome)
GPFLR	Global Partnership on Forest Landscape Restoration
Ha	Hectare
ICRAF	International Council for Research in Agroforestry
IES	Incentives for ecosystem services
ILMAMUSI	IL Ngwesi, Makurian, Mukogodo and Sieku group ranches
iNGOs	International non-governmental organisations
IPBRCC	Integrated program to build resilience to CC and adaptive capacity

IUCN	International Union for the Conservation of Nature
KIBT	Kenya Institute of Business Training
KFS	Kenya Forest Service
KEFRI	Kenya Forest Research Institute
KIRDI	Kenya Industrial Research & Development Institute
KPSA	Kenya Private Sector Alliance
KWS	Kenya Wildlife Service
KWTA	Kenya Water Tower Authority
LTO	Lead Technical Officer
MEF	Ministry of Environment and Forestry
M&E	Monitoring and evaluation
MKBR	Mount Kulal Biosphere Reserve
MKEMP	Mount Kulal Ecosystem Management Plan
MITED	Ministry of Industrialisation, Trade and Enterprise Development
MRV	Monitoring, reporting and verification
MTR	Mid-term review
NBSAP	National Biodiversity Strategy and Action Plan
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NCP	National child project (of TRI)
NDC	National Determined Contributions
NEAP	National Environment Action Plan
NFLRCC	National FLR Coordination Committee
NFLRKMS	National FLR Knowledge Management System
NFLRSC	National FLR Steering Committee
NFLRTWG	National FLR Technical Working Group
NFP	National Forest Policy
NK	Nature Kenya
NMK	National Museum of Kenya
NRT	Northern Rangelands Trust
NTFP	Non-timber forest products
NTPFS	Non-timber forest products and services
PAC	Program Advisory Committee (for TRI)
PD/Prodoc	Project document
PES	Payment for ecosystem services
PFD	Project framework document (global project of the TRI)
PMU	Project Management Unit
PIR	Project Implementation Report (for GEF)
PPR	Project Progress Report (for FAO)
PSC	Project Steering Committee
PTF	Project Task Force (FAO)
RAELOC	Reviving ASAL Economies through Livestock Opportunities & Coord.
REDD+	Reducing Emissions from Deforestation and Forest Degradation
ROAM	Restoration Opportunity Assessment Method
SDG	Sustainable Development Goals

SFM	Sustainable forest management
SME	Small and medium-sized enterprise
SLM	Sustainable land management
SO	Strategic Objective
tCO <sub>2</sub> eq	Tonnes of carbon dioxide equivalent
TEV	Total economic value (of ecosystem services)
ToC	Theory of Change
ToR	Terms of reference
TRI	The Restoration Initiative
UENERB	Upper Ewaso Ngiro River Basin
UNEP	United Nations Environment Programme
WRUA	Water Resource Users Association
WSTF	Water Sector Trust Fund (in the MKBR)
WWF	World Wildlife Fund
WWM	Wazee wa mazingira committee

# 0. Executive summary

## 0.1 Introduction

1. The Terms of Reference (ToR) of the Mid-Term Review (MTR) specify its main purpose is, *“to assess the progress made towards achievement of a project’s planned results and to provide inputs to better orient FAO-GEF project in Kenya GCP/KEN/090/GFF making it more relevant to the needs of the country”*. All findings, conclusions and recommendations in this report have been identified in accordance with the Guide for planning and conducting mid-term reviews of FAO-GEF projects and programmes (2020). This includes the application of the following evaluation criteria: relevance, effectiveness, efficiency, sustainability, factors affecting project performance, cross-cutting priorities (including social inclusion and environmental and social standards) and gender equality. The scope of the MTR covers the period from project’s implementation start date (entry of duty) on 01 August 2018 to the end of the field mission of the MTR. The MTR’s field mission took place between 24 February 2022 and 12 March 2022. The MTR comprised an independent team of one international consultant (lead consultant) and two national consultants. The MTR was conducted through three main phases: an inception phase in which a participatory stakeholder analysis was conducted, and a theory of change constructed for the ASAL Project, together with the formulation of an evaluation matrix to guide the MTR’s interview process. Following this a field phase was realised in Kenya to carry out a series of remote and/or in-person semi-structured interviews and site visits to support the triangulation of findings. The third phase involved a synthesis of main findings to produce the MTR report.

## 0.2 Main findings

**Relevance** - *Question 1: Are the project outcomes congruent with current country priorities, GEF focal areas/operational programme strategies, the FAO Country Programming Framework, the TRI global project objectives and the needs and priorities of targeted beneficiaries (local communities, men and women and indigenous peoples if relevant?)*

2. **Satisfactory:** The project’s outcomes remain highly congruent with national policy commitments to restore its forest and rangeland landscapes. Outcome 1 is directly linked to the country’s commitment to identify, approve and implement the Forest Landscape Restoration Implementation Action Plan 2022-2025 (FOLAREP), and the National Equitable Benefit Sharing Regulations to govern access to and the benefits of forest ecosystem goods and services. Outcome 2, is committed to establishing 152,661 ha of forest and rangeland landscapes under improved management, which represents a direct contribution of 3 percent to the national government’s commitment to restore 5.1 m. ha of degraded forest landscapes by 2030 under the AFR100/Bonn Challenge. Outcome 3 fully supports the country’s commitment to devolution of government and aligns with the priorities of local communities to gain greater control over the management and conservation of the forest and rangeland landscapes they depend upon to sustain their livelihoods. Finally, Outcome 4 fully supports the objectives of KEFRI and the County governments to improve internal monitoring of the FOLAREP and knowledge management on the FLR process and development of non-timber forestry products and services (NTFPS) and the national government’s Big Four Agenda that includes manufacturing. The ASAL project also remains highly supportive of GEF6 focal areas (BD-4-9, CC-2-4, LS-2-3, LD-3-4 and



SFM-3). FAO's Strategic Objective 2 highlighted in the Prodoc, and supports the meeting of relevant targets under several Sustainable Development Goals (SDG 1, 2, 13 and 15). Nevertheless, the project's relevance is compromised by some shortcomings in the project's design, insufficient expertise in the Project Steering Committee to guide the development of bio-enterprises and insufficient attention given to establishing formal synergies with other relevant GEF-funded projects in Kenya, as well as with other donors, supporting FLR in Kenya.

**Effectiveness** - *Question 2: To what extent has the project delivered on its outputs, outcomes and objectives and what broader results (if any) has the project had at regional and global level to date?*

- Moderately satisfactory:** the ASAL Project is on track to deliver a number of important outputs, but it is highly unlikely it can achieve its main outcomes and objectives by its closure date on 31 July 2023. Progress has been satisfactory under component 1 where the ASAL Project has successfully completed a national consultation process on the FOLAREP, which has been instrumental in raising awareness and stimulating debate on the funding of FLR at the national and county government levels. As a result, the FOLAREP is likely to be officially adopted and start implementation from mid-2022. Under component 2 the project is in the process of finalising the Mount Kulal Ecosystem Management Plan (MKEMP) and conservancy forest management plans in Isiolo and Laikipia Counties around the Mukogodo forest. Data collected by the MTR team indicates these new/updated plans cover in total 202,397 ha of forest and rangelands, which is considerably more than the 152,661 ha targeted in the Prodoc. Also, noteworthy has been the realisation of assessments showing the high economic value of restoring and conserving forests, that demonstrate restoring, conserving and sustainably using forest landscapes should be considered as a land use category in its own right, especially as voluntary emission trading schemes could on their own generate significant income to help sustain the FLR process. However, many of the project's planned outputs are well behind schedule, in particular concerning the application of FLR activities in the two project sites (covering a total of 950 ha) and the development of bio-enterprises. The combination of the COVID-19 pandemic, prolonged drought, delays in procuring equipment, materials and formalising Letters of Agreement (LoAs) and the abovementioned lack of capacity in the PSC have all contributed to slowing down the development of FLR practices and development of NTFPs. Moreover, the fragmented approach to realising the long list of activities to be completed to support bio-enterprise development has not aided the development of the value chains for NTFPS that have most potential.

**Efficiency** - *Question 3: To what extent has the project been implemented efficiently and cost effectively?*

- Moderately satisfactory:** the project's capacity to convert its resources into expected outputs and outcomes has been satisfactory considering the challenges of the pandemic, drought conditions and administrative delays. Physical progress is estimated to be 43 percent of planned activities to 28/02/2022, while total accumulated expenditure of GEF funds amounted to USD 1,717,976 to 31/12/2021 (41.3% of the GEF budget). Average spending on each of the reported 21,259 people who have directly participated in project activities is estimated to be around USD 80/beneficiary, which is better than average spending reported in the MTRs for the TRI projects

in Pakistan and Sao Tome and Principe (STP). Meanwhile, accumulated expenditure of co-finance (in cash and in-kind) was reported to be 45% of planned co-finance in the Prodoc, which indicates GEF funds have leveraged on average USD 3.32 from co-finance for every US Dollar of GEF funds spent so far (to 28/02/2022). The co-finance provided by the Land Programme managed by FAO appears to have added most value by directly supporting the local communities of Il Ngwesi conservancy (Mukogodo) obtain their community land rights under the Community Land Act. However, a major limitation in the Prodoc has been to agree co-finance from projects that were planned to end within the first three years of the ASAL Project. As a result, since July 2021 the ASAL Project has not received any co-finance support, especially in key areas of support such as community land titling.

**Sustainability** - *Question 4: What is the likelihood that the project results can be sustained after the end of the project?*

5. **Moderately satisfactory.** The sustainability of the FLR process remains unclear. Despite some advances in identifying national and county government funding sources to support the application of the FOLAREP, significant external risks are evident and increasing in some cases. These include the growing effects of the economic and social fallout caused by the pandemic, prolonged drought entering its third year in the ASAL region, locust invasions, price inflation caused by a growing global energy crisis (exacerbated by the Russian invasion of Ukraine) and upcoming general elections in August 2022, which may precipitate political instability. In addition, important gaps remain in the capacity of the county governments to upscale FLR and manage key issues such as conflict resolution concerning access to natural resources in times of drought. Similarly, the prospects of developing sustainable bio-enterprises faces significant challenges, because there is no specific policy/legislation in place to support NTFPS, expertise in the PSC to guide their development is limited. Moreover, there is a general lack of information exchange with other TRI projects on the application of innovative approaches, such as the establishment of a Green Code of Conduct for the banking sector in STP to increase investment in sustainable NTFPS. In response, the ASAL Project is attempting to address this situation by supporting the identification, adoption and application of a national strategy to develop up to 14 non-timber forestry and grassland products, plus the development of ecotourism services, which have been pre-selected with highest commercial potential. Nonetheless, it remains unclear if the NTFPS selected have been designed to develop not only the national economy, but also the local rural economy where a different set of NTFPS are in demand.

**Factors affecting performance** - *Question 5: What are the main factors affecting the project from reaching its results?*

6. **Moderately unsatisfactory:** Four main factors are affecting the project's performance. First, the project's design has some shortcomings. In particular, the Mukogodo forest landscape selected in the Prodoc only focuses on the conservancies in the buffer-zone around the core forest area. This has limited the scope for developing an inter-county approach to the management of the Mukogodo forest ecosystem which covers three counties (Isiolo, Laikipia and Samburu), which form part of the Amaya Triangle Initiative (ATI) to address land management issues of common

interest. Moreover, KEFRI conducts landcover monitoring over the whole of this forest and rangelands ecosystem. Second, the forest management plans are being conducted largely in isolation of each through LoAs that involve an array of different partners. This is limiting the opportunity for information exchanges to learn lessons from each other and the promotion of integrated approaches to implementing the FLR process and/or development of NTFPS, which is especially important in the Mukogodo landscape. Third, the Prodoc has a long list of activities and targets that appear to be over-ambitious in a five-year project, considering there are major gaps in policy, capacity, resources, etc. This is compounded by the abovementioned absence of representatives from specialist agencies such as the Ministry of Industrialisation, Trade and Enterprise Development (MITED) and the private sector to oversee bio-enterprise development through the PSC. Fourth, the lack of co-finance since July 2021 has restricted the community land titling process in the Makurian group ranch and in Mount Kulal, where indigenous communities are adamant on the need to resolve their land rights under the CLA as a prerequisite to the effective implementation of their corresponding management plans.

7. In addition, the monitoring and evaluation (M&E) plan does not include qualitative indicators. This has restricted more in-depth analysis on delivering transformational change in terms of knowledge, attitudes, practices (KAP). This situation was also identified in the MTRs for the TRI Projects in STP and Pakistan and, thus, limits the project's capacity to support informed policy dialogue, guide decision-making and planning of main activities and support the application of an effective communication strategy. In the case of the latter this appears to have restricted the project's ability to advocate the dual role FLR plays in supporting adaptation to climate change and generating co-benefits that can be monetarised to sustain FLR/NTFPS (through the payment of ecosystem services). Indeed, the indications are that decision-makers, county politicians and members of law enforcement and the judiciary remain largely unaware of the merits of FLR/NTFPS.

**Cross-cutting priorities** *Question 6: To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?*

8. **Satisfactory.** The Prodoc has not addressed some relevant elements under Safeguards 2, 3 and 4 in the Environmental and Social Standards' Checklist. In particular, considering the ASAL Project is directly intervening in legally designated protected areas and their buffer zones and involves the equitable sharing of genetic resources to support the FLR activities, Safeguard 2 (biodiversity, ecosystems and natural habitats) should be the subject of review in the Project implementation report (PIR). Moreover, the M&E plan does not track relevant indicators under Safeguard 2, which is considered crucial to reviewing, for example, the project's contribution to removing invasive species such as Mesquite (*Prosopis spp*), Prickly Pear (*Opuntia stricta*) and False umbrella thorn (*Acacia reficiens*), or on any species that it has successfully removed from IUCN's Red List for endangered species and ecosystems in Kenya.

**Gender** *Question 7: To what extent were gender considerations taken into account in designing and implementing the project?*

9. **Moderately satisfactory:** The ASAL Project is successfully recording male and female participation rates in the project's main activities, which currently stands at 58.7 per cent for male

participants and 41.3 per cent for females. Although this is considered satisfactory, it is evident that TRI projects overlook the importance of applying a gender strategy that includes participation of other vulnerable groups, especially youths aged 15-25 years of age and measures their participation in decision-making roles to determine how far women, youths and other vulnerable groups are being empowered and gaining better access to resources, services, information and so forth.

**Linkages with the global child project.** Question 8: *What did the global child project bring to the national child project including any synergies between child projects and what did the national child project bring to the global child project?*

10. **Moderately unsatisfactory:** Overall, all TRI projects evaluated reported valuable technical and administrative support was provided by GCP before the pandemic, such as the application of the Collect Earth Open Foris (CEOF) software to support the application of Restoration Opportunity Assessment Method (ROAM). However, following the switch to remote communications in response to the COVID-19 pandemic from March 2020, the application of webinars appears to have been less effective partly because of the absence of follow-up activities, including the ability to send consultants into the field, or hold regional or global events and exchanges. In terms of the ASAL Project's contributions to the GCP, the submission of an array of knowledge products to support TRI publications, or events such as the World Forestry Congress in Korea in May 2022, stand out. Nonetheless, an appropriate mechanism is not in place to filter key findings from the TRI Projects assessments and studies to support the case for investment in FLR/NTFPS.

**Impact and response to the COVID-19 pandemic.** Question 9: *COVID-19 impacts*

11. The COVID-19 pandemic was found to have played a significant role in delaying the implementation of planned activities between March 2020 and March 2022. In particular it has caused delays amounting to up to 12 months in operations due to restrictions on travel and group meetings. However, the application of FAO's Standard Operational Procedures, homebased work and online activities, including webinars from the global TRI project and wellbeing support from FAO-KE, have helped to keep some of the project's activities going during the lockdowns. The ending of travel restrictions for all who are fully vaccinated in March 2022, offers new hope that activities can be intensified in 2022-2023.

**Knowledge activities/products**

12. The ASAL project has produced a variety of knowledge products that include, among others GIS maps, assessments, studies, technical reviews, articles for TRI newsletters and publications, narratives and stories on themes such as traditional land management systems in the ASAL region, which will be presented in the forthcoming XV Forestry Conference in Korea (May 2022). The MTR Team found some of these products are of great interest to national stakeholders, the TRI Tana Project in Kenya and to the TRI community in general. In particular, the MTR team highlights the Total Economic Value study of the Mount Kulal Biosphere Reserve (MKBR), which provides highly significant data to demonstrate that the restoration and conservation of forest and rangeland ecosystem services represents a viable land use and that investment in its sustainable offers significant income generating opportunities that can be used to sustain the

FLR process. For example, it was estimated in December 2020 that the MKBR could generate as much as USD 16.5 m. (KES 1.8 b./year) on the voluntary carbon trading market once under effective management. The ASAL Project is also making progress on the establishment of: (i) the National FLR Management System (NFLRMS) under the guidance of a National Knowledge Management Committee for FLR, which comprises representatives from 11 different institutions; (ii) the National Technical Committee for FLR, which will monitor the implementation of the Forest Landscape Restoration Implementation Action Plan 2022-2025 (FOLAREP).

13. These initiatives will provide valuable information on the FLR process and support reporting on the country's advances in meeting its national and international targets, goals and pledges such as the restoration of 5.1 m. ha of forest landscapes under the Africa Forest Landscape Restoration Initiative (AFR100), which is directly linked to the Bonn Challenge 2030. Nevertheless, the MTR team has reservations on the linkages established between these two actions are adequately connected and whether the cost-benefit of establishing the NFLRMS is justified considering the Kenya Forestry Research Institute (KEFRI) and the Kenya Forestry Service (KFS) already have information systems in place. Moreover, the ASAL Project's monitoring system lacks qualitative monitoring to support learning on changes in knowledge, attitudes and practices to guide a communication strategy that targets specific audiences where change is not happening as expected in the theory of change.

### **Stakeholder participation**

- 12 The ASAL Project is demonstrating a highly satisfactory level of stakeholder participation in two main areas: (i) through the consultation process concerning the approval of the FOLAREP, requires meetings with national and subnational stakeholders, in particular the devolved county governments. This has been aided further by a similar consultation process with the latter on the integration of FLR in the County Environment Action Plans (CEAP); (ii) through Letters of Agreement (LoA) with government and non-governmental organisations that have extensive work experience in supporting the development of community-based organisations in the ASAL region, in particular Community Forest Associations (CFA). Nonetheless, three major caveats have been identified. First, the Prodoc has overlooked the need for a robust coordination mechanism between KEFRI and KFS given they have overlapping mandates in some areas and because KEFRI remains a centralised government institution, whereas KFS's field services have been devolved to the county governments. Second, despite the strong emphasis on developing non-timber forestry products and services (NTFPS) through bio-enterprises, there is neither a government official specialising in small business development, from the Ministry of Industrialisation, Trade and Enterprise Development (MITED), nor from the private sector in the Project Steering Committee (PSC). Third, the target of 8,120 households as end beneficiaries of the ASAL Project was found to be over-estimated and has been downsized to more realistic numbers in line with needs and capacity.

### **Progress towards achieving the project's development objective**

- 13 The project has successfully achieved the majority of its preliminary and preparatory activities that are needed to fully launch the FLR process in the field in 2022 in alliance with a wide range of qualified partners. However, the project's implementation has been impeded by several external factors including the COVID-19 pandemic, prolonged drought and slow progress in procuring

equipment and materials among others. This indicates it is highly unlikely it can achieve the project objective by July 2023, and that an appropriate time extension is required to ensure the FLR activities are completed to a satisfactory standard. This time extension should also be used as an opportunity to address the abovementioned gaps in the project design to ensure there is more support and guidance on the development of NTFPS through bio-enterprises and that this focuses on both satisfying the needs of rural markets as well as urban/international ones where the needs of NTFPS are different. In addition, there is a need to downsize the number of activities and ambitious targets to levels that match current capacity in the counties, strengthen the PSC and include some qualitative indicators to optimise learning and policy dialogue.

## Overall risk rating

- 14 The MTR team's overall risk rating is: "**substantial**". This is higher than the "moderate" rating in the Prodoc and project implementation reports (PIRs). This is justified because some risks have increased since the pandemic. These include: (i) prolonged drought of two years causing growing social conflict from pastoralists entering the forest core-zones in search of pasture and water; (ii) the economic effects of the pandemic, exacerbated by the emergence of the energy crisis; (iii) the Russian invasion of Ukraine in February 2022, which together with the energy crisis is causing a rise in price inflation. In addition, general elections in August are starting to cause political tensions and anxiety. This situation is also not aided by adequate integration of risk management in planning and monitoring.

## 0.3 Conclusions

- 15 The MTR team's findings indicate the ASAL Project's **overall risk rating is "substantial"**. The MTR team found the risk ratings provided in the latest PIR to 30 June 2021, will need to be reviewed in 2022, because in most cases the risks are increasing due to a combination of: (i) the effects of the COVID-19 pandemic on the economy; (ii) the effects of the global energy crisis on fuel availability and prices, which are likely to worsen due to the Russian invasion of Ukraine where the latest indications are that it will continue for a very long time (possibly years); (iii) the latest reports from Kenya are that the rains have largely failed to come so far and according to the latest bulletins if this continues it is likely to leave 3.5 million Kenyans needing emergency food aid.<sup>1</sup> This situation is also likely to intensify pressure on natural resources in the ASAL region in general; (iv) general elections are scheduled in August 2022, which is highly likely to disrupt operations in the coming months and political unrest afterwards cannot be ruled out.
- 16 This situation, has caused significant delays and indicates the project is not on track to achieve its planned outcomes and objectives by the end of operations in July 2023. This also suggests it will take longer for the country to "build back better" after the pandemic and calls for urgent changes in the project's operations, in particular resources to construct bore holes.
- 17 **Conclusion 1 (C1) – Relevance - on question 1:** *Are the project outcomes and objective congruent with current country priorities, GEF focal areas/operational programme strategies, the*

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<sup>1</sup> Business Daily, 11 April 2022, *Failed March-May rains leave 3.5m Kenyans needing emergency food aid*. Available at: <https://www.businessdailyafrica.com/bd/news/3-5-million-kenyans-in-need-of-urgent-food-aid-on-drought-3779008>

*FAO Country Programming Framework and the needs and priorities of targeted beneficiaries?* The project's relevance at all levels is satisfactory. Outcomes and objectives remain consistent with the policies and priorities of the executing agency, MEF as well as GEF/FAO focal areas and objectives. Nonetheless, because several factors in the ASAL Project's design were found to be affecting performance, there is a risk that stakeholders will increasingly question the relevance of FLR if it does not deliver results. This is already evident among many youths who, according to the elders interviewed, are increasingly looking at economic activities that go against the principles of restoration and conservation of forest ecosystems and their biodiversity. Similarly, political rhetoric at the start of the election campaigns for the general elections in August 2022 are ignoring longer-term solutions in favour of quick fixes to the current challenges cited above. Besides, examination of the manifestos of the two major political coalitions shows that climate change has not been prioritised among the key issues shaping the campaign agenda. This situation is a concern, considering the government of Kenya has developed a number of policies, strategies and action plans to combat climate change in line with its commitments to multilateral agreements that include the setting of targets under its Nationally Declared Contributions. Also, the ASAL Project has conducted total economic value (TEV) studies that demonstrate, the high economic value of forest landscapes in terms of the ecosystem services they provide and which offer viable opportunities to generate the income needed to sustain and upscale the FLR process, which is crucial to safeguarding not only local knowledge and livelihoods, but also enhancing resilience to the effects of climate variability and change. However, they also demonstrate that the direct and indirect value of ecosystem services are not well understood and, therefore, are not adequately integrated into policy decision-making.

- 18 **Conclusion 2 (C2) on question 2 (Effectiveness):** *To what extent has the project delivered on its outputs, outcomes and objectives?* The ASAL Project is demonstrating satisfactory progress in pushing the FLR agenda forward in Kenya under the framework of the FOLAREP and its articulation through the adoption of management plans in the project sites. The ecosystem approach adopted in MKBR is highly commended by the MTR team. However, this is not because the decision of the local communities to adopt a management plan that encompasses a massive 152,661 ha beats targets in the Prodoc, or enhances reporting on core indicator 2 of TRI. More significant, is that it enables the proposals in the TEV Study to be fully reviewed and integrated into the MKBR Plan. Due to the highly fragmented approach to realising the long list of activities and outputs in the Prodoc, the Mount Kulal Ecosystem Management Plan (MKEMP) and the TEV Study have been realised separately. As a result, the latter is not reflected in the MKEMP. Indeed, the MTR team concludes the main caveat in the MKEMP is the lack of identification of income generating activities such as voluntary payment for ecosystem services (PES) agreements, to reduce dependency on external funding sources to implement the plan. Moreover, the MTR team witnessed PES in the form of a voluntary emission trading scheme (ETS) is already operating successfully in the Oldonyiro Conservancy under the support of NRT. This indicates both the MKEMP and the Mukogodo landscape have the potential to negotiate similar agreements, which would also be highly supportive of meeting targets in Kenya's Nationally Determined Contributions (NDCs) for the forestry sector and stimulate dialogue on anchoring PES in national and county policies. Nonetheless, the application of this approach in the Mukogodo landscape is likely to be more challenging, because the characterisation study has identified ecosystem services that could generate significant income if PES was applied across the whole of the

Mukogodo landscape. This suggests the adoption of a more integrated approach to the management of the Mukogodo landscape, rather than the current focus on the establishment/updating of management plans at the conservancy/group ranches levels, is more likely to unlock voluntary PES agreements to support the beneficiary communities sustain the FLR process well after the ASAL Project has ended.

- 19 Meanwhile, support to the development of non-timber forestry products and services (NTFPS) and bio-enterprises has been moderately satisfactory, because the design gaps in the Prodoc effectively mean the ASAL Project is operating in a vacuum. Most significant is the lack of important players working under the MITED, such as KBIT and the Private Sector Alliance, the Department of Field Services (on business incubator services) and KIRDI, and from the private sector who are engaged in the 14 NTFPs identified, plus ecotourism, to guide and support the PSC on determining how to best promote bio-enterprises to support the implementation of the FOLAREP at the national and sub-national levels. This is crucial, because the counties need a policy framework to support bio-enterprise development, plus measures to increase capacity and resources to implement it effectively. This is well reflected in the Assessment of NTFPS' commercialization potential, which calls for a business incubator service to be located in a central location to serve all three counties.
- 20 **Conclusion 3 (C3) on question 3 (Efficiency):** *To what extent has the project been implemented efficiently and cost effectively?* According to the financial data available, the ASAL project is achieving a satisfactory level of efficiency, especially concerning the delivery of resource assessments, GIS mapping, formulation of FLR management plans and policy development. However, the project is not on track to deliver all its outputs and outcomes as planned before closure on 31 July 2023 and the latest indications are that the pandemic, prolonged drought and insufficient co-finance are likely to continue restricting operations in 2022. In addition, KEFRI reports the delays in concluding its second Letter of Agreement with FAO-KE has contributed to delaying FLR activities over two growing seasons. This is likely to affect efficiency and effectiveness, even if there is an intensification of FLR/NTFPS activities and an extension of the project's duration (recommended in R2). Under these circumstances, the MTR team concludes, new measures are needed to ensure the project concentrates on delivering a smaller number of activities that add most value, rather than attempting to reach targets that are no longer realistic, or which will overstretch resources to produce half-baked results.
- 21 **Conclusion 4 (C4) on question 4 (Sustainability):** *What is the likelihood that the project results can be sustained after the end of the project?* The sustainability of the project's FLR and economic activities is moderately likely, but growing external risks remain largely unmanaged. The introduction of the FOLAREP and the revision of the CEAPs provide a strong indication that public funding will be made available to support the continuation of the FLR process beyond the project. This is especially the case in counties such as Isiolo, where the county government is contemplating the promotion of FLR as a legitimate approach to climate change adaptation, which will facilitate more effective use of their CCF. Moreover, this approach is likely to open doors to develop PES schemes, especially with the private sector, as well as enhance access to climate finance, although the MTR team concludes the ASAL Project's current focus on the latter is risky, because their heavy bureaucratic procedures and conditionality are not designed to respond quickly to a climate



emergency. Meanwhile, the future sustainability of bio-enterprises is likely to benefit from the introduction of a new policy framework to support the development of NTFPS, although the MTR team concludes the implementation of this framework is dependent on the county governments developing adequate capacity and resources to provide access to essential business services and capturing success stories to communicate to project stakeholders on how NTFPs contribute to sustainable rural development and at the same time provide valuable ecosystem goods and services that enhance biodiversity conservation and resilience to climate change.

- 22 **Conclusion 5 (C5) on question 5 (factors affecting performance):** *What are the main factors affecting the project from reaching its results?* Three factors in particular are affecting the project's implementation and, therefore, progress in achieving some of its planned outputs and outcomes. The first, concerns the intervention area selected to promote effective management of the Mukogodo forest and rangeland ecosystem appears to be too fragmented to deal with the needs of all its pastoral users, does not correspond to the same landscape monitored by KEFRI to monitor landcover changes and is not set within the context of the ATI, which was designed to bring together the county governments of Baringo, Laikipia, Isiolo and Samburu to work together on resolving common development challenges such as insecurity, resource conflicts, food insecurity, environmental issues, drought emergencies, natural resource management and livelihoods, among others. Second, co-finance has been allocated from projects that were planned to close before the ASAL project reached its mid-point. This has reduced the scope to push forward highly important activities such as the land titling of community lands in the project sites by the Land Programme, which ended in July 2021. This shortcoming was also identified in the MTRs for the TRI projects in STP and Pakistan. Third, the M&E system is geared to informing on quantitative advances, but this restricts learning on transformational changes that are needed to determine how far the FLR model is delivering positive outcomes and impact, in relation to other approaches promoted by other donors, such as farmer-managed natural regeneration, the enclosure approach and so forth.
- 23 **Conclusion 6 on question 6 (Cross-cutting priorities):** *To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?* The ESS assessment has been applied and reviewed in a satisfactory manner in the Prodoc and PIRs, with a specific assessment on the application of FPIC to engage indigenous communities throughout the development of the FLR management plans. Nonetheless, some specific entries under Safeguards 2, 3 and 4 have not been reviewed.
- 24 **Conclusion 7 on question 7 (gender):** *To what extent were gender considerations taken into account in designing and implementing the project?* The ASAL Project is successfully engaging satisfactory levels of women's participation in all its main activities under components 1-3, but there is no monitoring on the percentage of women who engage in decision-making roles, nor monitoring of other vulnerable groups, especially youths (aged 15 to 25). This restricts learning in key areas, such as empowerment of women/youths and on advances in gender equity and equality (especially relating to rights of ownership of assets).
- 25 **Conclusion 8 (C8) on question 8 (links to the global child project):** *What did the global child project bring to the national child project, including synergies between child projects and what did*

*the child project bring to the global child project?* The linkages established with the GCP have and continue to support the ASAL Project's implementation, but the switch to remote support, training and communications since the start of the pandemic in March 2020 to date has had less impact than when it was provided in-person through conferences, workshops, exchanges and so forth. The ASAL project's main contribution to GCP has been in the form of articles on project activities to support the production of newsletters, annual reviews of TRI and other informative material.

- 26 **Conclusion 9 (C9) on question 9 (COVID-19):** *questions on COVID-19 impact.* The COVID-19 pandemic combined with prolonged drought and social conflict in the ASAL region has had a major impact on slowing down the implementation of activities. Delays on project implementation (especially activities under component 2) are estimated to amount to 12 months, which is similar to the delays reported in the MTRs for the TRI projects in STP and Pakistan. Nevertheless, all three projects have managed to continue limited operations during the lockdowns.

## 0.4 Recommendations

- 27 **Recommendation 1 (R1) in response to C1 – linked to relevance and sustainability - to FAO, national and sub-national stakeholders: the main findings and recommendations of the Total Economic Value (TEV) Study in the Mount Kulal Biosphere Reserve (MKBR) landscape and the Ecosystem Characterisation Study conducted in the Mukogodo landscape should be discussed and reviewed in a workshop with selected stakeholders from the national, county and local communities to assess the ecosystem services that could be developed into voluntary payment for ecosystem services schemes (PES) to support implementation of forest management plans, in particular the Mount Kulal Ecosystem Management Plan (MKEMP) and the forest management plan of the ILMAMUSI Community Forest Association (CFA).**

### **Suggestions on how to implement R1:**

- It is highly recommended that a qualified consultant or Letter of Agreement (LoA) is employed to guide the identification of PES in the two project sites and with the objective of supporting community forest associations implement their forest landscape management plans well after the ASAL Project has ended. It is recommended PES schemes focus on: (i) the development of voluntary ETS based on lessons learned and good practices identified from the ETS currently operating in the Oldonyiro Conservancy under the management of NRT; (ii) water provision from forest ecosystems (including water from their aquifers via bore holes), based on lessons learned from other TRI/FAO projects that have already assessed PES schemes and/or implemented them. This should be coordinated through the Global Child Project and FAO's relevant services responsible for promoting PES (such as the Forestry Division and Agricultural Development Economics Division) and following study of relevant material, such as the, Payments for forest environmental services in sub-Saharan Africa – A Practical Guide (2016).
- Selected members from all of the Conservancies in the Mukogodo landscape and from Mount Kulal should participate in the meetings to be held with stakeholders on the

identification of these schemes, in the interest of raising awareness on the value of ecosystem services in sustaining the forest landscape restoration (FLR) process, enhancing resilience to climate change and developing sustainable non-timber forest products and services (NTFPS) to improve livelihoods and develop the rural economy.

- In the case of the Mukogodo project sites, it is recommended PES schemes are identified under the framework of the Amaya Triangle Initiative (ATI) in the interests of promoting policy dialogue on establishing a set of integrated forest landscape management plans that cover the wider Mukogodo forest and rangeland landscape that corresponds to KEFRI's landcover monitoring map (Figure 13), which spans across the counties of Isiolo, Laikipia and Samburu.
- Conduct exchanges to other areas of the country where there are PES schemes in place linked to water provision and the development of carbon sink inventories (expressed in tCO<sub>2</sub>eq). In the case of the latter, the exchange should review importance of applying effective monitoring, reporting and verification (MRV) to justify a carbon trading agreement with a third party and synergies should be explored with initiatives such as REDD+ in order to identify potential support, funding and training linked to the development of monitoring, reporting and verification (MRV) capacity and which will support development of the National FLR Knowledge Management System (NFLRMS).
- Fully engage KEFRI's new research centre in Rumuruti to support research and development of PES, starting with ETS schemes, in the interests of funding and sustaining selected NTFPS. The NTFPS selected should satisfy not only the urban needs of county capitals, Nairobi and international markets, but also the specific needs of rural markets operating in the Amaya Triangle.
- Identify lessons and good practices from the above-mentioned exercise to support the development of an advocacy campaign designed to encourage the adoption of a national policy for NTFPS that fully integrates PES initiatives to sustain their development and which leads to restoration/conservation of forest landscapes as a legitimate land use category.
- Target the campaign on decision-makers, politicians and the law enforcement/judiciary services in order to stimulate debate on supporting the application of PES and other market-based instruments that provide incentives for soil, water and biodiversity conservation in forest landscapes/towers and which support the country's policies, strategies and plans promoting adaptation and mitigation to climate change.
- FAO-KE should contact UNESCO to discuss increased engagement in the MKEMP, for example, by providing support to education, research and awareness-raising on FLR and its role in restoring the MKBR ecosystem.
- Finally, improving access to climate and restoration finance (Output 3.4), should place less focus on gaining access to funding from the donor community and, instead, focus on capturing public and private funding under the Big Four Agenda, in particular from institutions such as the Kenya Institute of Business Training (KIBT), the Kenya Industrial Research & Development Institute (KIRDI), the Department for Field Services, KEFRI's Rumuruti Research Centre, private enterprises engaged in NTFPS and the banking sector applying, subject to an assessment, a Green Code of Conduct. The latter should be reviewed taking into account the lessons learned from the TRI project in Sao Tome and Principe, which is developing such a Code. Meanwhile, it is recommended bio-enterprise

development seeks support through the Chambers of Commerce, to identify potential investors and entrepreneurs who are committed to investing in the development of NTFPS for the national/international market or for the local/county markets where a different set of needs and demands for NTFPS are evident.

- 28 **Recommendation 2 (R2) in response to C2 – linked to effectiveness and factors affecting performance – to FAO, the PSC and the PMU: the PSC should elect at least one representative from the Ministry of Industrialisation, Trade and Enterprise development (MITED) and at least one from the Private Sector Alliance, plus two from the private sector based in the ASAL region (specialising in gums and resins and hay/grass seed/medicinal plants) to become the focal points for guiding the development of the national policy on the development bio-enterprises linked to NTFPS and concentrate resources on the development of incubator services to support a selection of bio-enterprises that have the greatest potential to unite as many end beneficiaries as possible to support the development of economies of scale. It is recommended these representatives are also invited to sit on the national platform being developed to steer the implementation of the Forest Landscape Restoration Implementation Action Plan 2022-2025 (FOLAREP) and provide better guidance on securing alternative funding to donors to support the development of selected bio-enterprises (under Recommendation 1).**

**Suggestions on how to implement R2:**

- The PMU should conduct a reconnaissance exercise with KEFRI and KFS to identify candidates who are available and willing to join the PSC and/or act as focal points in KBIT (to guide policy development on business training services), the Department for Field Services (on linking innovators to relevant supporting institutions for product development, incubation, standardisation, protection of intellectual property rights, funding and commercialization in every County) and KIRDI (on enhancing research into NTFPS and linking bio-enterprises to potential funding of, for example, processing equipment). In addition, three representatives from the private sector should be invited to sit in the PSC (supported by a small bursary to cover costs if requested). The MTR recommends that one representative should be linked to the gums and resins sector and the other two to products specifically demanded in rural markets, such as the production of hay, grass seed and medicinal plants (including aloes), all of which the MTR team found are highly profitable and would reduce pressure on the core-zone of the forest reserves. The third, should be from an institution that can provide guidance on improving the county business environment, connect businesses with communities producing NTFPS or who have eco-tourism potential and generally supporting the development of advocacy campaigns on investing in bio-enterprises.
- An extraordinary meeting of the PSC should take place with FAO-KE, together with the Lead Technical Officer (LTO), the Chief Technical Officer (CTA), the Finance Liaison Officer (FLO) and a member from the GEF Coordination Unit (GCU) in order the PMU can present its findings and recommendations concerning the election of new representatives to guide the ASAL Project's activities concerning bio-enterprise development. If possible, the elected candidates should also be considered for integration into the Technical Working Group (TWG) established to identify the national policy framework for NTFPS.

Alternatively, a delegated member from their respective department/business may be contemplated.

- Provisions should be made to ensure the role of the PSC continues after the ASAL Project has ended by, for example, formalising the TWG as a national entity that maintains close linkages between the Ministry of Environment and Forestry (MEF) and MITED.
- The new PSC should deliberate on guiding the PMU to apply a more integrated approach to the way it is currently realising the long list of activities assigned in the Prodoc concerning bio-enterprise development. Instead of lots of independent activities, it is highly recommended the PMU adopts a cluster approach that focuses on recruiting one qualified entity (or a consortium) to identify the development of the whole value chain for gums and resins and hay and grass seed production (from production through to sales to end buyers/consumers and on reinvestment). The aim of this approach should be to identify the main areas where the ASAL Project should intervene to create inclusive and equitable value chains that deliver improved livelihoods, greater resilience and the recovery of ecosystem services.
- Following the identification of the main activities needed to develop inclusive and equitable value chains for gums and resins and hay and grass seed production, as well as ecotourism, the PMU and the recruited entity/consortium should identify where the ASAL Project can provide funding and, where it cannot, identify alternative sources to cover the balance of funds needed. This should include synergies with other projects, in particular: (i) TRI's Tana Delta Project in Kenya in order to learn from NK/UNEP on how they are securing funding for bio-enterprise development under "The Greenheart Initiative", which includes support from the Ministry of Finance; (ii) the Large-scale Forest Landscape Restoration in Africa (AREECA) funded by Germany and implemented by the World Wildlife Fund (WWF); (iii) national and county government programmes providing support and resources to stimulate manufacturing under the Big Four Agenda; (iv) from the private sector in line with R1; (v) the local community and their grassroot organisations who can provide in-kind contributions to sustain and upscale FLR and the development of NTFPS and PES; and (vi) from the donor community, including the climate funds (identified under Output 3.4), but on the premise their funding can provide complementary support, as opposed to funding that develops into donor dependency.
- Finally, because the project currently has less than 16 months left, the PSC should review the time extension needed to set up the synergies recommended in the preceding recommendation. This should include identification of the ASAL Project's exit strategy to clarify how it will increasingly transfer over the continuation of activities to the national TWG proposed. Indications are the ASAL Project will need an extension in order to oversee the FLR process and give selected bio-enterprises the chance to stand on their own feet before the ASAL Project is closed.

29 **Recommendation 3 (R3) in response to C3 – linked to efficiency and factors affecting performance – to FAO, the PSC and the PMU: the project should be extended by 18 months to recover delays in implementation of main activities caused by external factors. This extension should be conditional on the PMU and implementing partners carrying out a review of the activities and targets listed in the Prodoc to determine which activities should be prioritised and clustered together to promote integrated approaches to**

**realising project outputs. All targets should be reviewed and changed where they cannot be realistically achieved according to the resources, time and capacity available now and during the proposed prolongation period. In all cases activities should be prioritised on the basis they will add most value to the FLR process and that there is a realistic chance the bio-enterprises become viable commercial concerns in the extension period. This should be followed by a review of the budget to determine where GEF funds should be prioritised and how new sources of co-finance should be identified and targeted to improve the ASAL project's effectiveness and efficiency.**

**Suggestions on how to implement R3:**

- Activity 2.2.4 should be downsized to one to two pilot cases, or even cancelled altogether, to allow funding to be diverted to support the realisation of R1. Furthermore, the economic conditions have changed due to the drought, making it more difficult to sustain a revolving fund. Moreover, the local communities said their priorities have shifted to securing access to water.
- Activities 2.2.5-2.2.8 should be grouped together under one LoA to support the realisation of joint training exercises of selected board members. This would enable: (i) promotion of the training of trainers principle to improve efficiency; (ii) dialogue on establishing a set of management plans that could be combined to establish an integrated management plan for the core and buffer zones of the Mukogodo forest landscape; (iii) identification of the wider rangelands and pastoral communities that are connected to/use the Mukogodo forest; (iv) discussion on the options available to determine how the wider Mukogodo landscape could be managed in an inclusive and equitable manner for all users of the Mukogodo forest, as well as determine the specific rights and needs of wildlife to support ecotourism; (v) presentation of the options to the ATI, with the aim of engaging the county governments of Laikipia, Isiolo and Samburu, KEFRI Research Centre in Rumuruti, KFS and the PMU in inter-county dialogue on the most viable land use options and the roadmap to establish a fully-fledge ecosystem management plan for the Mukogodo forest and rangeland landscape, which should be aligned as far as possible to the landscape monitored by KEFRI (see Figure 13), and apply a similar participatory planning approach to the development of the MKEMP; (vi) dialogue on the funding of the identification of this plan through contributions from all three county governments, KEFRI and other potential partners; (vii) identification of funding to support the drilling of bore holes in strategic watering points that would support the development of PES, facilitate peace-making between communities in conflict for water and other natural resources, as well as attend to the specific needs of wildlife that migrate annually to and from Mount Kenya. It is currently not possible to divert GEF funds to this type of activity, but this should be the subject of review by the PSC on an exceptional basis considering the drought emergency unfolding is already affecting millions of inhabitants in the ASAL region. It is recommended the PSC, the PMU and FAO stakeholders identify: (i) reallocating GEF funds to support the local communities cope during the drought; (ii) identify existing projects and programmes funded by government and the donor community that could support the installation of "emergency" water infrastructure to reduce stress on the forest core-zones in the project sites; (iii) establish a climate adaptation fund within KEFRI that can support its the

participating county governments use existing resources allocated to climate change, to fund urgently needed water infrastructure and services. Additional funding from government, the donor community and the private sector should also be identified to sustain the adaptation process promoted by KEFRI (including maintenance of the infrastructure).

- Activities planned under activities 2.2.2 and 2.2.7 should consider: (i) paying the conservancies to produce a smaller number of seedlings and transfer them to strategic sites where rooting can be guaranteed and the wider community can see their benefits; (ii) switch funds saved to pay the conservancies to manage the installation of enclosures dedicated to natural regeneration, that were reported to be highly successful in Kurikuri ranch and which the MTR team witnessed first-hand in Leparua conservancy, where they are already producing grass seed.
- In line with R2, it is suggested Activities 2.4.1 to 2.4.7 concentrate resources on developing inclusive and equitable value chains, and preferably an incubator service in Isiolo and Laikipia counties, for the two sets of products mentioned above which support win-win situations (resilient livelihoods and restoring ecosystem services): (i) gums and resins that are directed primarily at satisfying the needs of national and international markets; (ii) hay, grass seed and medicinal plants directed at satisfying the needs of rural inhabitants whose livelihoods depend on the landscapes supported by the project. In addition, the MTR team found the project is planning on purchasing honey processing equipment. However, the drought is already causing many bees to die. It is therefore recommended support is downsized to supporting individual beekeepers produce smaller quantities of honey and bees wax to satisfy local rural markets only, until conditions permit the amassing of honey by their cooperatives for processing and sale in the county capitals and Nairobi.
- Funding of activity 2.4.6 should be reduced so that funding can be diverted instead to supporting the KEFRI Research Centre in Rumuruti expand rural production of briquettes, "jiko" and other alternatives in the proposed ecosystem management plan for Mukogodo and that this be funded through the CEAPs for Isiolo, Laikipia and Samburu. A rapid review of the CEAP for Isiolo provided to the MTR team (13/04/2022) confirms this activity has not been included, although the problems of illegal charcoal production is reported on several occasions. A similar process should be applied in Marsabit County and integrated in the MKEMP under component 5 (community livelihoods).
- The development of the national FLR Knowledge Management System should be developed as a specific module within KEFRI's existing knowledge management system. The funds saved should be diverted to support applied research on FLR and the development of NTFPS, starting with support on the development of KEFRI's training programme on the production, processing and marketing of gums and resins and developing a similar course for hay, grasses and medicinal plants to support the development of the rural economy, which has been given less emphasis by KEFRI to date.
- The PMU should review relevant knowledge documents produced by FAO on FLR over the last decade in Kenya/Africa. For example, it is highly recommended lessons are learned from the FAO/NEPAD publication, "Review of FLR in Africa, 2021", in particular Chapter 4: "Key Success Factors". Also important is FAO's publication, "Global guidelines

for the restoration of degraded forests and landscapes in drylands Building resilience and benefiting livelihoods”.

- A specific review should be conducted by the PSC, PMU and FAO on how the shortfalls in co-finance should be bridged from 2022 onwards through eligible on-going projects and programmes managed by KEFRI, KFS, and MITED. Dialogue should agree on where new co-finance can add most value to sustaining and upscaling the FLR process (under the FOLAREP) and on supporting the development of viable bio-enterprises (in line with the new policy foreseen to support manufacturing of NTFPS and under the framework of the country’s Big Four Agenda).

30 **Recommendation 4 (R4) on C4 – linked to sustainability and factors affecting performance – to FAO, the PSC, the PMU and GCP: FAO-KE should make provisions to support the ASAL Project identify an effective risk management strategy that can be fully applied (with appropriate and effective mitigation measures) in all activities planned, under implementation and subject to monitoring. This should include the application of R1-R3 proposed above and, if possible, the risk categories applied in the PIR should be harmonised with the same categories applied in the GEF-FAO Guidelines for MTRs.**

**Suggestions on how to implement R4:**

- FAO-KE should support the recruitment of a short-term consultant with in-depth experience in managing risk to support the PMU and implementing partners identify the risk management strategy.
- The risk management strategy should focus on mitigating risks directly linked to: (i) FLR (especially drought-related risks experienced in the ASAL region). For example, a social risk management strategy is considered of particular importance due to the growing conflicts concerning access to natural resources in droughts, which is resulting in violence and even deaths. This will also help guide decision-making on rotational grazing rights and the location of watering points for livestock and wildlife and, in the Mukogodo landscape support the development of inter-county approaches to managing risk; (ii) small businesses (especially economic-related risks including financial shocks).
- Provisions should be made to integrate a small number of risk indicators into the monitoring system of the ASAL Project. This should be used as an opportunity to raise awareness among stakeholders (especially the county governments and conservancies) that risk monitoring forms an integral part of climate change adaptation and that by prevent/reducing disasters caused by climate variability considerable social and economic costs are saved.
- The consultant should support capacity development on reporting on the cost savings of disaster prevention/reduction measures promoted through FLR and compare it to a continuation of business as usual to stimulate informed policy dialogue and decision-making on investing and upscaling of PES schemes, such as the one proposed in R1. For example, by clarifying the role of KFS in the MKEMP a new approach to preventing/managing forest fires can be developed with the local community.
- Considering this discipline was also found to be weak in the TRI projects in STP and Pakistan, it is recommended the short-term consultant is produce a virtual booklet on how risk management strategies should be developed and integrated into all TRI



projects. The booklet should highlight lessons learned and good practices drawn from the ASAL Project and other sources (such as the AREECA project managed by WWF in Kenya) and be submitted to the Global Child Project of TRI (GCP) for targeted dissemination to all TRI projects.

- 31 **Recommendation 5 (R5) on C5 – linked to effectiveness, efficiency, sustainability and impact – to FAO/GCU, the PSC, the PMU and GCP: the MTR team recommends all three issues are dealt with through meetings between relevant stakeholders to agree on suitable solutions to the three main issues that are affecting the project’s performance and likely to restrict its long-term impact.**

**Suggestions on how to implement R5:**

- On the boundary of the Mukogodo landscape: (i) FAO-KE, KEFRI, KFS the PMU and the county governments, selected representatives from the ILMAMUSI Community Forest Association (CFA) and other relevant members from civil society active in land management-related activities in the Amaya Triangle Initiative should meet to discuss the potential to adopt integrated decision-making to allow for the expansion of the Mukogodo landscape to correspond with KEFRI landcover monitoring map by assessing the strengths, weaknesses, opportunities and threats of adopting a new landscape approach in relation to business as usual. Particular attention should be given to first reviewing the adaptation of the conservancy management plans so that they can be integrated first into a buffer-zone management plan to protect the forest-core. Second identification of the main corridors of migration into the Mukogodo forest core from outside the buffer-zone should be identified on the KEFRI map to determine the boundaries of the users of the Mukogodo forest and rangeland ecosystem; (ii) KEFRI, KFS, PMU and representatives from ATI should agree on the adoption of the boundaries for the wider ecosystem management plan and its coordinated implementation through the county governments of Laikipia, Isiolo and Samburu as an integral part of the ATI; (iii) the ASAL Project should explore co-funding of the design of the ecosystem management plan with the GEF5 project and other sources of co-finance (see next bullet). Representatives involved in the application of R1 should support the identification of the ecosystem management plan.
- On the need for new co-finance: it is recommended a joint strategy meeting is held between the project managers to identify areas where duplication of trainings and wastage can be limited. It is recommended cost savings should explore the following to free up funds to implement R1 and R2: (i) identify ways to reduce training and other costs between the ASAL, Tana and Kirisia (GEF5/Samburu) projects to promote one set of coordinated training courses and materials on FLR where relevant and justified; (ii) conduct a meeting with WWF managing the AREECA Project to identify and agree on synergies with a Memorandum of Understanding (MoU) in areas of mutual interest; (iii) KEFRI and FAO identify potential new sources of co-finance from other projects they are managing.
- On improving monitoring and evaluation (M&E): in a similar manner to the MTR recommendation to the TRI project in Sao Tome and Principe (STP), it is recommended FAO-KE, the PMU, KEFRI and KFS agree on the selection of qualitative indicators that

would support learning among stakeholders ensuring coherence with the qualitative milestones in the Policy Influencing Plan (PIP), and preferably packaging into following three main areas: socio-cultural, economic and environmental development. Each area should focus on indicators to measure: (i) social transformation in terms of changes in knowledge, attitudes and practices (which will also support capacity assessments), which can be monitored through methods such as KAP surveys. Attention should be given to ensuring suitable ethnographic methods are chosen for each child project (focus group discussions, in-depth interviews, participant observation, participatory analysis methods, etc.) and that a combination of qualitative and quantitative methods are applied by two experts from qualitative and quantitative research traditions. Similarly, attention should be given to monitoring how far women, youths and other vulnerable groups are being engaged in decision-making roles and access to services (as opposed to focusing only on participation rates); (ii) economic transformation from the perspective of identifying economically viable FLR approaches and generating inclusive, sustainable and resilient bio-enterprises. Attention should be given, therefore, to measuring FLR costs in relation to the income they generate and similarly the costs of setting up bio-enterprises in relation to their turnover/profits to facilitate comparisons with approaches from other donor projects; (iii) ecological transformation through the introduction of ecological health index monitoring to support learning on the quality of the restoration process, especially in terms of improving biodiversity and saving endangered species, but also concerning improvements in forest and rangeland ecosystem services. It is strongly recommended KEFRI in association with, for example, the Mama Ngina University College, develop training and research capacity on the application of the ecological health index (EHI) and on PES. Moreover, FAO-China has worked extensively on applying EHI and PES in GEF-funded projects (includes developing carbon inventories in Fujian Province to support ETS) and should be contacted to provide support and share lessons learned on these disciplines. This would also support reporting to CBD and UNFCCC on progress in meeting its Nationally Declared Contributions (NDCs) as well as inform the International Union for the Conservation of Nature (IUCN) on changes in the Red Lists for species and ecosystems and preferably applying Species Threat Abatement and Recovery (STAR) in parallel to the EHI.

- Progress in implementing the above recommendations should also be used to learn lessons to support the ASAL Project develop its communications, including the above-mentioned proposal to develop an effective advocacy campaign to, among others, improve the linkages between FLR climate change adaptation (CCA) plans and to encourage politicians to promote investment in FLR/NTFPS, through which an increase in PES schemes from the co-benefits generated could be established.

32 **Recommendation 6 (R6) on question 6 (Cross-cutting priorities) – on effectiveness and sustainability – to FAO and the PMU: the MTR team recommends a review of the Environmental and Social Management (ESM) Safeguards 2.1, 2.4, 3.2.2 and 4.7 is conducted in the next PIR, if possible, with the support of FAO’s ESM team. In addition, in support of the dialogue proposed on developing monitoring on the ecological health index of the FLR process in both project sites, discussion should include an assessment on developing indicators that would also facilitate monitoring of compliance with relevant**

criteria under Safeguard 2 (Protected areas, buffer zones, or natural habitats) and Safeguard 3 (Access and benefit sharing for genetic resources).

- 33 **Recommendation 7 (R7)** on question 7 (gender) – on effectiveness and sustainability – to FAO and the PMU: the PMU should conduct a review of its monitoring of indicators on participation rates to break them down further into youth participation (male/female) and number of women/youths who, for example are members of boards of directors (including bio-enterprises), or who participate in decision-making roles.
- 34 **Recommendation 8 (R8)** on question 8 (links to the global child project) – on efficiency and effectiveness – to FAO, the PMU and GCP: the MTR team recommends that GCP provides a more proactive role in: (i) providing short-term technical assistance to support the implementation of the recommendations of the MTRs with the aim of releasing the PMU from FAO’s recruitment procedures; (ii) the GCP supports all TRI projects agree on applying a set of qualitative indicators to support learning on TRI’s main achievements and shortcomings; (iii) GCP develops a more effective networking facility that is monitored to ensure TRI projects are communicating and exchanging information with each other and, in the case of Kenya, applying synergies to promote a united message on the role of FLR in supporting CCA/disaster risk reduction (DRR), climate change mitigation (CCM)/PES and development of resilient communities and value chains. Meanwhile, the ASAL Project should provide insights into innovative approaches such as the development of linkages with credible public sector institutions (including the Kenya Wildlife Service/Ministry of Tourism and Wildlife) that can provide both technical and production skills to support the development of incubation services and ecotourism services with the private sector that demonstrate the benefits of nature-based solutions to restoration, conservation and sustainable use of forest ecosystems.
- 72 **Recommendation 9 (R9)** on question 9 (COVID-19) – on efficiency and effectiveness – to FAO, the PMU and GCP: the impact of the pandemic on the Kenyan economy should be fully factored into the discussion proposed on developing a risk management strategy under R4.

## 0.5 Table B - GEF ratings

GEF criteria/sub-criteria	Rating <sup>2</sup>	Summary comments <sup>3</sup>
<b>A. STRATEGIC RELEVANCE</b>		
A1. Overall strategic relevance	S	Strategic relevance is high at all levels of government. At the national level it is directly supporting 10% tree cover and the big 4 agenda on food security and manufacturing and 3% of the government’s pledge to AFRI100/Bonn Challenge (5.1 million ha). At the sub-national level it directly supports the county

<sup>2</sup> See rating scheme at the end of the document.

<sup>3</sup> Include reference to the relevant sections in the report.

		governments develop capacity and awareness on the role of the FLR process in CCA and its funding through updating of the CEAPs and Integrated Development Plans. At the community level it directly supports local communities protect their livelihoods and build resilience. It is also relevant to the international community because the forest landscapes of MKBR and Mukogodo are estimated to sequester over 24 million tCO <sub>2</sub> eq. Nevertheless, relevance is compromised by some shortcomings in the project's design, in particular the absence of supporting inter-county mechanisms already in place in the Mukogodo landscape and funding gaps for urgent rural infrastructure.
A1.1. Alignment with GEF and FAO strategic priorities	HS	The project remains strongly aligned to GEF6 Focal Areas BD-4-P9, CC-2-P4, LS-2-P3, LD-3-P4, and SFM-3, FAO's SO-2
A1.2. Relevance to national, regional and global priorities and beneficiary needs	S	The project supports achievement of SDGs 1 (Target 1.4), 2 (Target 2.4) 13 (Target 13b) and 15 (Targets 15.1 and 15.5) and is fully coherent with national priorities established in the Constitution (2010), Vision 2030 and the National Climate Change Strategy through the implementation of NCCAPs and the NAP. For this reason, the PSC chose to drop the development of the National FLR Strategy in favour of implementing an Action Plan (FOLAREP) to push the FLR agenda forward in the field. Beneficiaries confirm the project has applied FPIC and responds to their needs, in particular gaining communal rights to manage and own the forest landscapes they depend on for their livelihoods, well-being and cultural identity.
A1.3. Complementarity with existing interventions	MU	An adequate national coordination mechanism is not actively engaged in stimulating close cooperation and coordination between GEF-funded projects, although the MTR team did identify joint activities have taken place between the two TRI projects in Kenya to support the application of the ROAM methodology and data collection to support the development of the FOLAREP. For example, despite some meetings taking place with the GEF5 project in neighbouring Samburu County (supporting restoration of the Kirisia forest and rangelands landscape) formal synergies and regular information exchange on lessons, good practices and networking was not evident. This is despite the establishment of the Amaya Triangle Initiative promoting an integrated approach to managing the Mukogodo forest and rangeland landscape that covers the counties of Laikipia, Isiolo and Samburu and which is the subject of tree cover monitoring by KEFRI and financial support from the EU since early 2021 to support coordinated development in these counties, plus Baringo County. Similarly, contact with the German-funded AREECA programme supporting FLR in Kenya since 2020, has not yet been fully established with the implementing partner WWF, despite having been consulted on the FOLAREP.
<b>B. EFFECTIVENESS</b>		
B1. Overall assessment of project results	MS	The project is making progress in meeting its objectives, but external factors such as the pandemic, a drought of over two years and administrative challenges have caused delays of around

		12 months. As such the project is not on track to deliver its expected results by July 2023 and will need a time extension.
B1.1 Delivery of project outputs	MS	The project has applied a large number of LoAs to support the implementation of the long list of activities established in the Prodoc. This has enabled the project to carry out the preliminary and preparatory activities needed to guide and support the implementation of FLR activities on the ground, but also encouraged a fragmented approach to delivering each output. This has restricted interaction between partners and stakeholders engaged in different LoAs on seeking out integrated approaches on FLR management, FLR activities and development of services for bio-enterprises promoting sustainable commercialization of NTFPS. Overall, many of the project's outputs have been delayed by several external factors and will need a project time extension.
B1.2 Progress towards outcomes <sup>4</sup> and project objectives	MS	The project has made progress in achieving all four outcomes, but delays in operations amounting of almost 12 months linked to several factors largely beyond the PMU's control such as the pandemic, a growing energy crisis, and heavy FAO bureaucracy coupled with over-ambitious direct and indirect FLR targets provide suggest it is unlikely the project will meet its expected outcomes (especially 2 and 4) by July 2023.
- Outcome 1	S	The project has made good progress strengthening the national and county policy framework for FLR through the development of the FOLAREP, which has precipitated a national consultation process on its adoption, which has raised awareness on the role and benefits of FLR. Meanwhile, the development of a similar policy for NTFPS is still in process of development and it appears unlikely the policy will be adopted before 2023.
- Outcome 2	MS	The project is on track to establishing 202,397 ha under improved management. This is well above the 152,661 ha planned in the Prodoc and is due to the decision to apply the MKEMP over a wider area of the MKBR (51,436 ha compared to 1,700 ha planned). The application of FLR practices has been slower than planned (949 ha) due to the pandemic, prolonged drought and slow procurement of materials and tools to support activities such as removal of invasive species and grass seeding planned indicating it is highly unlikely the target of 8,700 ha can be reached by July 2023.
- Outcome 3	MS	Institutional strengthening (Outcome 3) is progressing as planned on applying CEOF/ROAM/FLR, but institutional building to apply the national strategy for NTFPS is unlikely to start in 2022. Moreover, its implementation will face major challenges, because the county governments do not have a policy framework, capacity, or resources in place to support bio-enterprises development.
- Outcome 4	MS	Achievement of Outcome 4 is behind schedule in most areas, although progress in producing quality knowledge products has

<sup>4</sup> Assessment and ratings by individual outcomes may be undertaken if there is added value.

		been observed. The TEV study for MKBR is noteworthy for the data it provides on carbon sequestration, which indicates significant potential to explore carbon trading agreements, especially as they have already been developed by NRT in Oldonyiro conservancy in Isiolo County. The development the knowledge management system for FLR is progressing under a national committee, but the MTR team has doubts on the need to establish a separate KM for FLR, when one already exists in KEFRI and in KFS. Participation in TRI events and South-South exchanges has been curtailed by all events being replaced by online webinars and training courses, among others, which have less impact because there are no follow-up activities in the field.
- Overall rating of progress towards achieving objectives/ outcomes	MS	Achievement of the project and development objectives is unlikely, unless more time is available and gaps in the project design are addressed and solutions agreed and implemented. Achievement of the development objective is particularly challenging because these gaps include a general lack of engagement of specialists in bio-enterprise development in the PSC. For example, the exclusion of representatives from the Ministry of Industrialization, Trade and Enterprise Development such as from KIBT, or the Field Services Department, in the PSC means the project lacks adequate guidance and support in key areas such as networking and marketing to establish inclusive value chains in the most profitable NTFPS.
B1.3 Likelihood of impact	UA	Not rated in MTRs
<b>C. EFFICIENCY</b>		
C1. Efficiency <sup>5</sup>	MS	Physical progress is moderately satisfactory at 43 percent to 28/02/2022 and is largely matched by accumulated expenditure of GEF funds amounting to 41% of total funds to 31/12/2021 (USD 1.717,976). The total number of direct beneficiaries who have participated in capacity development amounts is 21,259 to 28/02/2022, indicating the project is spending on average USD 80.8 on each beneficiary, which compares favourably to other TRI projects reviewed in STP and Pakistan. Co-funding (in cash and in-kind) was reported to be 2,840,000 to 30 June 2021, which is low (22.7% of planned co-finance). For every one US Dollar of GEF funds, the project is managing to leverage on average USD 1.65 from co-financing sources. However, because all projects providing co-finance have ended, the ASAL project faces major challenges in delivering some key outputs, especially where support in securing communal land rights are crucial to implementing FLR plans (such as in Makurian group ranch and in the MKBR).
<b>D. SUSTAINABILITY OF PROJECT OUTCOMES</b>		
D1. Overall likelihood of risks affecting sustainability	L	Sustainability of the FLR process instigated by the project is moderately likely, but this if an extension of around 18 months is authorised to support the application of the FOLAREP, the

<sup>5</sup> Includes cost efficiency and timeliness.

		<p>MKEMP and conservancy management plans in the core and buffer-zones of the Mukogodo forest and rangeland ecosystem. However, the sustainable management of both sites would be strengthened considerably if: (i) an ETS agreement is in place through the voluntary carbon trading market to generate an income to aid local communities restore the MKBR core and buffer zones; (ii) a move to an inter-county management approach under the Amaya Initiative is agreed to manage social conflict and identify a strategic approach to restoring and sustaining the wider Mukogodo landscape; (iii) urgent water infrastructure (bore holes) is established at both sites to provide water for human and livestock consumption and separate ones in wildlife corridors (to support eco-tourism). Sustainability of bio-enterprises is unlikely even if a NTFPs policy framework is established, because there is a lack of business services in the participating counties and linkages with NTFPs value chains and investment from the private sector remains very low. The concentration of resources on developing two NTFPs (gums and resins and hay/grass seed and medicinal plant production) plus ecotourism is likely to be more sustainable and ensure a focus on urban and rural markets respectively.</p>
D1.1. Likelihood of financial risks affecting sustainability	L	<p>Financial risks are moderate, but likely to become substantial because: (i) the project has had no access to co-finance since the last of the co-funding programmes (the Land Programme) ended in mid-2021; (ii) the COVID-19 pandemic and global energy crisis exacerbated by the Russian invasion of Ukraine is causing a rise in prices that are projected to affect the ASAL region heavily; (iii) a lack of synergies with other projects has reduced the scope to reduce training and other costs through joint approaches; (iv) the project has largely overlooked the importance of developing income streams from carbon trading and other PES schemes to support FLR, which should be a central theme in the FOLAREP, MKEMP and in Mukogodo; (v) the identification of future investment in FLR/NTFPS has mainly focused on identifying funding from the climate funds and donors, rather than through government sources (such as fiscal incentives or environmental levies) and the private sector (through, for example, a Green Code of Conduct for the banking sector). This approach is not sustainable and high risk due to their heavy conditionality and slow approval process of donors such as GEF who need several years before funds can be disbursed. FAO also lacks an agile bureaucracy, which means it is not able to respond quickly and effectively to the climate and ecological emergency.</p>
D1.2. Likelihood of socio-political risks affecting sustainability	L	<p>Socio-political risks have increased from “moderate” in the PIRs to “substantial” over the last year. The financial risks associated with the pandemic and energy crisis are increasing social and political tensions on how to respond to social deprivation. Political manifestos of political parties have climate change and loss of biodiversity low on their agendas in the run up to general elections in August 2022. Failure of rains so far (16 April 2022) for a third year in the ASALs is likely to create further social tensions on entering the MKBR and Mukogodo forests. Moreover, these</p>

		risks are not adequately reflected in the PIP and may need updating.
D1.3. Likelihood of institutional and governance risks affecting sustainability	ML	Institutional risks have increased from “low” in the PIRs to moderate because: (i) KEFRI is a centralised institution which makes it difficult to participate in devolved decision-making at the county government level. Also, despite having a new Research Centre in Laikipia, direct linkages with the ASAL Project have not been agreed upon so far; (ii) institutional overlaps with KFS and KWS remain, especially on the management of government managed forests where there is wildlife; (iii) insufficient emphasis given to inter-county mechanisms that are already in place to support conflict resolution and promote coordinated landscape management approaches (in particular ATI); (iv) inadequate levels of coordination has been established between GEF-funded projects and from other donors, such as AREECA, that are supporting institutional capacity building and governance of natural resources in Kenya
D1.4. Likelihood of environmental risks affecting sustainability	MU	Environmental risks are low, but, the lack of qualitative monitoring (such as the environmental health index) has reduced the scope to review key aspects of the ESS (especially relevant criteria under Safeguard 2), which are needed to support learning on the quality of the FLR achieved.
D2. Likelihood of catalysis and replication	ML	The adoption of CEOF/ROAM is likely to catalyse improved forest monitoring, which will be able to support informed decision-making on applying effective forest governance. The securing of communal land rights under the CLA and registration of CFAs is likely to encourage the wider community to adopt and apply FLR good practices. Generation of grass seed, hay and medicinal plants is proving to be highly popular among rural communities and there is already replication of grass seed production in Leparua conservancy, Isiolo County. Replication of improved charcoal production techniques is not evident and alternatives such as briquettes are needed. Replication of gums and resin production is not evident so far, but there is potential for replication due to the attractive market conditions for such products.
<b>E. FACTORS AFFECTING PERFORMANCE</b>		
E1. Project design and readiness <sup>6</sup>	MU	The project’s design has gaps that are affecting performance and need to be urgently addressed by main stakeholders: (i) the lack of representatives from MITED and the private sector to guide the project’s bio-enterprise development (focusing on three NTFPS); (ii) the lack of congruence between the project’s intervention area in the Mukogodo landscape and KEFRI’s landcover monitoring of the Mukogodo landscape which corresponds to the ATI; (iii) the lack of co-finance since July 2021; (iv) the long lists of activities to achieve outputs has encouraged a fragmented approach to achieving outcomes 2 and 3, rather than an integrated one; (v)

<sup>6</sup> 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.



		there are many targets that are over-ambitious, unrealistic or no longer relevant that are likely to stretch resources and affect the degree to which the project achieves its objectives.
E2. Quality of project implementation	S	Overall, the quality of the PMU team's technical and administrative inputs has been satisfactory, especially taking into account the PMU has had to endure several challenges such as the restrictions on travel and group meetings due to the pandemic, severe drought conditions in the ASAL region and a lack of field staff in either MKBR, or Mukogodo landscapes. Interviewees also confirmed the quality of the consultation process for the FOLAREP, review of the CEAP and production of the MKEMP has been satisfactory, with a strong emphasis on participatory techniques and awareness raising on the benefits of FLR, which have encouraged county governments such as Isiolo trainings to view FLR as a valid approach to enhancing CCA to develop resilience to the growing effects of climate change.
E2.1 Quality of project implementation by FAO (BH, LTO, CTA, etc.)	MS	The quality of FAO's technical support has been satisfactory. Although no field visits have been conducted by the BH, LTO, or CTA since 2020, the pandemic has resulted in more virtual meetings with the PMU. Quality of support from FAO-KE was found to be moderately satisfactory. Overall, interviewees agree the pandemic has restricted FAO staff to travel to the sites, but signs that the pandemic is under control indicate more will need to be done to support further synergies with the TRI Tana Project (especially on the development of green enterprises), other GEF-funded projects of mutual interest and other donor-funded projects such as relevant EU-funded projects operating in the ASAL region and the AREECA project funded by Germany. FAO bureaucracy has also contributed to slowing down some operations and planned activities, especially LoAs and procurement of equipment and materials for tree nurseries and hay/grass seed production.
E2.1 Project oversight (PSC, project working group, etc.)	S	The PSC has met at least once a year and has been instrumental in successfully converting some planned outputs into current needs. These include switching from a national FLR strategy to the FOLAREP and focusing on the development of regulations for equitable benefit sharing of ecosystem goods and services rather than a new policy on access to natural resources and benefits sharing. However, more needs to be done to encourage an clustering approach to realising activities to achieve an integrated approach to FLR planning and management and bio-enterprise developments. The lack of representation of qualified expertise in bio-enterprise development is also a major drawback for the project.
E3. Quality of project execution	MS	The quality of the project's execution is mixed. Generally, stakeholders are satisfied with the resource assessments conducted, training provided to develop ROAM, the FOLAREP, MKEMP, communal land titling under the CTA, among others. The quality of the FLR activities in the field has been hindered by the lack adequate equipment, ensuring water provision to tree nurseries, providing nursery materials and seeds, acquiring

		processing equipment, among others. In addition, the FLR approach has paid insufficient attention to applying the enclosure approach to protect key sites from grazing livestock. The quality of training on the development of bio-enterprises has been affected by the drought and is pursuing unrealistic targets.
E3.1 Project execution and management (PMU and executing partner performance, administration, staffing, etc.)	MS	KEFRI has provided significant support as main executing agency and presided over the production of a number of assessments, some of which were found to be of very high quality, such as the TEV for MKBR. However, KEFRI should be encouraging the use of these assessments in a more proactive manner so that they feed into the development of the FOLAREP and MKEMP. There is a need for a more robust coordination mechanism between KEFRI, KFS and KWS on forestry management issues and MITED on development of services for bio-enterprises through its Research Centre and with the county governments. The implementation of the project through DEX has subjected the PMU to FAO's internal rules and regulations, which are not well understood and which causes high transaction costs and delays in operations.
E4. Financial management and co-financing	MU	The MTR team found financial management and co-financing appear to be a problem shared by all TRI projects. The MTR team has found the PMUs struggle to report on clearly on co-finance expenditure, which appears to start from the Prodoc, where insufficient breakdown of the allocation of co-finance is provided. In addition, co-finance expenditure is reported in a very simplified manner in the PIRs. Overall, FAO is not providing adequate guidance on this, nor is it sufficiently proactive to step in and address co-finance shortfalls.
E5. Project partnerships and stakeholder engagement	MS	Partnerships with key players in the ASAL region, such as NRT, LWF, NMK and ICRAF through LoAs have secured access to their in-depth knowledge and experience, as well as a number of alliances already established with the end beneficiaries through other projects. However, engagement of other government institutions such as KIBT and DFS in MITED, or the private sector linked to the 14 NTFPS identified by the ASAL Project is low. Partnerships with the GEF Focal Point, IUCN, UNEP/Nature Kenya and WWF/AREECA were either not evident, or informal.
E6. Communication, knowledge management and knowledge products	MS	The project is producing a number of knowledge products and diffusing them via the internet, press releases, in newsletters and annual reviews produced by GCP, among others. In addition, an online webinar has facilitated an exchange on lessons learned and good practices. However, this does not appear to have been used to support the development of a robust communication strategy dedicated to advocating the role and importance of FLR in climate change adaptation policies for rural areas such as the ASAL region, nor on the ecosystem goods and services it restores to support payment for ecosystem services and the conservation of biodiversity and habitats. The decision to establish a new KM platform for FLR is important, but the MTR found this can be accommodated in KEFRI and KFS already existing KM platforms, rather than creating a new platform for FLR.

E7. Overall quality of M&E	MS	The quality of the M&E system is satisfactory from the point of view of tracking outputs linked to TRI's nine core indicators, but unsatisfactory to support learning, because it has no qualitative indicators or risk monitoring to stimulate understanding and informed dialogue on why knowledge, attitudes and practices are/are not changing at all levels, but especially in rural areas.
E7.1 M&E design	MS	The M&E system is designed to respond to the reporting needs of the PIRs and PPRs. Moreover, it defines which indicators under components 1-4 relate to the GCP's nine core indicators. As a result, the PMU is required to micro-manage all actions and outputs as they progress, which is costly and only partially supports informed decision-making because it lacks the qualitative aspects mentioned above.
E7.2 M&E plan implementation (including financial and human resources)	MS	The M&E plan has been updated in 2021 with the support of the GCP (through webinars). The M&E consultant in the PMU has not reported any major difficulties in implementing the M&E plan in terms of funding and human resources to support the formulation of the progress reports.
E8. Overall assessment of factors affecting performance	MS	Unless the gaps in the Prodoc are fully addressed and resolved/mitigated, the MTR believes they will continue to affect the project's ability to achieve its objectives.
<b>F. CROSS-CUTTING CONCERNS</b>		
F1. Gender and other equity dimensions	MS	The project is mainly concentrating on measuring women's participation rates in the project's main activities. Although the overall participation rate is satisfactory at 41.3% (under component 2 it reaches 50%) this does not constitute a gender strategy. In particular there is a need for additional monitoring of other vulnerable groups such as youths aged 15-25 years old and how far women and youths are participating in empowering roles (i.e. decision-making roles), or on securing the rights of indigenous peoples.
F2. Human rights issues	S	The MTR found evidence the project is applying a rights-based approach to forest management thanks to support from the Land Programme, which successfully supported the IING'wesi community gain communal land titles in 2020, although the programme closed in 2021, before Makurian ranch could achieve their land rights. The application of FPIC has ensured indigenous tribes in the project sites have given their priori approval to activities such as the development of the MKEMP.
F2. Environmental and social safeguards	HS	There is satisfactory compliance with the ESS standards, although none of the safeguards are included in the M&E Plan. For example, Safeguards 2.4, 3.2.2 and 4.7 have not been addressed, but are considered highly pertinent. They should, therefore, be addressed in the next PIR and considered for monitoring (especially Safeguard 2) as this would support qualitative monitoring relating to the application of the EHI.

**Overall project rating****MS**

*Ratings: Highly satisfactory (HS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MU), Unsatisfactory (U) Highly unsatisfactory (HU) Unable to assess (UA). Additional ratings for Section E: Likely (L), Moderately likely (ML), Moderately unlikely (MU), Unlikely (U)*

# 1. Introduction

## 1.1. Purpose and scope of the MTR

- 36 The project GCP/KEN/090/GFF (GEF 9556): *Restoration of arid and semi - arid lands (ASAL) of Kenya through bio-enterprise development and other incentives* is funded by GEF under The Restoration Initiative (TRI), hereafter referred to as the **ASAL Project**. The terms of reference (ToR) of the present mid-term review (MTR) state the main purpose of the MTR is, *to assess the progress made towards achievement of the project's planned results and to provide inputs to better orient the FAO-GEF project GCP/KEN/090/GFF in Kenya, making it more relevant to the needs of the country*. On this basis the MTR has aimed to provide a set of conclusions and recommendations that will enable decision-makers to take the necessary corrective measures to improve the project's effectiveness and sustainability and to enhance its impact. In particular, attention has been given to supporting stakeholders scale-up forest landscape restoration (FLR), using sustainable forestry and rangeland management practices (SFM) that help reduce poverty and build resilience to climate variability and change.
- 37 The present MTR takes into account and, where relevant, builds on the main findings, lessons and recommendations of the MTRs conducted in 2021 for the following two projects funded by GEF under The Restoration Initiative: (i) GCP/PAK/091/GFF (GEF 9516): *Reversing deforestation and degradation in high conservation value Chilgoza Pine Forests* in Pakistan, and, (ii) GCP/STP/022/GFF (GEF 9517) : *Landscape Restoration for Ecosystem Functionality and Climate Change Mitigation in the Republic of São Tomé and Príncipe*. In both cases the MTRs were conducted by the same TL as the present MTR of the ASAL Project.
- 38 The **scope of the MTR** covers the start of the project's implementation on 01 August 2018 to 28 February 2022. The geographical scope of the MTR covers the two specific landscapes (intervention sites) in Kenya's ASAL region. They are, (i) the **Mount Kulal Biosphere Reserve** (MKBR) in Marsabit county, which is a UNESCO Man-and-the-Biosphere Reserve recognised for its unique and varied ecosystems, and (ii) **the Mukogodo forest and rangeland landscape** in Laikipia and Isiolo counties, which has high biodiversity, in particular wildlife of touristic interest. A wide sample of direct stakeholders were identified and selected following a participatory stakeholder analysis exercise conducted during the Inception Phase in line with GEF/FAO MTR guidelines. During the field phase conducted between 24/02/2022 and 12/03/2022, additional stakeholders were identified and interviewed to help triangulate the MTR team's main findings and substantiate its conclusions and recommendations. A list of stakeholders interviewed can be found in Appendix 3.

## 1.2 Objective of the MTR

39 The **objective of the MTR** is to assess progress made towards achievement of the project’s results, identify challenges faced and provide recommendations on how to make it more relevant to the needs of the country. To achieve this objective the MTR has conducted its analysis using the same evaluation criteria and main questions applied in the abovementioned MTRs in Pakistan and Sao Tome and Principe. These are summarised in Box 1.

### Box 1: Main questions for the MTR

<b>1. Relevance</b>	Are the project outcomes congruent with country priorities, GEF focal areas/operational programme strategies, the FAO Country Programming Framework, the TRI global child project objectives and the needs and priorities of targeted beneficiaries (local communities, men and women, and indigenous peoples, if relevant)?
<b>2. Effectiveness</b>	To what extent has the project delivered on its outputs, outcomes and objectives?
<b>3. Efficiency</b>	To what extent has the project been implemented efficiently and cost effectively?
<b>4. Sustainability</b>	What is the likelihood that project results can be sustained beyond the project?
<b>5. Factors affecting progress</b> (questions relate to one of the above criteria)	<p><i>(Project design)</i> Is the project design suited to delivering the expected outcomes? Is the project’s causal logic coherent and clear?</p> <p><i>(Project execution and management)</i> To what extent did the executing agency effectively discharge its role and responsibilities in managing and administering the project?</p> <p><i>(Achievements and challenges)</i> To what extent has the project progressed in achieving the expected outcomes in each of its components? (Assessed according to findings in Effectiveness)</p> <p><i>(Financial management and co-financing)</i> What have been the financial-management challenges of the project?</p> <p><i>(Project oversight, implementation role)</i> To what extent has FAO delivered oversight and supervision and backstopping (technical, administrative and operational) during project identification, formulation, approval, start-up and execution?</p> <p><i>(Partnerships and stakeholder engagement)</i> To what extent have stakeholders, such as government agencies, civil society, indigenous populations, disadvantaged and vulnerable groups, people with disabilities and the private sector, been involved in project formulation and implementation?</p> <p><i>(Communication and knowledge management)</i> How effective has the project been in communicating and promoting its key messages and results to partners, stakeholders and a general audience?</p> <p><i>(M&amp;E design)</i> Is the project’s M&amp;E system practical and sufficient?</p> <p><i>(M&amp;E implementation)</i> Does the M&amp;E system operate per the M&amp;E plan?</p>
<b>6. Cross-cutting priorities</b>	<i>(ESS)</i> To what extent were environmental and social concerns taken into consideration in the design and implementation of the project? To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?

<b>7. Gender</b>	<i>(Gender and minority groups, including indigenous peoples, disadvantaged, vulnerable and people with disabilities)</i> To what extent were gender considerations taken into account in designing and implementing the project?
<b>8. Links to the child project</b>	What did the global child project bring to the national child project, including any synergies between child projects? What did the child project bring to the global child project?

Source: GEF/FAO MTR Guidelines (2020) and ToR for the MTR of TRI project: GCP/PAK/091/GFF (Pakistan).

### 1.3 Intended users

40 The primary users of the present MTR report are:

- FAO’s Representative in the Country Office for Kenya, who is the Budget Holder of the ASAL Project and staff;
- The GEF Secretariat and the FAO’s GEF Coordination Unit (GCU) in FAO’s Headquarters in Rome (FAO-R), which includes the GEF funding liaison officer (FLO);
- The Government of Kenya (GoK), in particular the members of the Project Steering Committee (PSC), which is chaired by the Ministry for Environment and Forestry (MEF) and includes representatives from FAO, the Kenya Forestry Research Institute (KEFRI), the Kenya Forestry Service (KFS), Northern Rangeland Trust (NRT), the National Museum of Kenya (NMK), IUCN and the three county governments concerned (Isiolo, Laikipia and Marsabit), plus the national GEF focal point based in MEF;
- The members of the Project Management Unit (PMU) responsible for the implementation of the ASAL Project, especially the FAO appointed Project Manager (PM);
- The Lead Technical Officer (LTO), the Chief Technical Adviser (CTA), plus other FAO technical staff at Headquarters in Rome (FAO-R) and in the Regional and Sub-regional Offices including technical divisions and the FAO’s Project Task Force (PTF);
- Other implementing partners of TRI, in particular responsible for TRI’s global child project (GCP), which includes representatives the United Nations Environment Programme (UNEP) and the International Union for the Conservation of Nature (IUCN) to provide umbrella support to all TRI projects, as well as manage global activities, such as the tracking of TRI’s nine core indicators to support reporting to the GEF Secretariat.

41 Other potential users of the MTR report are, among others:

- Local stakeholders that are participating in the project’s implementation in STP, such as non-government organisations (NGO), community forestry associations (CFA), the boards of conservancies, ranch committee groups and the private sector, among others;

MTR of project GCP/KEN/090/GFF (GEF 9556): *Restoration of arid and semi - arid lands (ASAL) of Kenya through bio-enterprise development and other incentives* – The Restoration Initiative

- Co-funding institutions, including other relevant GEF-funded programmes and projects operating in Kenya, FAO programmes providing co-finance - *FAO Land Programme* and the project, *Reviving ASAL Economies through Livestock Opportunities and Improved Coordination* (RAELOC).

## 1.4 Methodology

- 42 The MTR was conducted by a team of three independent consultants; one international (acting as team leader) and two national specialising in landscape restoration and bio-enterprise development. The international consultant, Mr. Warren Olding, is an Environmental Planner by profession and has over 25 years work experience in project identification, design, management and external monitoring and evaluation linked to sustainable rural development, natural resources management, biodiversity conservation and adaptation to climate change. He is currently employed as TL for the MTRs of the three abovementioned TRI projects in Pakistan, STP and Kenya. National consultant, Prof. Bernard Muok, is a forester by profession and is currently Director of the Directorate of Research, Innovation and Partnerships at Jaramogi Oginga Odinga University of Science and Technology in Kenya. He has more than 25 years of work experience in forestry matters, tropical agriculture, climate change and renewable energy. National consultant, Robinson Ng'ethe, is a forester by profession and currently treasurer of the Gums and Resins Association of Kenya (GARA). He has over 30 years work experience in sustainable forestry management, carbon sequestration, alternative livelihoods and development of non-timber forestry products and services (NTFPS) and small enterprise development.
- 43 The MTR team started the MTR process on 01 February 2021 and is scheduled to present the final report by mid-April 2022. The field mission took place between 24 February 2022 and 12 March 2022. The work methodology has been applied in line with the United Nations' Evaluation Group (UNEG) Norms and Standards (2016) and follows the FAO-GEF Guidelines for MTRs together with FAO's corporate policies on gender and other cross-cutting issues. The main sources of information used to support the review and triangulate findings are summarised as follows:
- A review of key documents and reports of TRI project 022, in particular the Project Document (Prodoc), Project Implementation Reports (PIRs), Project Progress Reports (PPR), annual reports, technical reports, back-to-office reports, monitoring reports, including the TRI's global child project's tracking tool of nine core indicators, and government policies, strategies and plans, among others;
  - Semi-structured interviews with a wide sample of main stakeholders at the FAO, national and sub-national levels, conducted remotely in the case of FAO staff who are not based in STP using the internet application Teams, and in person in the form of individual or group interviews during the field mission. To ensure a results-based focus to the MTR's field mission, the majority of questions addressed to stakeholders focused on performance-related issues (effectiveness, efficiency, sustainability and cross-cutting objectives). Every effort was made



during the MTR process to ensure women and other vulnerable groups were fully included in the interview process.

- Direct observations in the project sites where FLR activities are planned and to the sites where bankable projects have been approved by the PMU in both Sao Tome and Principe islands;
- An online questionnaire, designed to facilitate the above-mentioned results-based focus to the MTR by asking questions on project relevance, factors affecting performance and on links with the global child project.

- 44 The MTR has been conducted through three main phases. First, an **inception phase** in which the MTR prepared and submitted an Inception Report (IR). The IR was cleared by FAO-GCU on 18 February 2021. Key elements developed in the IR to support the field phase are the: (i) Theory of Change (ToC) for project 022, (see section 3 below and Appendix 9b), produced because one has only been produced at the TRI level, but not at the project level; (ii) participatory stakeholder analysis in which all direct stakeholder groups were ranked for interview in terms of “priority”, “desirable”, or “complementary” (see Appendix 3); (iii) Evaluation Matrix (see Appendix 4), outlining all main questions and sub-questions to be asked to interviewees and supported by indicators, judgement criteria and sources of information, to guide the interview process and support the triangulation of main findings, identify lessons learned and good practices that could be recommended for replication/scaling up. In addition, a document review was initiated during the inception phase. The list of documents used to support the formulation of this report can be found in Appendix 5.
- 45 Second, a **field phase**, following clearance by FAO and UNDSS. As stated above, the field phase concentrated primarily on preparing the work schedule in Kenya; (ii) carrying out the remote interviews with stakeholders not based in STP; (iii) conducting a series of interviews and site visits in Kenya between 24 February 2022 and 12 March 2022. Due to the COVID-19 pandemic, all interviews in Kenya were conducted in accordance with the rules and regulations of the national government, such as the wearing of face masks and use of hand sanitizers in all meetings indoors. Similar to the MTR field phase in STP, the MTR placed evidence in the field phase on identifying some additional indirect stakeholders who the MTR team considered could become important direct stakeholders in the ASAL Project to address gaps identified in the project design that were identified in the desk review. This included the Mama Ngina University College to explore the development of training courses on FLR and development of NTFPS.
- 46 Third, a **synthesis phase**, to produce the current MTR report, based on desk review, remote interviews and field notes collected from the field interviews conducted (see Appendix 7). Overall, the MTR team is satisfied it was able to achieve the triangulation needed to justify its findings, conclusions and recommendations in the present report.

## **1.5 Limitations**

- 47 The main limitations to the MTR have been: (i) maintaining compliance of FAO and GoK rules on the COVID-19 pandemic, (ii) a delay in obtaining the e-visa, which resulted in reducing the field visit by two work days, which forced some key interviews/meetings to be cancelled, or left to the national consultants to conduct after the TL had left Kenya; (iii) prohibition of travel and meetings in Marsabit town due to an uprising in politically-motivated violence; (iv) lack of availability of accounts on co-finance payments.

## 2 Project background and context

### 2.1 Description of The Restoration Initiative

- 48 TRI is a global initiative funded by the Global Environment facility and co-financing partners achieve that supports countries meet their pledges under the framework of the Bonn Challenge. The project framework document (PFD) states that the **overall goal** of TRI is, *'to contribute to the restoration and maintenance of critical landscapes that provide global environmental benefits and enhanced resilient economic development and livelihoods, in support of the Bonn Challenge.'* Its **global environmental objective** is: *'Biodiversity conservation, protection of climate and other ecosystem services through restoration of critical landscapes in TRI countries and complementary sustainable land management (SLM).'* Meanwhile, the **global development objective** is: *'Poverty reduction, strengthened food security, and human well-being and livelihoods enhanced in TRI countries through restoration of critical landscapes and complementary SLM.'*
- 49 Currently, TRI is supporting 11 national "child" projects (TRI projects) in the ten targeted countries in Asia and Africa, plus a global "child" project (GCP) to provide coordination, technical support, track core indicators, lessons and good practices that can be disseminated to stakeholders within the TRI community and the wider restoration community to promote learning and stimulate networking and partnerships. The implementation of five child projects is entrusted to FAO to manage projects in Central African Republic (CAR), Democratic Republic of Congo (DRC), Kenya, Pakistan and Sao Tomé and Príncipe. Two TRI projects are implemented by UNEP in Kenya and Tanzania, and the rest (including GCP) by IUCN, acting as the lead agency of TRI.
- 50 The PFD identified **four common barriers** to forest regeneration and restoration in the 10 participating countries. They are:
- **Policy Development and Integration** – supporting work to enhance the enabling in-country policy environment for FLR.
  - **Implementation of Restoration Programs and Complementary Initiatives** – delivering support for implementation of restoration programs on identified priority landscapes, as well as support for complementary land management initiatives.
  - **Institutions, Finance and Upscaling** – focusing on strengthening the capacity, reach, and effectiveness essential to the successful implementation of restoration and sustainable land management initiatives, and increasing the flow of sustainable finance, both public and private, into restoration and sustainable land management.
  - **Knowledge, Partnerships, Monitoring and Assessment** – providing support for knowledge generation and exchange, monitoring and assessment of progress in achieving objectives and stimulating synergies to enhance learning and scaling up of FLR.
- 51 Each one of the 11 TRI projects have four components that address these barriers in accordance with their specific needs, contexts and challenges. The GCP, as mentioned above, is required to provide a mix of support services to help each TRI project meet its planned outcomes and objectives, develop South-South learning, synergies and partnerships and report to the GEF

Secretariat and TRI community on overall performance, lessons and achievements, in particular in advancing global environmental benefits (GEBs) and sustainable rural development.

## 2.2 Project description – ASAL Project in Kenya

52 A summary of the project is provided in Box 2, followed by a summary of the project and maps showing the three main intervention areas in the ASAL Project.

### Box 2. Basic information on the ASAL Project in Kenya

- A. **GEF Project ID Number:** 9556
- B. **FAO project number:** GCP/KEN/090/GFF
- C. **Recipient country:** Kenya
- D. **Implementing Agency:** FAO
- E. **Executing partner/agency:** KEFRI
- F. **GEF-6 Focal Areas:** BD-4 Program 9: Managing the Human-Biodiversity Interface; CC-2 Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture; LD-2 Program 3: Landscape Management and Restoration; LD-3 Program 4: Scaling-up sustainable land management through the Landscape Approach
- G. **GEF-6 objectives:** BD-2 (Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors)
- H. **FAO Strategy/operational program:** SO2 (Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner), Outcome 2.1: Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner. Country Programming Framework (CPF): Outcome 3: Improved management of natural resources (rangeland, agricultural land, water and forest) at national and community level; Outcome 4: Improved livelihood resilience of targeted, vulnerable populations.
- I. **Date of GEF CEO endorsement:** 24 April 2018
- J. **Project implementation start date:** 01 August 2018.
- K. **Project total budget:** USD 16,657,340 of which a) KEFRI will contribute USD 6.5 m. as follows: (i) WATER project: USD 0.5 m.; (ii) CADEP - SFM project: USD 4.0 m.; (iii) Integrated program to build resilience to CC and adaptive capacity of vulnerable communities in Kenya: USD 2.0 m.; b) FAO will contribute through: (i) Land Programme: USD 4.3 m. and (ii) RAELOC: USD 1.7 m.
- L. **GEF grant amount:** USD 4,157,340
- M. **Project end date:** 31 July 2023
- N. **Geographic location:** Targeted landscapes 1) Mount Kulal degraded area (27,874 ha); 2) Mukogodo degraded area (23,406 ha)
- O. **Development objective:** to contribute to the restoration of degraded and deforested landscapes in arid and semi-arid lands (ASALs) in Kenya for resilient economic development and livelihoods and improved ecosystem functioning, in support of the Bonn Challenge 2030.
- P. **Project objective:** to restore deforested and degraded lands through the FLR approach and enhance the socioeconomic development of local communities through the development of bio - enterprises for NTFPS in ASALs.
- Q. **Project goal:** reduce degraded land by 20% in the areas covered by the project
- R. **Main components:** 1) Policy development and integration (of FLR); 2) Implementation of restoration programs and complementary activities; 3) Strengthening of institutional capacity,

finance and upscaling (of FLR); 4) promote knowledge, partnerships, monitoring and assessment (as well as linkages with the global child project of TRI).

S. **Date of Mid-Term Review (MTR):** 01 February to 25 May 2022

- 53 Kenya is an East African country with a total area of 580,367 km<sup>2</sup> and a population of 46.8 m. inhabitants in 2017, of which around 80 per cent of the workforce is linked to the agriculture sector, (Prodoc, p. 14). It has a highly diverse climate, soil composition and vegetation types. Climate varies from tropical on the coast to arid in the interior and north. The Inter-Tropical Convergence Zone brings two rainy seasons to most of the country, from March to May (“Long Rains”) and from October to December (“Short Rains”). Mid-March is the hottest and driest season while June to September is the “cool season” according to the National Environment Management Authority, (NEMA, 2015). Kenya has seven agro-climatic zones ranging from humid through to semi-arid, arid and very arid. Around 80 per cent of the country lies in ASALs, which support around seven million people, over 50 per cent of the country’s livestock population and 80 per cent of Kenya’s wildlife, but are unsuitable for rain-fed cultivation. According to the Kenya Forest Service (KFS) and Kenya Forest Research Institute (KEFRI), only 6.6 per cent of the country’s land area is forested (2016).
- 54 The main national institution responsible for natural resources management is the Ministry of Environment and Forests (MEF), formerly the Ministry of Environment and Natural Resources. It hosts the National Environment Trust Fund (NETFUND), dedicated to promoting sustainable development and green growth, as well as research into environmental affairs. Five semi-autonomous institutions operate under MEF. They are, NEMA, KFS, KEFRI, and Kenya Water Tower Authority (KWTA). Meanwhile, the Kenya Wildlife Service (KWS) is under the Ministry of Tourism and Wildlife. The national policy and legal framework for the environment and forest sectors places considerable importance on the restoration of natural resources, especially in highly vulnerable areas such as the ASALs. For example, the country’s Constitution (2010) and Vision 2030 call for 10 per cent of the country’s land area to be forested (Art. 69.1) and the Draft National Forest Policy (NFP), adopted in 2015, focuses on achieving this through, among others, the establishment of an enabling legislative and institutional framework, investment in forestry research, education, training, technology transfer, information generation, and sustainable forest management (SFM) based on public, private and community partnerships.
- 55 The legal framework was reformed to support the application of the NFP. For example, the Forest Conservation and Management Act (replacing the Forest Act, 2005) and the Community Land Act were adopted in 2016. The former provides greater clarity on the protection, conservation and management of forests and their ecosystems, while the latter recognises, protects and allows for the registration of community lands and how they should be managed. The National Climate Change Response Strategy (NCCRS) and National Climate Change Action Plan 2018-2022 (NCCAP), also demonstrate how the NFP represents an important commitment to supporting the country achieve mitigation and adaptation to climate change (CCM/CCA) under the framework of the Paris Agreement (2015); namely its Nationally Declared Contributions (NDCs). For example, Kenya’s CCM centres on decreasing greenhouses gases (GHG) emissions by 30% by 2030 relative

to the Business as usual (BAU) scenario of 143 MtCO<sub>2</sub>eq. Among the actions to achieve this is the extension of tree cover from 6.5 to 10 per cent of total land area by 2022 (7.6 billion trees covering 4.1 million ha). Meanwhile, CCA focuses on mainstreaming adaptation measures into Medium-Term Plans and implementation of actions that enhance resilience.

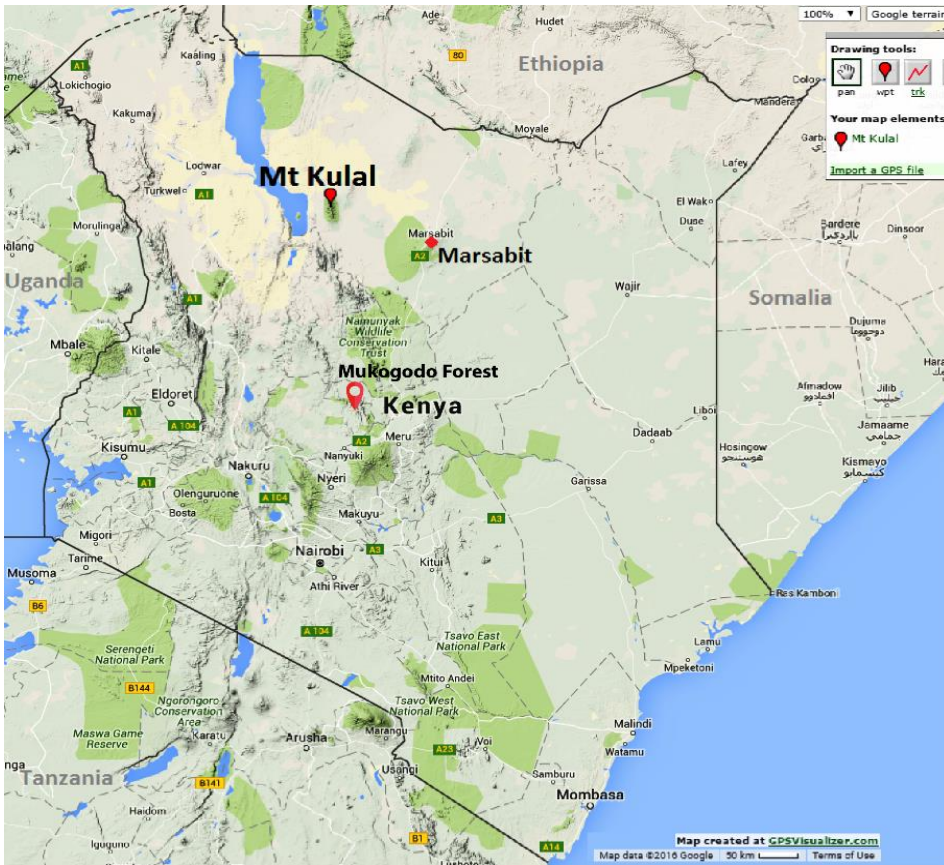
- 56 These commitments have also enabled the Government of Kenya (GoK) to pledge its support to the Bonn Challenge, which is dedicated to the restoration of 350 m. ha of deforested and degraded forest landscapes globally by 2030 and, more specifically, the African Forest Landscape Restoration Initiative (AFR100), which aims at restoring 100 m. ha of such landscapes in Africa. Indeed, GoKen is committed to the restoration of 5.1 million hectares by 2030, of which one million ha corresponds to forest landscapes and the rest to grasslands.
- 57 The ASAL Project has been designed to support the GoK achieve these pledges and targets. In line with TRI's objectives, the overarching **development objective** of the ASAL Project is, "*To contribute to the restoration of degraded and deforested landscapes in arid and semi-arid lands in Kenya for resilient economic development and livelihoods and improved ecosystem functioning, in support of Kenyan pledge to the Bonn Challenge*", and its **specific objective** is, "*to restore deforested and degraded lands through the FLR approach and enhance the socioeconomic development of local communities through the development of bio - enterprises of [non-timber forest products and services] NTFPS in ASALs*" (Prodoc p. 47). Meanwhile, the **main goal** of the ASAL Project is to reduce the overall proportion of degraded land by 20% in the two intervention areas in the ASALs: (i) Mount Kulal Biosphere Reserve (MKBR) in Marsabit County, and (ii) Mukogodo forest and surrounding landscape in Laikipia and Isiolo Counties. To achieve these objectives the Prodoc, the ASAL Project focuses on the following expected outcomes under four main components.
- 58 **Component 1:** Policy Development and Integration. Expected **Outcome 1:** *The national and county level policy and regulatory frameworks are strengthened to support forest and landscape restoration in Kenya.* Main outputs to achieve this outcome focus on: a) establishing a FLR strategy, roadmap and monitoring framework; b) integration of FLR in county/local policies and plans; c) improving the policy framework to support the development of NTFPS.
- 59 **Component 2:** Implementation of Restoration Programs and Complementary Initiatives. Expected **Outcome 2:** *152,661 ha are under improved management (including 8,700 ha directly restored and 55,352 ha indirectly restored).* Main outputs focus on: a) assessment and characterisation of ecosystem services, land use/cover changes and mapping of restoration options to determine degradation levels at each project site and awareness campaigns to be applied; b) Mapping, classification and characterization of NTFPs, assessment of their commercial potential and review of NTFP value chains; c) promotion of bio-enterprises, equipment, training and exchanges and commercialisation of NTFPs such as beekeeping, medicinal plants, charcoal, hay, farming, livestock development (in MKBR) and production of grass seeds, beekeeping, medicinal plants, farming, livestock, hay and ecotourism, gums and resins in Mukogodo forest and buffer zone); d) application of FLR activities at the two project landscape sites as follows:

MTR of project GCP/KEN/090/GFF (GEF 9556): *Restoration of arid and semi - arid lands (ASAL) of Kenya through bio-enterprise development and other incentives – The Restoration Initiative*

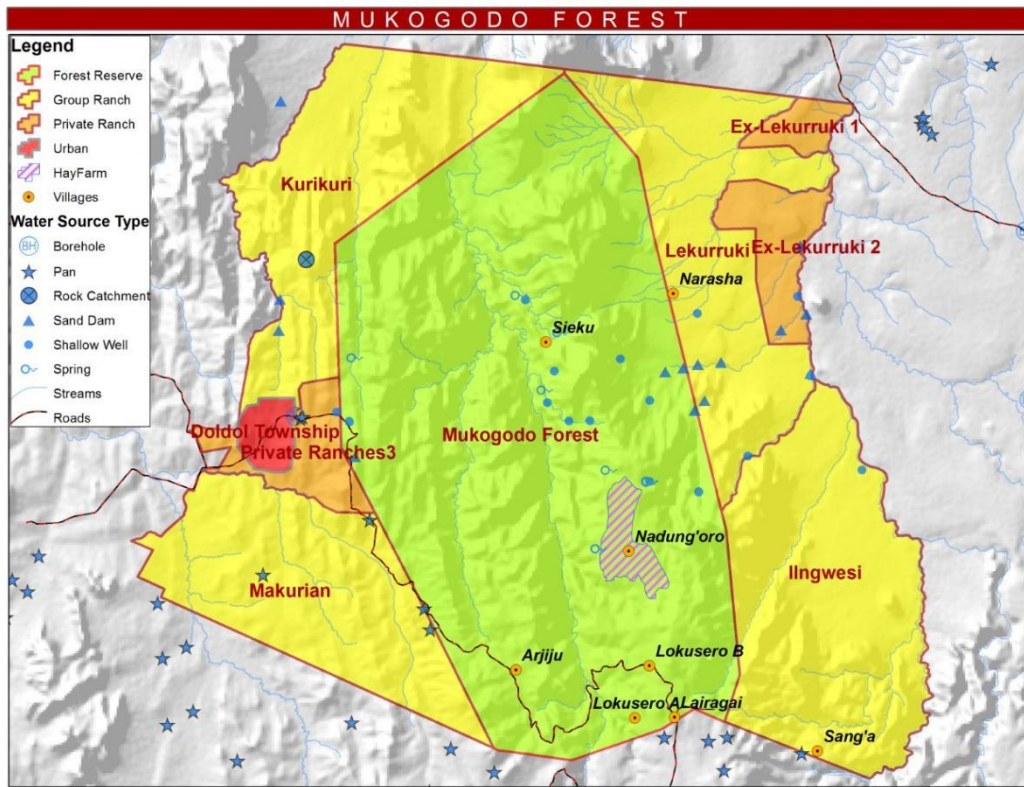
- **Mount Kulal Biosphere Reserve (MKBR):** (i) finalisation and implementation of the MKBR ecosystem management and community action plans; (ii) restoration of buffer areas and promotion of alternatives to livestock raising within the MKBR areas to support assisted natural regeneration (ANR) of 1,100 ha (using indigenous species); (iii) water resources management in the MKBR catchment; (iv) setting up a revolving fund to support restoration and income generating activities for local communities;
- **Mukogodo forest:** (i) development and implementation participatory forest management plan of the community forest association (CFA) comprising ILNg'wesi, Makurian, Mukogodo and Sieku group ranches (ILMAMUSI); (ii) support the development of nature conservancies and group ranches management plans; (iii) establishment of six tree nurseries and tree planting campaigns in the Mukogodo forest; (iv) landscape restoration in Lekurruki, IL Ngwesi, Oldonyiro and Leparua conservancies, and Kurikuri and Makurian group ranches; (v) improvement of water management.

- 60 **Component 3:** Institutions, Finance, and Upscaling. Expected **Outcome 3:** *Strengthened institutional capacities and financing arrangements are in place and facilitate large scale restoration and maintenance of critical landscapes.* Main outputs centre on: a) strengthening capacity at the county level on implementing FLR policies; b) setting up and operation of community land management committees in particular: (i) the elder's environment committee "Wazee wa mazingira" (WWM) and Water Resource Users Association (WRUA) to facilitate access to the Water Sector Trust Fund (WSTF); (ii) the ILMAMUSI CFA and conservancies Board and group ranches committees and WRUA to facilitate access to the Water Sector Trust Fund (WSTF) in the Mukogodo landscape; c) improving coordination of FLR activities at the national level; d) improving access to the climate and restoration finance.
- 61 **Component 4:** A national FLR Knowledge Management system is developed and implemented. Expected **Outcome 4:** *Improved FLR monitoring, reporting and knowledge dissemination at national level and Project implementation based on result-based management.* Main outputs concern: a) establishment and operation of a national FLR Knowledge Management System, b) supporting South-South knowledge exchange; and establishment of a results-based project monitoring system to support information and reporting on progress and achievements.
- 62 The **total budget** for ASAL Project amounts to **USD 16,657,340**, of which GEF will contribute **USD 4,157,340** in the form of a grant. Total co-finance in cash and in-kind from KEFRI amounts to USD 6,500,000 broken down as follows: (i) WATER project: USD 500,000; (ii) CADEP - SFM project: USD 4,000,000; (iii) Integrated program to build resilience to CC and adaptive capacity of vulnerable communities in Kenya: USD 2,000,000. In addition, co-finance is foreseen from FAO's Land Programme (USD 4,300,000) and Reviving ASAL Economies through Livestock Opportunities and Improved Coordination - RAELOC (USD 1,700,000).

**Figure 1: Location of the project sites - Mount Kulal and Mukogodo forest landscapes - Kenya**

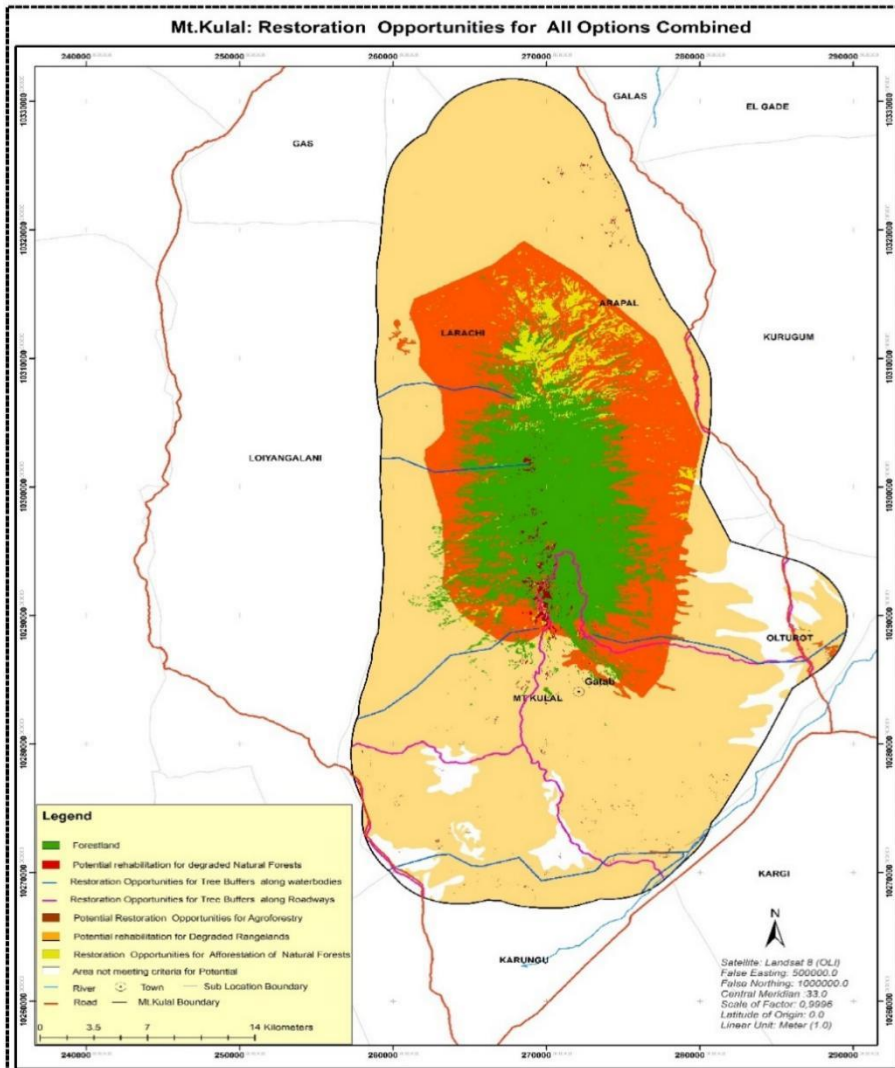


**Figure 2: Map of the Mukogodo forest landscape (in Laikipia county)**





**Figure 3: Map of the Mount Kulal Biosphere Reserve, Marsabit County**



Source of figures 1-3: PMU (March, 2022)

### 3. Theory of change

- 63 TRI's theory of change (ToC) covering all child projects is provided in Appendix 1a. In line with the MTRs realised in 2021 for the national projects, GCP/PAK/091/GFF (GEF 9516), "*Reversing deforestation and degradation in high conservation value Chilgoza pine forests*", and GCP/STP/022/GFF (GEF 9517), *Landscape Restoration for Ecosystem Functionality and Climate Change Mitigation in the Republic of São Tomé and Príncipe* two areas were identified where it could be strengthened. The first, concerns the immediate outcomes, which focus on capacity development and raised awareness on FLR/SFM, improving the enabling environment for FLR and the implementation of innovative FLR practices, rather than what are their direct effects/outcomes. In particular, the MTR argues the reader of the ToC would benefit from knowing: *what changes does capacity development and the enabling environment translate into?* For example, does it lead to increased commitments at all levels to achieve national and internationally agreed pledges, goals and targets (intermediate/end).
- 64 In particular, the ToC, does not refer to, for example, the minimum amount of forest landscape to be restored under FLR through the national child projects, the minimum estimated tonnes of carbon equivalent (tCO<sub>2</sub>eq) to be sequestered, the number of endangered species to be protected and conserved, or the minimum number of households (preferably with sex aggregated) who are to improve their livelihoods and well-being through the FLR process in general and the development of non-timber forest products and services (NTFPs), or what is evident in TRI project such as in STP the development of certified sustainable timber products. In this way the reader would be able to determine more clearly TRI's contribution to instigating FLR, SFM, PES, NTFPs to achieve final outcomes (increased commitments to achieving pledges, targets and goals) that can be measured and, which induce positive impact beyond the TRI projects; namely transformational change that results in poverty reduction, sustainable development and the upscaling of TRI activities to fully meet, or surpass national and international pledges, targets and goals (TRI's environmental and development objectives).
- 65 Second, the ToC would benefit from labelling the causal linkages in terms of inputs, outputs, immediate and final outcomes to achieve TRI's impact and include key risks in addition to the assumptions that have been provided. For example, each child project is required to assess risks (section 3.3 in the Prodoc) and project approval requires the application of the Environmental and Social Checklist (ESS). Furthermore, TRI projects are all facing similar external risks that need to be managed and mitigated. For example, fast population growth coupled with the growing effects of climate change and depletion of natural resources is causing a dramatic rise in vulnerability of the rural population in general and specific groups in particular (such as women and youths aged 15-25 years old), which in turn has caused high levels of outward migration.
- 66 Taking into account the MTR findings and conclusions from the TRI projects in Pakistan and STP, it is clear the ToC does not adequately demonstrate that TRI represents a highly viable response to the climate, ecological and poverty emergency the TRI countries are entering; nor explicitly mentions the importance of **increasing global recognition of grasslands and the need for their effective restoration at the regional/landscape levels, supported by knowledge transfer and data sharing on restoration experiences** . As a result, on the left side of the ToC, the enabling environment for FLR recognises the importance of developing the national and sub-national

policy framework of TRI projects, but this is mainly focused on the agriculture, forestry and other land use sector (AFOLU). However, as the MTRs of TRI projects in Pakistan and STP have mentioned, the FLR process needs closer alignment with other national/sub-national strategies and plans, because its co-benefits are linked to several sectors (land-use plans, combatting climate change, reversing biodiversity loss, water and soil management, education and research, among others). Similarly, on the right side of the ToC, the application of FLR practices supporting the development of NTFPS to improve livelihoods and the rural economy, underestimates the importance of working with specialised agencies who are able to provide services to support and guide micro, small and medium-sized enterprise development in the rural economy, and improve the management of risk (in particular financial-related risks).

67 An assessment of the TRI's ToC concerning its main assumptions in relation to those in the Prodoc for the ASAL Project reveals some areas where the application of effective risk management would be beneficial to the latter's overall performance in terms of effectiveness, efficiency and sustainability. These are summarised as follows:

- The assumption associated with the achievement of the immediate outcomes in TRI's ToC - *Governments remain committed to improving cross-sector cooperation, information exchange and inclusive approaches to FLR/NTFPS* – appears to be realistic in relation to the assumption for Outcome 1 in the Prodoc (section 1.3.3, p.61), but does not take into account the "moderately high" risk rating for the risk category "Political instability" in the Prodoc, which is likely to have a, "high impact", because "*several activities require strong support*" (Prodoc Annex 4 – Risk Matrix, point 2). The Prodoc recommends mitigation measures focus on "*The project will reach out to decision makers to raise awareness and interest for FLR... at all levels*". However, these measures are unlikely to have a major effect unless they form part of a more robust risk management strategy that can respond to political instability and continue to operate at the local community level, or through the private and non-governmental sectors.
- A second assumption in TRI's ToC - *market conditions are realised to support the development of bankable projects* – is ambitious taking into account one of the main barriers highlighted in the Prodoc for the ASAL Project is, "*the policy framework for the development of non-timber forest products and services (NTFPS) is weak and does not regulate or support their development in any ways*" (section 1.2.3, p. 39). In addition, it goes on to say, "*Value chains and market access options for NTFPS are neither known nor structured, and their potential for alternative livelihoods is largely unexploited*", (Prodoc, p. 40). Moreover, the TRI assumption is not addressed under the assumption section of the Prodoc (section 1.3.3), nor in the Risk Matrix of the Prodoc. As a result, the MTR team believes an assessment of market conditions for NTFPS during the design phase, would have facilitated clearer guidance in the Prodoc on how institutions such as KEFRI go about developing the policy framework for NTFPS in line with other relevant policies, such as on natural resources management, climate change adaptation and rural employment generation policies in the interests of developing alternative livelihoods that decrease pressure (from livestock) on forests and rangelands in the ASAL (and other) regions and generate incentives to protect and restore forests and rangeland landscapes. As such, this approach is dedicated to delivering change not only in terms of economic livelihoods, but also in terms of human capital; namely knowledge, attitudes and practices (KAP) in the ASALs. This indicates **the ASAL Project is ultimately linked to a more holistic approach that depends on social development that is reliant on changes in**

**policies relating to rural education in general and investment in applied research on NTFPS and FLR in particular.**

- 68 This observation, which was identified in the MTR of the TRI project in STP, also implies that the ToC should explicitly recognise the importance of connecting the TRI projects to university networks, through which knowledge and research on NTFPS and FLR is retained in permanent institutions within Kenya that are also less likely to be heavily affected by the risks associated with political instability.
- 69 The three longer-term achievements (final outcomes) established in TRI's ToC to reach TRI's environmental and development objectives (impact) focus on mainstreaming of FLR into national and sub-national policy and regulatory frameworks and that FLR is applied and monitored through management practices and restoration plans to reach a critical mass of projects that demonstrate greater economic viability than traditional practices. However, these outcomes reinforce the project approach to changing policy. The MTR team argues that if the ASAL region in Kenya is to secure transformational change to establishing a sustainable and resilient rural economy, final outcomes should be focused more on the establishment of permanent mechanism for informed decision-making on the integration of FLR in national and sub-national development policies, strategies, plans and guidelines and, more specifically, as a response to the climate and ecological emergency unfolding, in which FLR/NTFPS should form a central part of rural land-use policy to support adaptation to climate change.
- 70 Considering the above observations, the MTR team has proceeded to construct the ToC for the ASAL Project (see appendix 1b). This has been produced in a similar format (flow diagram) to the ones applied for the Inception Reports of the MTRs for TRI projects in Pakistan and STP following analysis of the Prodoc. The process of construction of the ToC for NCP-ASAL is in line with FAO and GEF guidelines for MTRs; namely starting with environmental and development objectives (desired impact) and working backwards to inputs. Assumptions, risks and cross-cutting priorities transverse the whole ToC process. Emphasis has been given to matching outcomes to relevant national and international targets linked to the Bonn Challenge, Aichi Targets, Sustainable Development Goals (SDGs), the Paris Agreement (NDCs) where possible. In line with the bullet point 3 above, the ToC has included the integration of education and applied research on FLR/NTFPS to support the achievement of main outcomes in the Prodoc.
- 71 The ToC for the ASAL Project has been designed to be reviewed by the executing and implementing partners during the desk and field phases of the MTR. The revised version will then be used to guide the MTR's analysis, conclusions and recommendations in the draft/final MTR report. The final version of the ToC will also be annexed in the MTR draft/final report to support the planning, implementation and monitoring of NCP-ASAL to its termination

## 4 Key findings from the MTR questions

### 4.1 Relevance

**MTR question 1 – Are the project outcomes congruent with current country priorities, GEF focal areas/operational programme strategies, the FAO Country Programming Framework and the needs and priorities of targeted beneficiaries?**

**Finding 1.** The project's outcomes and objectives remain highly relevant to GoKE. Salient points are: (i) Outcome 1 is aligned with the policy and legal framework for forestry and climate change, which have a strong focus on addressing forest landscape degradation, conservation and equitable sharing of accrued benefits; (ii) Outcome 2 is fully supportive of GoKE's commitments to restore 5.1 m. ha of degraded forest landscapes by 2030 under the AFR100/Bonn Challenge initiative. In statistical terms the aim of establishing 152,661 ha of forest and rangeland landscapes under improved management represents 3 percent of this commitment; (iii) Outcome 3 is supportive of the country's commitment to devolution of government to the county, ward and village levels, which includes empowering local communities to gain greater control over the management and conservation of the natural resources they depend upon for their livelihoods. Nevertheless, the project's relevance is compromised by a lack of inter-county coordination in the Mukogodo landscape, institutional overlaps affecting governance of forest reserves, and funding gaps concerning urgent water infrastructure needed to sustain FLR activities. In addition, the Project Steering Committee lacks sufficient expertise to guide the development of the bio-enterprises planned.

**Finding 2:** The ASAL Project continues to align strongly with GEF6 focal areas for biodiversity conservation (BD-4 Programme 9), climate change (CC-2 Programme 4), Landscape management and restoration (LS-2 Programme 3), scaling up sustainable land management through the landscape approach (LD-3 Programme 4) and restored forest ecosystems (SFM-3). It also contributed to Sustainable Development Goals 1, 2, 13 and 15 and supports the achievement of FAO's Strategic Objective 2 to increase and improve the provision of goods and services from forestry in a sustainable manner. However, complementarity with other relevant interventions funded by GEF in Kenya was found to be unsatisfactory. Coordination with the German-funded AREECA programme, which is also supporting FLR in Kenya from 2020 to 2025, is also missing.

#### 4.1.1 Strategic relevance of the project's objectives and expected outcomes (components 1-4)

73 The project's strategic relevance on paper is highly satisfactory. The Prodoc proposes to put 152,661 ha are under improved land management, which includes 8,700 ha directly restored and 54,952 ha indirectly restored. This represents **a direct contribution of 3 per cent of GoK's pledge to restore 5.1 million hectares by 2030**, of which 1 million ha is planned to be from restoration of forest lands under the Bonn Challenge and the African Forest Landscape Restoration

Initiative (AFR100), which is a country-led effort to bring 100 million hectares of deforested and degraded landscapes across Africa into restoration by 2030. Similarly, the restoration activities of the TRI project are projected to generate important co-benefits. In particular, the Prodoc estimates the global environmental benefits (GEBs) derived from 152,661 ha under improved land management will draw down and sequester 5,896,782 tons of CO<sub>2</sub> equivalent (tCO<sub>2</sub>eq), of which 820,089 tCO<sub>2</sub>eq through direct restoration actions and 5,076,693 tCO<sub>2</sub>eq through indirect actions over a period of 20 years. This fully supports GoK's updated NDC submitted on 28 December, 2020, which is committed to reducing GHG emissions by 32% by 2030 compared to the business as usual (BAU) scenario of 143 MtCO<sub>2</sub>eq.

74 At the national level, the ASAL Project is congruent with a number of laws and policies that support FLR. These include, among others:

- The country's Constitution (2010) and Vision 2030, which explicitly mention that 10% of Kenya's land cover should be forested.
- The National Climate Change Response Strategy (NCCRS) 2010, which has been operationalized through: (i) the National Climate Change Action Plans (NCCAP) for 2013-2017 and 2018-2022 in which in the Forestry, Wildlife, and Tourism sectors focus on increasing forest cover to 10 per cent of the country's total land area through actions that reduce deforestation and forest degradation. These actions include, among others, rehabilitating degraded lands through afforesting and reforesting of degraded and deforested county landscapes in the ASALs (forests and rangelands) and increasing the resilience of the wildlife and tourism sectors; (ii) the National Adaptation Plan (NAP) 2015-2030 whose main aim is to achieve, "Enhanced climate resilience towards the attainment of Vision 2030 and beyond."<sup>7</sup>
- The National Climate Change Act (May 2016), which, establishes the legal framework for an effective response to climate change that delivers a low-carbon, climate-resilient development path based on, among others, land degradation neutrality, the scaling up nature-based mitigation solutions and development of clean, efficient, and sustainable energy solutions.
- The National Forest Policy (NFP) launched in 2015, which sets out to, "*explore new measures to halt, and reverse the pace of deforestation and forest degradation in the country and increase forest cover*" and to take advantage of the "*emerging opportunities for sustainable forest financing both at national and international level to [...] maximize the rate of social and economic development and secure optimum welfare of all citizens.*" Moreover, these actions are seen as crucial to achieving "*sustainable development, the management, utilization and conservation of forest resources and the equitable sharing of accrued benefits for the present and future generations of the people of Kenya*".<sup>8</sup>
- The Forest Conservation and Management Act (FCMA) enacted in 2016 to implement the forest-related provisions of the abovementioned Constitution and guide the country's population towards green and climate smart growth.

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<sup>7</sup> Ministry of Devolution, County Governance Toolkit, 2016.

<sup>8</sup> Ministry of Environment and Forestry, Draft National Forest Policy, 2020. Taken from the Forward, p.1.

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- The National Forest Programme 2016–2030. The NFP aims at improving environmental, economic, and social sustainability of Kenya's forest industry by attaining strategic goals such as: (i) increase forest/tree cover and reverse forest degradation; (ii) improve the economic, social, and environmental advantages of forests.
- The Community Land Act (CLA) enacted in 2016. The CLA recognizes, protects and allows for registration of community lands, clarifies their management and the role of the county governments. Community is defined as a "*consciously distinct and organized group of users of community land who are citizens of Kenya and share any of the following attributes: common ancestry, similar culture or unique mode of livelihood, socio-economic or other similar common interest, geographical space, ecological space, or ethnicity.*"<sup>9</sup> Support in applying this Act is mainly foreseen through co-finance from Phase I of the Land Programme (2017-2021), funded by the European Union and implemented by FAO.

75 Finally, the ASAL Project supports the application of other relevant national policies mentioned in the Prodoc, or which have been identified by the MTR team. These include, among others:

- The National Drought Management Authority Act (2016) which established the National Drought Management Authority. It mandates the Authority to exercise overall coordination over all matters relating to drought risk management and to establish mechanisms, either on its own or with stakeholders, that will end drought emergencies in Kenya in general and in the ASAL region in particular.
- Sessional Paper No. 8 of 2012 on National Policy for the Sustainable Development of Northern Kenya and other Arid Lands. The goal of this policy is to facilitate and fast-track sustainable development in Northern Kenya and other arid lands by increasing investment in the region and by ensuring that the use of those resources is fully reconciled with the realities of people's lives.
- National Rangeland Management and Pastoralism Strategy 2021-2031. The broad objective of the strategy is to provide an effective framework for strengthening institutions to develop sustainable interventions, mitigation and adaptation measures that preserve, protect and sustain the rangelands productivity. The specific strategic objectives for the RMPS are: (i) to institute measures to increase rangeland health for sustainable productivity; (ii) to revitalize pastoralism production systems; (iii) to develop mechanisms for sustainable Rangeland management; (iv) to mainstream climate change adaptation and mitigation measures for enhanced productivity and sustainable Rangeland management; (v) to increase marketing of rangeland resources for improved livelihoods of rangeland inhabitants; and (vi) to increase sustainable exploitation of alternative rangeland resources for improved livelihoods.
- Vision 2030 Development Strategy for Northern Kenya and other Arid Lands. The strategy was developed to complement Vision 2030 by explaining how its goals would be realized in the specific context of Northern Kenya and other ASALs. The main policy challenge is to ensure food and nutrition security in a sustainable manner in environments that are prone to drought, insecure access to and control over livelihood resources such as land, and

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<sup>9</sup> Kenya Gazette Supplement, 07 September 2016, The Community Land Act, Part 1 point 2.

support livelihoods where climate change has increased unpredictability. The strategy envisions **a holistic and sustainable management of land and natural resources across the Rangelands** to allow for maintenance of their traditional movement arrangements. The proposed interventions include: (i) integration of traditional systems of natural resource management in all other policies affecting the natural resource base; and (ii) recognition in law of the role of traditional institutions in dispute resolution.

- County Government Act 2012. The act gives effect to Chapter Eleven of the Constitution, which provides the county governments the powers to function and take responsibilities for the delivery of services within their designated counties including management of environment and natural resources among other responsibilities. The functions provided for in Article 186 of the constitution as assigned in the Fourth Schedule of the Constitution. This includes management of natural resources, biodiversity, forests and water resources among others. Livestock production and extension services are under the docket of the county government.

76 Nevertheless, the ASAL Project's relevance has been compromised by the following findings, some of which have been reviewed further in section 4.5:

- The Prodoc has largely **overlooked the need for inter-county coordination in Mukogodo**. The MTR found pastoralists and wildlife from at least three counties (Isiolo, Laikipia and Samburu) use this landscape, but the project excludes Samburu County. This does not align well with the holistic and sustainable management of the rangelands called for in the 2030 Development Strategy for Northern Kenya, nor the Amaya Triangle Initiative (ATI) promoting sustainable development and conflict resolution between Isiolo, Laikipia, Samburu and also Baringo county.
- The Prodoc mentions **inadequate rural infrastructure**, especially water infrastructure to mitigate the effects of drought for local communities, their livestock and wildlife. However, the MTR team found GEF funds, co-finance and/or synergies with other projects and government initiatives have allocated insufficient resources to mitigating the growing threats associated with prolonged droughts through the provision of water infrastructure and rainwater harvesting to support the effectiveness and sustainability of the FLR process. In particular, interviews overwhelmingly confirmed the urgent need for bore holes/watering points to reduce the need for pastoralists to enter the core-zone of MKBR or Mukogodo forest in search of water and pasture.
- The Prodoc has not fully addressed the problems of **overlapping authorities**. With the promulgation of the 2010 Constitution ushering in devolution, the county government has been mandated to manage services derived from natural resources in the county, while the forest resources themselves are national, and managed by the Kenya Forest Service (KFS). In forest reserves where there is also wildlife (such as the Mukogodo Forest Reserve), the Kenya Wildlife Services (KWS) is also required to manage the reserve. This means that forest resources in principle are owned by the national government, but managed by a variety of national, county and local actors, like KFS, KWS and a local CFAs, which makes co-management complex and a potential source of tension between these overlapping authorities.



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- The Prodoc has overlooked the **need for business representatives in the Project Steering Committee**, in particular one from the Ministry of Industrialisation, Trade and Enterprise Development and one from the private sector, to guide the development of bio-enterprises and business services needed before they can stand on their own feet.

#### 4.1.2. Alignment with GEF strategic priorities

77 The Prodoc provides clear evidence of the ASAL Project's alignment with GEF-6 focal areas (p.75) including a direct linkage with each of the project's main outputs as follows:

- **BD-4 Program 9:** Managing the Human-Biodiversity Interface, which is clearly linked to the following five project outputs: (i) Output 1.1: An FLR strategy is developed, including a roadmap and a monitoring framework to bridge the FLR gaps in the policy framework; (ii) Output 1.2: Domestication of relevant international, and national NRM policies is facilitated at the county and local levels, especially as it relates to FLR; Output 2.1: Ecosystem services are assessed and characterized and land use and land cover changes in selected forests and rangelands are assessed; (iii) Output 2.2: FLR activities are implemented in the two targeted landscapes and ecosystem management plans and community action plans for selected landscapes are developed and implemented; Output 2.4: Bio-enterprises products and services are promoted and commercialized.
- **CC-2 Program 4:** Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture: (i) Output 1.3: Policy framework for management and utilization of NTFPS is developed and adopted (ii) Output 2.3: Knowledge base on NTFPS in the two targeted landscapes and their commercial potential is generated; (iii) Output 2.4: Bio-enterprises products and services are promoted and commercialized
- **LD-2 Program 3:** Landscape Management and Restoration: (i) Output 2.2: FLR activities are implemented in the two targeted landscapes and ecosystem management plans and community action plans for selected landscapes are developed and implemented; (ii) Output 3.2: Community land management committees are set-up and working in targeted project sites; (iii) Output 3.3: Restoration initiatives are coordinated at the national level;
- **LD-3 Program 4:** Scaling-up sustainable land management through the Landscape Approach: (i) Output 2.2: FLR activities are implemented in the two targeted landscapes and ecosystem management plans and community action plans for selected landscapes are developed and implemented; (ii) Output 2.4: Bio-enterprises products and services are promoted and commercialized; (iii) Output 3.4: Access to climate and restoration finance is improved.
- **SFM-3:** Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes: (i) Output 2.2: FLR activities are implemented in the two targeted landscapes and ecosystem management plans and community action plans for selected landscapes are developed and implemented; (ii) Output 3.2: Community land management committees are set-up and working in targeted project sites.

78 Overall, the MTR team is satisfied with the linkages established with the project's outputs, which has also facilitated their monitoring in the Results Matrix in Annex 1 of the Prodoc and in Appendix

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6 of this report. In addition, the quantitative results of these outputs can be tracked through the nine core indicators selected by the TRI community for annual review by GCP (see section 4.5.7).

#### 4.1.3. *Alignment with the Sustainable Development Goals, FAO's Strategic Objectives and Country Programming Frameworks 2013-2017 and 2018-2022.*

79 The Prodoc includes an analysis of the project's support to achieving relevant **Sustainable Development Goals** (SDG); namely SDG-15 - Life on Land, citing the project's direct relevance to supporting the achievement of Target 15.1: *By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements and their respective targets.* The MTR team also found the ASAL Project directly, or indirectly supports the following SDGs:

- SDG 1 (Poverty Eradication), in particular Target 1.3: *By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance* and Target 1.4: *By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters;*
- SDG 2 (Zero hunger), in particular Target 2.4: *By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality;*
- SDG 13 (Climate Action), in particular Target 13.5: *Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries* and Target 13.b: *Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities;*
- SDG 15 (Life on Land): in addition to Target 15.1, the project also supports meeting Target 15.5: *Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species;*

80 Also significant, is the Prodoc's mention of the ASAL Project's contribution to supporting the achievement of relevant **Aichi Targets** to 2020, which emphasises the ASAL Project's strong commitment to conserving and sustainably managing biodiversity in the two project intervention landscapes. Indeed, the Prodoc specifically mentions support to meeting: (i) Target 1 - *By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably*, and which has been directly linked to the NBSAP No. 5 of 2015, (in particular community-based conservation initiatives); (ii) Target 7 - *By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity*, which has also been directly linked to the NBSAP No. 5 (in particular on participatory forest management

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and planning); and (iii) Target 15 - *By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced*, (in particular on restoration of at least 15 per cent of degraded ecosystems as direct contributions to climate change mitigation and adaptation and to combating desertification).

- 81 The ASAL Project also retains strong alignment with **FAO's Strategic Objective 2** (SO-2); namely: increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner, in which specific reference is made to achieving Outcome 2.1: *Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner* through achievement of Output 2.1.1: *Innovative practices for sustainable agricultural production (including traditional practices that improve sustainability, such as those listed as Globally Important Agricultural Heritage Systems) are identified, assessed and disseminated and their adoption by stakeholders is facilitated*.
- 82 Finally, the Prodoc makes a direct reference to the ASAL Project's alignment with Outcomes 3 and 4 of FAO's Country Planning Framework (CPF) for Kenya (2013-2017). This alignment was found to continue with respect to the latest CPF for 2018-2022. In particular, there is strong alignment with the CPF's Priority Area No. 2: *Strengthening inclusive value chains* and, more specifically with Priority No. 4: *Improving natural resources governance*, which explicitly mentions, *promoting the sustainable management and use of forests, rangeland landscapes and associated bio-enterprises*.

#### 4.1.4 *Complementarity with existing interventions being implemented by UN agencies, or funded by international donors and non-government organisations*

- 83 The Prodoc provides details of the two projects managed by FAO that will provide co-finance. First, the project, *"Support to the attainment of Vision 2030 through devolved land reforms in community lands of Kenya"*, or the Land Programme (Phase I) running from September 2016 to September 2021 (Phase I) and which has a budget of USD 11,757,800 (EUR 10,441,000) funded by the European Union (EU). The Prodoc stipulates the Land Programme will provide USD 5.0 m. of co-finance in cash, which was subsequently downsized to USD 4.3 m. Second, the project, *"Reviving ASAL Economies through Livestock Opportunities and Improved Coordination"* (RAELOC) running from September 2015 to September 2019 and with a total budget of USD 6,757,000 (EUR 6,000,000) funded by the EU and directed at supporting all ASAL counties, but with a special focus on seven counties, which includes two covered by the ASAL Project (Isiolo and Marsabit counties). However, in both cases the MTR found **insufficient information is provided on how the co-finance is to be allocated in the ASAL Project** and what it is expected to deliver (in order to facilitate monitoring of its added value). Moreover, co-finance has been allocated from the RAELOC project even though it was scheduled to close operations in 2019.
- 84 The Prodoc also lists four projects that are highly relevant to the ASAL Project, three of which are executed by KEFRI. However, there is no reference to the creation of synergies or partnerships with any of these projects to support the ASAL Project's plan, implement and monitor its main actions. The three projects executed by KEFRI are: (i) the Integrated Programme to build resilience

to climate change and adaptive capacity of vulnerable communities in Kenya which overlaps in the ASAL Project in Laikipia and Marsabit counties; (ii) Capacity Development Project for Sustainable Forest Management in Kenya (CADP-SFM), which includes actions highly relevant to the ASAL Project, such as developing the National Forest Monitoring System (NFMS); (iii) the Kenya Water Tower Protection and Climate Change Mitigation and Adaptation (WaTer) programme, (2016-2022), which aims at improving the quality and quantity of ecosystem services provided by Kenya's water towers through increased forest cover, and improved landscape and natural resources management, among others (does not overlap with the ASAL Project's four counties). Meanwhile, the fourth project, the Lake Turkana Wind Power (LTWP) project, funded by ADB between 2016-2021, is designed to catalyse sustainable rural development in Samburu and Marsabit counties, thus including communities in MKBR where actions such as creation of livestock watering troughs are foreseen.

- 85 There is also reference to potential research projects managed by KEFRI that are relevant to the ASAL Project, in particular: (i) Using integrated modelling framework to evaluate the impact of human-induced land use/land cover change on carbon dynamics in Upper Ewaso Ng'iro River Basin (UENERB) and; (ii) Integrated collaborative research on climate change, water resources and food security in UENERB for sustainable management and enhanced ecosystem health. Despite providing information on potential areas of joint research, no specific information has been included on how this research could be developed and monitored with the support of the ASAL Project and/or the GCP. As a result, the MTR observes insufficient attention has been given to developing training courses and applied research on FLR/NTFPS through Kenya's universities and research institutions in order to anchor research on FLR/NTFPS in the country.
- 86 Following an interview with the national GEF focal point for Kenya, there is also agreement among stakeholders interviewed that GEF-funded programmes and projects are not designed under an effective coordination mechanism through which formal synergies are established and monitored at the country level. For example, the Prodoc provides little or no information on the following GEF-funded project where synergies are both justified and needed. These include, among others, projects funded by:
- GEF-5: Capacity, Policy and Financial Incentives for PFM in Kirisia Forest and integrated Rangelands Management the Sustainable Forest Management Impact Program. The MTR team found it is vitally important to improve coordination with Samburu County given one of the main conflicts observed in the Mukogodo forest is the infiltration of Samburu pastoralists into the core and buffer zones;
  - GEF-6: Enhancing Integrated Natural Resource Management to Arrest and Reverse Current Trends in Biodiversity Loss and Land Degradation for Increased Ecosystem Services in the Tana Delta. The MTR team were informed the two projects established close collaboration in 2019 through, for example, joint training exercises concerning the application of Collect Earth/Mapathon/ROAM to support a coordination response to the development of the Forest and Landscape restoration action plan (FOLAREP) as well as apply similar monitoring frameworks, but interviews confirm this needs to be stepped up in the post-pandemic period, especially in areas such as information sharing on the development of

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green enterprises under “The Greenheart Initiative” in the Tana Delta, which Nature Kenya (NK) and UNEP confirm has the support of key institutions such as the National Treasury, the Ministry of Lands and Physical Planning, Foreign, the UK’s Commonwealth & Development Office and the private sector, among others;

- GEF-7: (i) the Dryland Sustainable Landscapes programme. This involves restoration and SLM in several countries with dryland landscapes, including Kenya; (ii) Strengthening of forest management for improved biodiversity conservation and climate resilience in the Southern rangelands of Kenya. In this case the project is being implemented by IUCN, which is the lead agency for the TRI.

87 Finally, interviews with FAO representatives, confirm there is insufficient coordination and complementarity with donor-funded projects dedicated to FLR that include Kenya and which have been launched after the ASAL Project started operations in 2018. Most significant is the, “*Large-scale Forest Landscape Restoration in Africa 2020-2025*” (AREECA), funded by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU). This programme is also executed by MEF in Kenya (plus Cameroon, Malawi and Rwanda).

## 4.2 Effectiveness

### **MTR question 2 – To what extent has the project delivered on its outputs, outcomes and objectives?**

**Finding 3:** The project’s effectiveness has been moderately satisfactory. Three areas where the ASAL Project is demonstrating significant progress are: (i) the formulation of the FOLAREP, which has precipitated a consultation process to be conducted at the national and county levels, through which the ASAL Project has been able to raise awareness and stimulate debate on the funding of FLR; (ii) the ASAL Project is on track to establish new/updated forest management plans that are projected to cover in total around 202,397 ha of forest and rangelands in the two project sites. This is considerably more than the 152,661 ha targeted in the Prodoc and represents a highly satisfactory response to restoring degraded land estimates identified in the Land Degradation Study for the two sites; (iii) some of the assessments have opened up new windows of opportunity by demonstrating the high economic value of restoring and conserving forests and which should be considered as a viable land use. In particular, the TEV study for MKBR estimated in December 2020, that its role in carbon sequestration could generate around USD 16.5 m./year (KES 1.8 b./year). However, despite these advances it is highly unlikely the project can achieve its objectives by July 2023. The pandemic, prolonged drought and FAO’s bureaucracy, among others, have all contributed to slowing down FLR activities on the ground, which are estimated to be only around 950 ha. To February 2022. Moreover, important gaps in the project’s design need to be addressed as they will have a significant bearing on the project’s effectiveness if they are left unattended.

**Finding 4:** Progress in developing bio-enterprises has been slower than planned. This has not been aided by the abovementioned general lack of a policy framework and resources in the county governments to support bio-enterprises and the general lack of access to key business services that enterprises need before they can stand on their own feet. The MTR also found the long list of

activities to be completed to support bio-enterprise development has contributed to a fragmented approach, instead of a “clustered” approach focusing on the development of the whole value chain of a smaller number of NTFPS.

#### 4.2.1 *Achievement of project outputs and expected outcomes under component 1 – Policy development and integration*

- 88 The results matrix in Appendix 6 provides a summary of progress to 28 February 2022 which has been triangulated as far as possible by the MTR team following the field mission in Kenya. The MTR’s main findings under component 1 are summarised as follows:
- 89 **Outcome 1** - *The national and county level policy and regulatory frameworks are strengthened to support forest and landscape restoration in Kenya. The ASAL Project is making satisfactory progress on establishing a robust framework for FLR in Kenya.* The main finding is that the project has responded to the needs and interests of stakeholders to switch from a National Strategy for FLR, to identifying an Action Plan for FLR (FOLAREP) for the period 2022-2025. This has triggered a national consultation process on the FOLAREP, which has contributed to raising awareness on FLR, which is especially important at the county government level where knowledge and capacity is limited. Moreover, the adoption of the FOLAREP (foreseen in mid-2022) will serve as the umbrella document to fully legitimise the implementation of FLR management plans in the MKBR and Mukogodo forest and rangeland landscapes, which have also precipitated consultation with local communities on their adoption and implementation, which is also foreseen in mid-2022. As such, the ASAL project is on track to make a positive contribution to country’s commitment to restore 5.1 m. ha of forest landscapes, as well as demonstrate that the restoration of forests in the ASAL region is inextricably linked to restoring their adjoining rangelands.
- 90 The MTR team’s assessment of progress in delivering the three outputs planned to support the achievement of Outcome 1 are summarised in the following paragraphs.
- 91 **Output 1.1** – *A FLR strategy is developed, including a roadmap and a M&E framework to bridge the FLR gaps in the policy framework.* The ASAL Project has made significant progress in delivering this output. Following a review of the policy and legal framework (Activity 1.1.1) main stakeholders agreed (in a similar manner to the TRI projects in Pakistan and STP) that the country’s main priority is to start delivering on the government’s commitment to restore 5.1 m. ha of forest landscapes by 2030, in line with its pledges to the Bonn Challenge 2030 and, more specifically, through the African Forest Landscape Restoration Initiative (AFR100), in which Kenya is one of the signatory countries committed to restoring 100 million hectares of forest landscapes in Africa by 2030. This resulted in the PSC agreeing to change this output to development of the Forest Landscape Restoration Implementation Action Plan (FOLAREP), under the management of a Technical Working Group and collaboration with the International Council for Research in Agroforestry (ICRAF) to carry out the county consultation process on the FOLAREP.

- 92 Interviews confirm the ASAL project's support to the consultation process has been important in several ways, especially at the county level. First, stakeholders from county government stated they do not have funds to finance consultations. Second, the consultation process has not only facilitated participatory dialogue on the development of the FOLAREP, but raised awareness on FLR and its co-benefits, which include enhancing resilience to climate change. Third, there is growing consensus that the threats of prolonged drought in the ASAL region, which are causing a big rise in social conflicts over access to water and grazing rights, may need a wider landscape approach where users of the forest come from more than one county. This is the case with the Mukogodo forest where county government representatives interviewed agreed that the implementation of the FOLAREP in this landscape may be better served and more effective if it is managed through the Amaya Triangle Initiative (ATI), given pastoralists from Isiolo and Samburu also use this forest.<sup>10</sup>
- 93 **Output 1.2** – *Domestication of relevant international, and national NRM policies is facilitated at the county and local levels, especially as it relates to FLR.* The MTR team is highly satisfied with the progress being achieved under this output. In the light of the switch to develop the FOLAREP under Output 1.1, the PSC authorised the development of a Policy Influencing Plan (PIP) to support the adoption of the FOLAREP in the devolved county governments. The PIP has been produced in line with IUCN's guidelines and centres on gaining the approval of the three participating County Assemblies to integrate FLR in their County Environment Action Plans (CEAP) in order funding can be secured following the incorporation of the CEAP in the County Integrated Development Plan (CIDP).
- 94 Interviews with a selection of county government officials confirmed the review of the CEAP has also required a consultation process (funded by the ASAL Project), which have also produced some important results. Most significant has been debate and general agreement that the integration of FLR activities in the CEAP offers an opportunity to develop a more effective response to adapting to climate change and that this would ensure access to the county's Climate Change Fund (CCF). The MTR team understands a minimum of 2 per cent of the annual county budget has to be assigned to the CCF, but that this percentage could be increased by the County Assembly as part of its strategy to build resilient communities and forest and rangeland ecosystems.
- 95 Overall, this finding indicates the PIP has been effective in mobilising decision-makers and environmental practitioners at the county level to develop their awareness and to deliberate on the linkages between physical planning, forest ecosystem restoration and developing resilient and sustainable communities. However, one caveat observed is that the lessons learned from the PIP do not appear to be flowing adequately into knowledge products and supporting the project's

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<sup>10</sup> According to the website of the County Government of Laikipia, the Amaya Triangle Initiative is designed, "to bring together the four counties of Baringo, Laikipia, Samburu and Isiolo with the aim of adopting a sustainable policy approach towards addressing the common development challenges particularly on insecurity, resource conflicts, food insecurity, environmental issues, drought emergencies, natural resource management and livelihoods among others".

communication strategy advocate FLR and the development of NTFPS to audiences not targeted by the PIP. For more on this see sub-section 4.5.6.

- 96 **Output 1.3** - *Policy framework for management and utilization of NTFPS is developed and adopted.* The development of the Natural Resources Access and Benefits Sharing Policy mentioned in the Prodoc (Activity 1.3.2) was deemed by the PSC to already be in place and, instead, called for National Equitable Benefit Sharing Regulations to be developed to govern access to and the benefits of forest ecosystem goods and services. The MTR team found the development of these regulations has completed an extensive consultation process with the leaders of Community Forest Associations (CFA) belonging to the National Alliance of CFAs as well as heads of conservancies managed by KFS. However, finalisation of these regulations is currently on stand-by due to the the slow issuance of the LoA to engage KEFRI in this task.
- 97 The development of these regulations is being supported by the parallel activity of identifying a strategy to commercialise NTFPS. This has included a review of the current policy and legal framework governing the development of bio-enterprises linked to NTFPS and the realisation of an extensive study to identify potential NTFPS from the ASAL region for commercial development. It is noteworthy that the draft Gums and resins regulations (2018) are yet to be fully implemented. More on this study can be found under Output 2.3 (Activity 2.3.3) below. However, triangulation of findings confirms two important caveats in the ASAL project's approach to the development of NTFPS. First, **there are no specialists, or members of the private sector to support and guide the development of bio-enterprise development in the PSC.** For example, the Ministry of Industrialisation, Trade and Enterprise Development is not represented<sup>11</sup>. Similarly, nor is a member from the Kenya National Chamber of Commerce present, through which specialised training and linkages to investors could be facilitated. Second, none of the three participating county governments have adequate policies, strategies and plans in place to promote bio-enterprises, nor sufficient capacity and resources to implement them even if they were in place.

#### 4.2.2. *Achievement of project outputs and expected outcomes under component 2 – Implementation of restoration programs and complementary activities*

- 98 **Outcome 2** – *152,661 ha are under improved management (including 8,700 ha directly restored and 55,352 ha indirectly restored). The ASAL Project is making moderately satisfactory progress on improving the management of the MKBR and the Mukogodo forest and rangeland landscape, but will not reach planned targets in the Prodoc.* The main finding in MKBR is that the Mount Kulal Ecosystem Plan can be implemented under the control and supervision of one county government (Marsabit County), but its successful implementation is dependent on (i) KFS granting community land registration and formal recognition of the Wazee Wa Mazingira

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<sup>11</sup> The MTR notes that the Department of Field Services, is responsible for the One Village One Product Programme which has a mandate to, among others, "Link innovators to relevant supporting institutions for product development, incubation, standardization, protection of intellectual property rights, funding and mass production for commercialization in every County". In addition, the Kenya Institute of Business Training (KIBT) also under the same Ministry, provides entrepreneurial and managerial development services to micro, small and medium-sized enterprises.



community organisation as the CFA responsible for the day-to-day implementation of the plan; (ii) the role of the KFS after land registration is clarified; (iii) the plan receives adequate funding to cover the implementation of its main components, in particular watering points to relieve pressure of pastoralists entering the core and restored areas of the buffer zone. However, improved management of the buffer zone around the core-zone of the Mukogodo forest through the updating/development of FLR plans for the conservancies and group ranches currently supported by the project is unlikely to be effective because the forest is used by pastoralists from three different counties that confirms the rangeland landscape is in need of an inter-county management approach that could be developed under the ATI. In addition, another important finding is that improved management and restoration of biodiversity and soils in both the project sites offer significant potential to negotiate carbon trading schemes and/or capture carbon finance from REDD+ and other climate funds.

99 A summary of progress in delivering the outputs planned under Outcome 2 is provided in the following paragraphs and in Table 1.

100 **Output 2.1** – *Ecosystem services are assessed and characterized and land use and land cover changes in selected forests and rangelands are assessed.* The MTR team found the ASAL Project has made highly satisfactory progress concerning the implementation of the following activities:

- Activity 2.1.1 - *Assessments of existing ecosystem services*: The most significant assessment conducted by the ASAL Project has been the Total Economic Value (TEV) Study of MKBR, which was conducted by the Water Tower's Agency between 2020-2021. It has estimated the TEV of the MKBR is around USD 182 m./year (KES 186.2 b./year). Overall, this study was found to be an exceptional piece of work, despite pointing out some data limitations. In particular, it reveals the hidden economic value of the ecosystem services provided in the MKBR is huge, especially in terms of reducing the huge economic costs associated with disasters caused by climate variability and change (especially prolonged droughts). Moreover, **it demonstrates restoration/conservation represents a viable land use and that investment in the sustainable use of forest landscapes offers new opportunities to generate the income needed to sustain the FLR process.** For example, it is estimated that the Mt Kulal ecosystem has 1,049,161.80 tonnes of carbon from above and below ground biomass from a total area of 65,090 ha, resulting in emission reductions of about 3.8 million tonnes of carbon dioxide equivalent (tCO<sub>2</sub>eq). **If traded in the voluntary carbon market, this would generate around USD 16.5 m./year (KES 1.8 b./year).** Other assessments conducted include the Characterisation of ecosystem services in the Mukogodo Forest Landscape and the Desk Review of Documented Ecosystem Services in the Mukogodo Forest Landscape and MKBR ecosystems. This assessment estimates voluntary carbon trading could potentially raise in the order of USD 85 m/year (KES 9.1 b./year), which although less than MKBR, would still support the local communities play the leading role in protecting and managing the FLR process in the Mukogodo landscape to at least 2030.

- Activity 2.1.2 - *Assessment of the level of land degradation at county/site level*: training on the application of the Restoration Opportunity Assessment Method (ROAM) at both project sites in Mukogodo and Mt Kulal landscapes produced six main products: (i) a shortlist of the most relevant and feasible restoration intervention types across the assessment areas; (ii) identified priority areas for restoration; (iii) quantified costs and benefits of each intervention type; (iv) estimated values of additional carbon sequestered by these intervention types; (v) a diagnostic of the presence of key success factors and identification of strategies to address major policy, legal and institutional bottlenecks; and (vi) an analysis of the finance and resourcing options for restoration in the assessment area with the following findings: **Mt Kulal degraded area: 27,874 ha** and **Mukogodo degraded area: 23,406 ha**
- Activity 2.1.3 - *Production and diffusion of maps of local restoration opportunities for each restoration option*: The report has been distributed to the key stakeholders while, validation workshops have been conducted to disseminate the findings to the communities from the two project sites.
- Activity 2.1.4 - *Awareness raising activities on SFM and FLR*. A number of community sensitization workshops have been held including one in Lokusero Secondary School and another at Simbas Lodge. In addition, awareness raising events have been held with local communities from both project sites to clarify their role in planning, implementation and monitoring FLR activities.

101 **Output 2.2** - *FLR activities are implemented in the two targeted landscapes and ecosystem management plans and community action plans for selected landscapes are developed and implemented*. The ASAL project is making satisfactory progress on achieving the targets set for the areas to be covered by improved management plans (thanks mainly to the adoption of MKEMP) as can be seen in Table 1. However, moderately unsatisfactory progress has been made on achieving the targets for FLR actions. In the case of the latter, these targets are considered too ambitious in the current context of prolonged drought, delays in the procurement of materials and difficulties associated with the continuation of the COVID-19 pandemic into 2022. The main achievements to 28/02/2022 are listed in Table 1 and summarised as follows:

- Activity 2.2.1 - *Support to the finalization and implementation of the Mount Kulal ecosystem management plan, development of community action plans*; Progress in developing the MKBR Ecosystem Management Plan 2022-2025 (MKEMP), has been satisfactory. The project has successfully supported the establishment of the MKBR Community Forest Association (MKBR-CFA) through a series of trainings that have facilitated the consultation process on the finalisation of the MKEMP. Interviews confirm the direct beneficiaries (363 people) have been instrumental in establishing the nine priority components in the plan. These include water management, development of NTFPS (includes ecotourism), infrastructure development, peace-building and land registration. The plan aims to place the whole of the MKBR under effective management (5,670 ha of core-zone forest and 45,766 ha of buffer zone consisting of grasslands, shrubland and bushland). This is significantly more than the 1,100 ha planned for the core-zone and 400 ha of grasslands in the Prodoc and represents a **highly satisfactory response to restoring the 27,874 ha identified as degraded land in the Land Degradation Study (Activity 2.1.2)**. Moreover,

Table 1 confirms a total of 202,397 ha is projected to be under new/improved forest management plans, which is well above the Prodoc’s target of conserving 152,661 ha of forest landscape biodiversity at both project sites. However, a total of 6,221 people (1,358 households), plus the 26,345 people who live in Loiyangalani Ward (Lake Turkana) are projected to be direct and indirect beneficiaries respectively of the MKEMP. This is less than the Prodoc’s target of 8,120 households (for both project sites by July 2023), but still considered satisfactory, because the MKEMP covers all the inhabitants living currently in the four main sub-locations located in the MKBR (Gatab, Olturot, Arapal and Larachi).

**Table 1 – Summary of FLR progress to 28 February 2022**

Project sites (Site/County/Place)	Planned to 31/07/2023 in Prodoc (ha)	Planned to 31/07/2023 in Man Plan (ha)	Tree nurseries plan/estab. (no.)	FLR to 28/02/2022 (ha)
<b>MKBR/Marsabit</b>				
Core-zone	1,100	5,670	2/1	7
Buffer-zone	400	45,766	0/0	0
Agro-forestry	200	n/a	n/a	n/a
<b>Total under impr. man.</b>	<b>1,700</b>	<b>51,436</b>	<b>2/1</b>	<b>7</b>
<b>Mukogodo/Laikipia, Isiolo</b>				
Lekurruki Conservancy	15,872	15,872	2/0*	
Il Ngwesi Conservancy	9,470	9,470	2/0*	45.6
Makurian Ranch	5,390	5,390	1/0*	49.3
Kurikuri Ranch	3,340	3,340	1/0*	4.4
Oldonyiro Conservancy	52,500	52,500	0	730.0
Leparua Conservancy	34,200	34,200	0	102.5
ILMAMUSI CFA	30,189	30,189	0	10.0
<b>Total under impr. man.</b>	<b>150,961</b>	<b>150,961</b>	<b>0</b>	<b>941.8</b>
<b>TOTAL (both sites)</b>	<b>152,661</b>	<b>202,397</b>	<b>8/1</b>	<b>948.8</b>

Source: PM; n/a: not available (data to be finalised); \* Started but not established due to drought

- Activity 2.2.2 - *Restoration in MKBR*: tree nurseries and planting campaigns have been initiated in 7 ha of the buffer zone around the core-zone where the Elders have successfully

relocated families to four sub locations established in the lowlands around Mt Kulal (see Figure 4. However, the MTR team observed: (i) water has not been connected to the water tanks installed to supply water to the tree nurseries (see Figure 5); (ii) delays in the procurement of materials has restricted the installation of 8 tree nurseries and the ones established are unfinished; (iii) there is a lack of adequate surveillance in place to stop grazers from entering restored areas.

- *Activity 2.2.3 - Water management improvement within Mount Kulal water catchment - Water infrastructure rehabilitation and fencing water sources:* this activity has been delayed, although the MTR team found there is an urgent need to expand the water infrastructure to include bore holes to establish watering points for livestock and separate points for wildlife (to support ecotourism potential).

### **Figures 4 and 5: FLR in the buffer zone of MKBR and shortages of materials for nurseries**



Source: MTR (2022)

- *Activity 2.2.4 - Setting-up of a local revolving fund for promotion of restoration activities and income generation activities:* This activity has been delayed and there are currently no income generating activities being supported.
- *Activity 2.2.5 - Support to the development and implementation of Mukogodo ILMAMUSI CFA participatory forest management plan:* The LWF has provided training to the ILMAMUSI CFA on developing a new governance structure that ensures all of the conservancies and group ranches (also planned to become conservancies) can coordinate the implementation of their individual management plans in compliance with the provisions in the Kenya Forest Act (2016). This has also aided the updating of the ILMAMUSI participatory forest management plan (2022-2027) covering over 60 user groups linked to NTFPS such as medicinal plants, hay production and honey production (as well as ecotourism).
- *Activity 2.2.6 - Support the development conservancies and group ranches management plans:* the ASAL project has supported several conservancies and group ranches develop management plans. For example, in Laikipia County, the IIngwesi community conservancy management and community development plan has been concluded and agreed upon, and the Makurian and Kurikuri Ranches has received initial support to produce a similar plan once its conversion to a conservancy has been authorised. A review of the project's support in Isiolo County also confirms Oldonyiro and Leparua Conservancies have

prepared management plans. In the case of the former, this is being finalised under a LoA with NRT, but in the case of the latter, it has been already been adopted as the first conservancy management plan in Leparua Ward. Interviews indicate some positive developments have already started to become evident in Leparua. For example, interviews confirm the introduction of the management plan has been instrumental in: (i) supporting the application of conflict resolution, which is reported to be already helping to reduce deaths and violence; (ii) a reduction in elephant and rhino poaching (the last case reported was in 2018); (iii) is encouraging a new rotational grazing plan to operate, which has already encouraged locals to gather grass seed to expand restoration practices in time for the next rains in March/April 2022; (iv) specific training on the adoption of new charcoal development practices and charcoal substitution using “jiko” (balls of twigs, leaves, mud and dung) has enabled 108 families to end their traditional practices of charcoal making.

- Activity 2.2.7 - *Establishment of 6 tree nurseries for indigenous species, tree planting campaigns in the Mukogodo forest*: training of 6 local trainees on tree nursery establishment and management was carried out in 2021, but it was not possible to fully establish these nurseries due to delays in the procurement of the tools and equipment, which together with the prolongation of the drought into 2022 has prevented a sufficient water supply to be established at the six tree nursery sites planned for development.

**Figures 6 to 7: Semi-circular bunds restoring grasslands in Lekurruki conservancy (2022)**

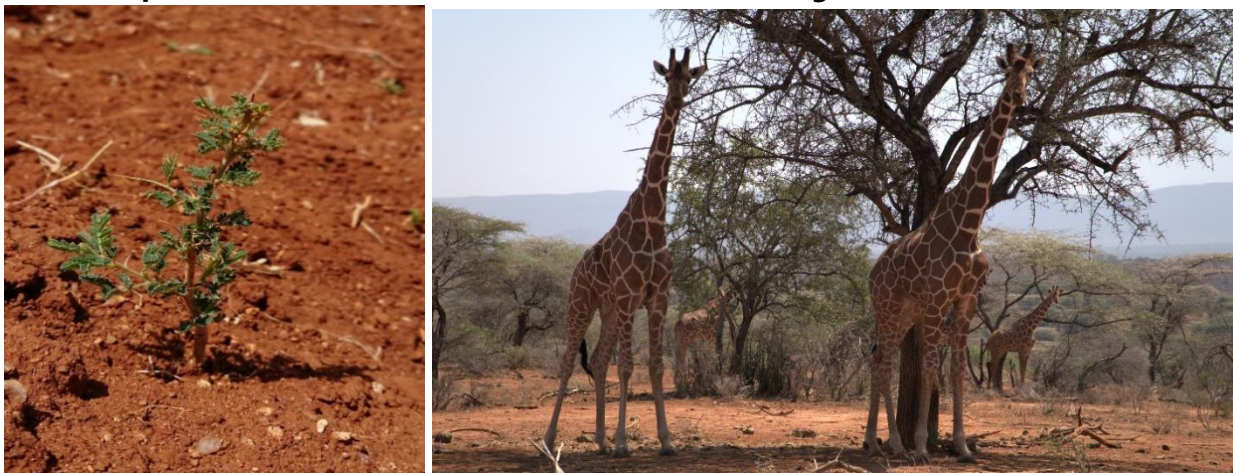


Source: PMU (2022)

- Activity 2.2.8 - *Restoration in Lekurruki, Il Ngwesi, Oldonyiro and Leparua conservancies, and Kurikuri and Makurian group ranches*: the delays in establishing the tree nurseries has had a major impact on the level of FLR work conducted so far. For example, in Il Ngwesi, the MTR identified only 3.6 ha have been restored using indigenous varieties to date. However, the MTR team did identify some progress in non-tree FLR activities. For example, the local community in Oldonyiro conservancy have initiated the cutting and piling of 10 ha of invasive species that are particularly damaging to grasslands, such as *Prosopis spp* and *Acacia reficiens* (plants originally from Latin America), and in Lekurruki conservancy the MTR team observed the local community have constructed around 46 ha of semi-circular bands/bunds to support grassland development. Initially this proved to be a great

success (see Figures 6 and 7). However, at the time of the MTR's inspection, the grasses had largely been consumed by livestock invasions, allegedly belonging to pastoralists from Samburu County. The MTR team identified important lessons learned from this site visit that do not appear to have been adequately captured and communicated to other partners and beneficiary communities. For example, the inclusion of stone bunds was not evident to slow runoff in the many gullies observed at the site and despite overgrazing, evidence of natural regeneration of hardy species, such as acacia *Senegalia* was evident (see Figure 8. Indeed, this regeneration is crucial to conserving rangeland soils, regulating water and providing a vital food source and shade for livestock and wildlife, especially giraffe, which in turn support ecotourism (see Figure 9).

**Figures 8 and 9: Natural regeneration of *Senegalia* in the bunds crucial for soil conservation and an important food source and shade for livestock and giraffe**



Source: MTR (2022)

- Activity 2.2.9 - *Water management improvement*: The main water management activities implemented so far have been through the latest LoA with LWF. This has included capacity building of the Ngare Ndare Water Resources Users Association (WRUA) to develop a sub-catchment management plan, review their constitution and establish a Memorandum of Understanding with the Water Resources Authority. In addition, training on techniques and methods to restore micro-catchments in the Il Ngwesi conservancy have taken place. The activities conducted to date were found to be of significant interest to the above-mentioned communities in Lekurruki. For example, LWF have been promoting the replication of good practices on FLR being successfully applied in the Kurikuri ranch, where Elders are overseeing FLR in strategically located enclosures, where emphasis is given to ANR rather than largescale tree planting. Moreover, this practice has contributed to reducing social conflict, facilitating the application of rotational grazing, and concentrating surveillance of the enclosures.

102 **Output 2.3** – *Knowledge base on NTFPS in the two targeted landscapes and their commercial potential is generated.* Overall, the MTR team found the ASAL project has made satisfactory

progress in completing the main activities planned to achieve this output. An assessment of progress is summarised as follows:

- Activity 2.3.1 - *Mapping, classification and characterization in the 2 targeted landscapes of NTFPS potentialities*: The mapping, classification and characterisation in the two landscapes was done by a consultant from the African Agency for Arid Resources Ltd. with contributions from KEFRI and submitted in June 2021. The MTR team found the report represents an important knowledge product to guide decision-making on the development of the eight NTFPS selected for study in the two project sites.<sup>12</sup> However, two caveats identified concern the use of large-scale maps, which limit an assessment of the range area needed to produce the NTFP, and the absence of an assessment on the role KEFRI's new Research Centre being established in Rumuruti, Laikipia County, should play on the research and development of these NTFPS. Indeed, this Centre will serve all the counties covered by the Amaya Triangle Initiative and provide training and research on the tree species local communities should consider planting to develop the value chains of these NTFPS with the support of institutions such as the Gums and Resins Association (GARA).
- Activity 2.3.2 - *Assessment of NTFPS Commercialization potential*: The assessment was conducted by an international consultant in 2020 and focused on four products/services: Gums and resins, beekeeping, ecotourism services and aloe (*Aloe secundiflora*). The assessment provides an in-depth analysis of the main issues to be addressed to support the development of commercially viable bio-enterprises linked to these products and services. These centre on: (i) testing of samples from different groups to understand their properties, quality and market potential; (ii) funding to provide processing equipment for honey, gums and resins; (iii) creating business incubator services in Isiolo County to serve all three participating counties; (iv) strengthening the capacity of new and existing groups, associations, cooperatives and entrepreneurs in technical and business matters, operating processing equipment, developing storage facilities, setting up and running aloe nurseries, etc.; (v) creating a tailor-made training programme on business and management principles (which could be part of the mandate of the abovementioned business incubator proposed); (vi) identifying and engaging private sector actors to develop the value chain for the NTFPS in question, through supply contracts and other commercial tools (which could also be one of the services developed by the business incubator services proposed); (vii) the trainings proposed above should be integrated into KEFRI's current training courses linked to the development of NTFPS. (viii) engage trainers from the same companies that provide the market linkages/commercial outlets, in order to consolidate the value chain and facilitate the delivery of equipment. Overall, the MTR team found many of these issues could be handled by KEFRI's new Research Centre in Laikipia opened in 2021, given it has the capacity to test the quality of NTFPS (see also Activity 2.3.3 below).

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<sup>12</sup> The report lists the eight products as follows: (i) gums (*Senegalia senegal*), (ii) resins (*Commiphora holtiziana*, *Boswellia negelecta*), (iii) medicinal plants such as aloes, (*A. secundiflora*, *A. lateratia*) and (iv) fodder and grass species (*Vachellia tortilis* (Syn. *Acacia tortilis*) of *Chloris*, *Eragrostis*, *Cenchrus*, *Cynodon* and *Pennisetum*), (v) apiculture, (vi) indigenous vegetables (*Boscia coriacea*), (vii) Prickly pear (*O. stricta* and *O. ficus indica*) and (viii) wild fruits.

However, the absence of partnerships with the private sector and/or MITED mentioned under Output 1.3, confirms **gaps remain in key areas such as the development of business incubator and marketing services and on reliable funding sources**, (which has largely overlooked the role of private banking and business sector);

- Activity 2.3.3 - *Assessment of NTFPS Value Chain*: A very comprehensive assessment was undertaken by KEFRI, leading to the identification of 14 NTFPS and ecotourism where there is potential to develop their value chains. The 14 NTFPS pre-selected are: (i) gums and resins, (ii) seed oil, (iii) essential oils, (iv) indigenous fruits, (v) local varieties of vegetables, (vi) medicinal plants, (vii) local varieties of aloe plants, (viii) tree foliage, seed pods and hay to feed livestock; natural fibres taken from barks and vines, (xi) poles and posts for fencing, (xii) pollinators (especially honey bees), (xiii) fungi and other organisms for food, medicines or to produce pesticides, (xiii) dyes and tannins and (xiv) wood fuel (based on managed pruning methods). A selection of these products has also been subject to a “Chemical and Physical Characterization” study, to test their level of compliance with market standards. For example, KEFRI has conducted scientific analysis on gums and resins (to determine their moisture content, ash content, gel thickness and intrinsic viscosity, among others), will support potential buyers know the quality and quantity of the gum/resin available. Similarly, KEFRI has analysed a selection of wild fruits used by locals to help determine their commercial value according to the percentage of crude protein, neutral detergent fibre, acid detergent fibre (indigestible) and acid detergent lignin (insoluble), among others, present in these fruits in order to identify potential markets. Also, significant have been laboratory tests on medicinal plants to support their classification (medicinal and cosmetic) and value to indigenous communities and on honey. In the case of the latter, the quality has also been compared between the three counties to support the development of brand names. In summary, the production of these two assessments provides an important insight into the potential commercial viability of the products selected and analysed. However, they also demonstrate **the project’s fragmented approach to business development, which has primarily been encouraged by the Prodoc’s long “shopping list” of activities** to support the business development aspects of the project. As such there is no “clustered” approach to assess all aspects of the business chain for a specific NTFP (or related NTFPS) that would facilitate interaction between different stakeholders and enhance informed decision-making on the bio-enterprises to concentrate resources.

103 **Output 2.4:** *Bio-enterprises products and services are promoted and commercialized.* Main achievements and shortcomings under this output indicate moderately satisfactory progress in achieving the output. These are summarised as follows:

- Activities 2.4.1 - *Identification of viable bio-enterprises and training in post-harvest mechanisms, processing, stock, marketing.* The MTR team found the ASAL project has supported the production of a several independent training guides, as opposed to a manual. For example, it has supported the production of a training guide on business development, a training module on the storage and safety of NTFPS (unprocessed and processed), and a new “Training Curriculum on Production, Processing and Marketing of



Forest Products” to support the application of KEFRI’s National Forest Products Research Programme. An analysis of the latter confirms a standardized approach to training on the production, processing and marketing of all the NTFPS it has selected for development. They are: (i) aloe; (ii) gums and resins; (iii) dyes and tannins; (iv) indigenous fruits and; (v) prosopis pods (for fodder). Although this approach is commended, as it facilitates internal monitoring and learning of the training programme’s strengths and weaknesses, the MTR found it remains unclear how far KEFRI can apply effective quality assurance on its application in the ASAL Project given a number of partners have been contracted to conduct the training through LoAs.

- *Activity 2.4.2 - Bio-enterprises equipment* - The latest PIR confirms a list and specifications of critical bio-enterprise equipment had been developed by the time it was submitted in July 2021. However, interviews with stakeholders and beneficiaries at both project sites confirmed the majority of this equipment had still not arrived. Indeed, there was criticism that FAO’s procurement process is too slow and, in some cases, causes problems. For example, members of the Dupoto Bee-keeping Cooperative comprising 18 user groups in Il Ngwesi conservancy informed the MTR team that training by World Vision, has had to be suspended, because the procurement of honey processing equipment is still on-going. This appears to have acted as a disincentive for several members suspending their subscription payments. Another, observation on the equipment list, is that it was drawn up in line with recommendations in the assessment of NTFPS with commercialization potential (Activity 2.3.2). It appears this list did not follow the Kenya Industrial Research & Development Institute (KIRDI) criteria concerning cost effectiveness and efficiency, which is a prerequisite to gaining access to GoKE’s “Big Four Agenda” in which financial support to manufacturing has been included and will become available in the next funding round (MTP1V 2023-27).<sup>13</sup> In addition, the MTR team did not identify performance criteria had been identified to monitor the performance of the equipment procured to support learning and identify good practices.
- *Activity 2.4.3 - Training of NTFPS producer groups in sustainable management and utilization of natural resources*: The MTR team understands this training has been rescheduled from 2021 to 2022, although some preliminary activities have been conducted, including guidelines and associated costs on the establishment of ecotourism facilities in Mt. Kulal.
- *Activity 2.4.4 - Entrepreneurship training and visit exchanges to existing forest farm facilities*: This training has been replanned for 2022 due to the restrictions on conducting exchanges in 2021. The MTR found the entrepreneurship training approach recommended in the Assessment of NTFPS commercialization potential (Activity 2.3.2) provides a suitable platform for developing this training module, through which the support of the Kenya Private Sector Alliance and KIBT could be sought.
- *Activity 2.4.5 - Development of marketing and commercialization strategies for key identified products*: A Road Map for the development of a Strategy for sustainable commercialization of NTFPS in Kenya (2022-2027) was developed in 2020 and a budget of KES 14m (USD

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<sup>13</sup> <https://www.treasury.go.ke/launch-of-the-4th-mtp-2023-2027-preparatory-process/>

122,000) allocated to support its implementation. The main shortcoming identified in the Road Map is the exclusion of key players who have a long track record and/or mandate concerning marketing and commercialisation of NTFPS. These include, among others, KIRDI, KIBT, the Field Services Department and representatives from the private sector, especially those engaged directly in the development of the value chains proposed under Activity 2.3.2 to enhance sustainability.

- Activity 2.4.6 *Charcoal value chain assessed and sustained*: - The MTR team found the current institutional arrangements for guiding, supporting and controlling the charcoal value chain activities is proving to be challenging for several reasons, including cultural attitudes and lack of adequate incentives to change practices. Moreover, supporting this value chain has deviated attention from viable alternatives such as the production of “jiko” reported in Leparua, or the introduction of briquettes using recycled materials (compressed biomass residues including charcoal dust, sawdust, other wood remnants, agricultural by-products and so forth). Under these circumstances, the MTR considers the project’s effectiveness and impact would probably be far greater by supporting the participating counties develop policy and legal initiatives to promote the production of recycled alternatives coupled with fuel efficient stoves and education on, for example, rotational pruning techniques of invasive species of shrubs and bushes. This is also seen as an innovative approach to that would support the counties’ implement the National Adaptation Plan 2015-2030);
- Activity 2.4.7 - *Exchange visits to successful bio-enterprises*: Interviews confirm groups from Mukogodo have participated in exchange visits, but not so far from MKBR. Participants confirmed the visits have facilitated experiential learning on best practices. However, the visits appear to be one-off experiences rather than exploring opportunities to develop networking, synergies, or even develop much needed business incubators. For example, the MTR team visited the Permaculture Centre in Laikipia and KEFRI’s Research Centre in Rumuruti where it identified opportunities to develop synergies to develop honey and aloe value chains. Similarly, a visit to the Acacia EPZ in Nairobi suggests the development of a business incubator service could be explored with the support of the project, given the company has a lot of experience on the aggregation of gum arabica. Meanwhile, an interview with AGAR Ltd confirmed there are opportunities to establish partnerships concerning the production of aloe and some specific trees that produce high-value essential oils. Nonetheless, exchanges to the institutions that provide training and commercialisation support such as KIBT, or the Kenya Climate Change Innovation Centre (KCIC)<sup>14</sup> have not taken place.

#### *4.2.3. Achievement of project outputs and expected outcomes under component 3 – Institutions, finance, and upscaling*

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<sup>14</sup> <https://www.kenyacic.org/> KCIC offers incubation, capacity building and financing options to new, small and medium business ventures and Kenyan entrepreneurs that are developing innovations to address the challenges of climate change.

- 104 The MTR team found the ASAL project is making moderately satisfactory progress in achieving **Outcome 3** – *Strengthened institutional capacities and financing arrangements are in place and facilitate large scale restoration and maintenance of critical landscapes*. The pandemic has affected the project's capacity to conduct a number of capacity building exercises as planned and the shortfalls in co-finance since the closure of the Land Programme in July 2021 has not aided implementation of the main activities planned under the four main outputs. This is analysed in more detail by output in the following paragraphs.
- 105 **Output 3.1** – *Counties' capacities in implementing FLR relevant policies are strengthened*. The MTR was unable to fully assess progress in achieving this output due to the political unrest in Marsabit County, which restricted its planned interview process. However, it was able to interview all three County Directors of Environment and a member of the County Assembly from Isiolo. The overall finding is that the consultation process on the FOLAREP and the updating of the CEAPs reported earlier in this report (sub-section 4.2.1) has proved to be an effective way to build capacity. In particular, there is consensus that because the consultations are linked to county government duties there is an added incentive to learn about FLR and identify ways to fund it. For this reason, the MTR Team detected there is a growing capacity to link FLR to climate change adaptation, where two per cent of the county budget is assigned and in need of more effective application.
- 106 The technical training provided on biophysical and socioeconomic data collection through CEOF, on the application of ROAM and the engagement of the local community in ground truthing exercises to improve local maps using innovative programmes such as Mapathon has supported capacity on planning, implementation, and monitoring of FLR. Nonetheless, interviews with the County Directors of Environment from all three participating county governments indicates that although capacity building is important gaps remain. The MTR team identified three that appear to be particularly significant: (i) funding to ensure there is adequate staffing capacity to oversee implementation of FLR/NTFPS; (ii) equipment to support effective planning, monitoring and law enforcement linked to FLR/NTFPS; (iii) incorporation of inter-county coordination and cooperation in the devolution process, which is particularly critical in the Mukogodo forest and rangeland landscape. As a result, counting the number of capacity building events realised by the ASAL project only fulfils part of the current needs of the county government. This suggests, the ASAL Project should be more specific in counting the number of county staff trained and equipped to plan, implement and monitor FLR/NTFPS, as this would concentrate the project's resources on filling the gaps in question.
- 107 **Output 3.2** – *Community land management committees are set-up and working in targeted project sites*. The MTR team found this has been one of the main activities where co-finance from Phase I of the Land Programme has demonstrated, on the one hand, its added value and, on the other, the limitations of co-finance that does not span the same time period. For example, the Land Programme has been instrumental in introducing indigenous people in the Il Ngwesi and Makurian group ranches in the Mukogodo landscape to the CLA, establish community land management committees and map out their community land boundaries in order to draft their own by-laws. However, it has only been able to support to see Il Ngwesi gain its communal land

rights and deeds in October 2020, because it ended in 2021. Similarly, support to the local communities in the MKBR to support them gain their communal land rights following the completion of the management plan in late 2021 cannot be provided. Interviews with FAO indicate Phase II of the Land Programme is in the process of approval and will be able to return to support these communities gain their land rights, but it **demonstrates the “stop-start” affair of applying co-finance in GEF-funded projects that have very different time-spans**. This is particularly relevant in the ASAL Project, given the complaints of indigenous peoples that conflict resolution is harder to apply when they lack communal land rights recognised by the State.

108 Meanwhile, in the case of the ILMAMUSI, the ASAL Project has applied a LoA with LWF to support the constitution of the CFA and governance structure for the Mukogodo forest. Following the formal registration of the CFA, a second LoA has been signed to establish a water management committee. This has facilitated the identification of a sub-catchment management plan covering around 275 Km<sup>2</sup> of the forest landscape managed by the ILMAMUSI CFA. The MTR team understands LWF is currently overseeing the application of this plan under the Ngare Ndare Water Resource Users Association (WRUA) in partnership with the Water Resources Authority, to ensure compliance with the Water Act (2016) is applied. However, due to prolonged drought, restoration of key areas in the micro catchments (such as riparian strips) has been delayed. However, there is a strong belief that the drilling of bore holes is crucial to the restoration work as it also ensures water is available for meetings at the community centres and schools in the plan area. The LWF estimates this would cost around KES 6 m. (USD 52,200).

109 Progress in delivering **Output 3.3** – *Restoration initiatives are coordinated at the national level* – has been moderately satisfactory. A National Technical Committee for FLR has been formally established by MEF to oversee planning, implementation and monitoring of the FOLAREP. One of the main provisions in the FOLAREP is the establishment of an appropriate management and coordination structure that will support the country’s progress in meeting its target to increase forest cover to 10 percent of total landcover by 2030. In addition to the National Technical Committee, the following committees will be established following adoption of the FOLAREP (foreseen in mid-2022): (i) the National FLR Advisory committee; (ii) the National FLR Steering Committee; (iii) the National Restoration Monitoring Committee; (iv) County Environmental committees; (v) Ward Development Committees. **This indicates the FOLAREP will facilitate more accurate reporting on its commitments to the AFR100 initiative/Bonn Challenge 2030**, during the first period of the FOLAREP (i.e. from 2022 to 2025).

110 **Output 3.4** – *Access to climate and restoration finance is improved*. As previously observed in this report, the ASAL Project has conducted a review of potential sources of finance that could support the country achieve the 5.1 m. ha restoration target by 2030. However, the MTR team found the exclusive focus on capturing funding from donors is moderately unsatisfactory. Instead, the MTR team have highlighted the importance of capturing funding (in-kind and cash) through Kenya’s own public institutions (KIBT, KIRDI, Department for Field Services, KEFRI’s Research Centres, etc.) the banking sector (preferably under a Green Code of Conduct) and from the private sector (Chambers of Commerce, institutional investors, private entrepreneurs, venture capitalists and so

forth). Moreover, there is a need for investment flows to serve two very different markets; namely the national/international market and the local/county markets where the demand for NTFPS is different.

#### *4.2.4 Achievement of project outputs and expected outcomes under component 4 – Knowledge, Partnerships, Monitoring and Assessment*

111 Progress in achieving **Outcome 4** - *Improved FLR monitoring, reporting and knowledge dissemination at national level and Project implementation based on result-based management* – has been moderately satisfactory. Despite the creation of some important partnerships and the production of a large number of knowledge products in the form of assessments, studies, reports, brochures and TRI-related publications such as newsletters and annual reviews, the MTR team found they are produced and disseminated for information purposes, but are not exploited to develop and advocate the case for FLR/NTFPS among decision-makers (especially politicians, the legal profession and economists) as one of the most viable and cost-effective approaches to adapting to climate change in the ASAL region. In particular, there is no advocacy on the huge economic benefits ready to be tapped from the ecosystem services provided by forests under effective management.

112 **Output 4.1** – *A national FLR Knowledge Management system is developed and implemented.* The MTR team accepts that the progress in establishing this system has been delayed by the pandemic and the fact it depends to some extent on the generation of knowledge products as the project is progressing with implementation. So far, the main development under this output has been the identification of 11 institutions that will form the National Knowledge Management Committee for FLR. A LoA is foreseen to support KEFRI lead the Committee members on implementing a road map to develop a system that is user-friendly, accessible and interoperable. Notwithstanding, the MTR team has reservations over the cost-benefit of creating another information system, when KEFRI and KFS already have their own knowledge management systems in place and which could accommodate a specific module for FLR/NTFPS. Indeed, this would free up resources for other priorities where funding is needed and/or limited.

113 **Output 4.2** - *South to South Knowledge exchanged.* The MTR found moderately satisfactory progress in achieving this output. This is mainly due to the pandemic, which since early 2020 has completely severed the realisation of international events, conferences, seminars and exchanges through which important in-person interaction and learning can take place. For example, the PMU found the inception workshop for TRI (held in Kenya in 2019) and the training workshop (held in Rome at the end of 2019) provided important opportunities to learn about the FLR approaches and strategies planned in each country and how to apply FLR tools developed by FAO, IUCN and UNEP. These include important introduction on ROAM (IUCN), the Ex-Act Tool (FAO), application of CEOF to support GIS mapping (FAO), the PIP template (IUCN) and Data Collection & Analysis (UNEP) among others. In addition, the second workshop facilitated dialogue on the selection of core indicators to be tracked by each TRI project and managed by GCP. From March 2020, the vast majority of S-S exchanges have been conducted on line, or through country-based activities.

In some cases, these have engaged both the ASAL Project and the Tana Project. These have included, among others:

- Webinars and training workshops including: (i) the National Land Restoration Scaling Conference (held in Kenya); (ii) a Monitoring working group stakeholder mapping exercise applying Framework for Ecosystem Restoration Monitoring (FERM); (iii) Technology and Innovation for Restoration Monitoring;
- Online presentations and experience sharing: the ASAL Project presented: (i) the specific needs of restoration monitoring in Kenya to the TRI community (in Technology and Innovation workshop); (ii) the Forest and Landscape implementation plan and M&E framework to all 47 county governments in the country; (iii) details on the promotion of FLR/NTFPS in the Commercial Forestry Conference and Expo held for the first time in Kenya at KEFRI's headquarters;
- Dissemination through the internet and social media of scientific journals, posters and technical papers for presentation in the World Forestry Congress to be held in Korea in May 2022

114 **Output 4.3** – *Results-based project monitoring system providing systematic information on project's progress is implemented.* Overall, the project is providing a satisfactory level of monitoring of its operations and this is supporting the formulation of detailed progress reports as well as support to the above-mentioned communications under output 4.2. However, the MTR team found the project's monitoring system is obliged to track the indicators in the Prodoc (Results Matrix) and the nine core indicators of TRI. These indicators are mainly linked to operational targets, which has excluded space for qualitative monitoring through which more effective learning could be developed on key issues; namely the degree to which transformational change is happening at all levels and sectors (especially in terms of changes in knowledge, attitudes and practices). More on the MTR's analysis can be found in Sub-section 4.5.7.

#### 4.2.3 Overall progress on achieving the ASAL project's objective

115 The project has successfully implemented a large number of the preliminary and preparatory activities that are needed before FLR activities can start in the field in 2022. This has been achieved through LoAs with a wide range of qualified partners. However, the project's implementation has been impeded by several external factors such as the pandemic, prolonged drought and FAO's bureaucracy that means the project is highly unlikely to achieve the project objective by July 2023. This signifies an appropriate time extension is required, but only after some important gaps attended to and which will have a significant bearing on the achievement of this objective. In particular, there is a need to downsize the huge number of activities and ambitious targets set in the Prodoc, strengthen the PSC so that there is more specific guidance on the development of bio-enterprises and also on developing carbon trading schemes in the MKBR and Mukogodo. In addition, qualitative indicators are needed to optimise learning and stimulate informed policy dialogue and decision-making.

## 4.3 Efficiency

### **MTR question 3 – To what extent has the project been implemented efficiently and cost-effectively?**

**Finding 5:** Overall the project's capacity to convert its resources into expected outputs and outcomes has been satisfactory so far, especially considering the restrictions imposed by the pandemic. Physical progress is estimated to be 43 percent to 28/02/2022, while total accumulated expenditure of GEF funds was USD 1.717,976 to 31/12/2021, equivalent to 41.3% of GEF funds allocated in the Prodoc. Considering the ASAL Project reports a total of 21,259 people have directly benefited from project activities to 28/02/2022, the project is spending on average USD 80.8 on each beneficiary. This is satisfactory and confirms lower average spending per head than that reported in the MTRs for the TRI projects in Pakistan and STP.

**Finding 6:** Accumulated expenditure of co-finance (in cash and in-kind) was reported to be 45.0 per cent of total co-finance allocated in the Prodoc. This confirms that for every one US Dollar of GEF funds, the project is leveraging on average USD 3.32 from co-finance. The area where co-finance has added most value has been through the Land Programme (Phase I), which has been directly responsible for supporting the indigenous communities of Il Ngwesi conservancy in Mukogodo obtain their community land rights under the CLA. However, the majority of co-finance was not identified to cover the ASAL Project's duration. As a result, some of the local communities in the Mukogodo and MKBR landscapes have not received sufficient support to see through the land titling process in full. This shortcoming appears to be common in the design of TRI projects and has important implications on the level of efficiency and effectiveness that can be achieved.

#### 4.3.1 Timeliness of activities

116 The MTR took place a year after the half-way point of the ASAL Project (February 2021) in month 39 (February 2022) of the 60 months assigned for operations (to 31/07/2023). The MTR team's estimates indicate the project's overall physical advance to 28/02/2022 **amounts to 43.3 percent of planned outputs**. This has been triangulated as far as possible by reviewing the breakdown of estimated physical progress of planned outputs by component produced by the PMU to 28/02/2022 and crossing its validity through a combination of desk analysis of the PIRs and Project progress reports (PPR) interviews and site visits. The MTR team's assessment by component is summarised in the following paragraphs.

117 **Component 1: 50 per cent completed.** The PMU estimates the ASAL Project has completed 70 per cent of the activities under Outputs 1.1 to 1.3, but the MTR team found this to be overstated. This is primarily because this progress mainly refers to preliminary activities that have been completed, such as roadmaps, policy reviews and selection of priority NTFPS for development. However, the PSC's decision to switch from the formulation of a national FLR strategy (Output 1.1) to an Action Plan to implement FLR (FOLAREP) has precipitated a national consultation process in

the country's 47 devolved counties (to enhance ownership). This process has been delayed by the COVID-19 pandemic and needs to continue well into 2022. As a result, the policy-influencing plan, or PIP (Output 1.2) to support the formal adoption and implementation of the FOLAREP, cannot be finalised until these consultations have ended and the FOLAREP has been updated. Similarly, a consultation process on the policy framework to support the development of NTFPS (Output 1.3) has been delayed by the COVID-19 pandemic and is likely to take time to complete because the country's 47 devolved county governments have little or no capacity on NTFPS and their value chains. Moreover, general elections planned on 09 August 2022, indicate the consultation process will take more time than planned.

- 118 **Component 2: 33 per cent completed.** The PMU estimates overall physical progress under this component to 28/02/2022 is around 38%, which the MTR team found is slightly overstated, especially when considering the restoration activities on the ground only amount to 13 ha so far (against 8,700 planned in the Prodoc). The MTR team identified three main reasons why progress in completing FLR/NTFP activities planned under Outputs 2.1 to 2.4 has been slower than planned. First, the planned outputs include a set of ambitious activities, unrealistic targets and relatively fast completion times to achieve Outcome 2 when considering capacity levels at the county, ward and community levels are low and the pandemic has shortened the project's implementation time by more than six months. In addition, the prolonged drought – declared a natural disaster by the Kenyan President, Uhuru Kenyatta, at the end of 2021 has severely restricted FLR activities.
- 119 Second, the Prodoc has overlooked some important gaps that need to be addressed before Outcome 2 can be achieved. For example, to implement the MKBR ecosystem management plan covering 51,436 ha (Output 2.2), Mount Kulal's forest area has to be gazetted first by KFS, although the community organisation of Wazee Wa Mazingira (WWM) has not yet been officially recognised as a Community Forest Association (CFA) by KFS and there is a high level of scepticism on engaging KFS in the implementation of the MKEMP. Neither of these gaps have been resolved so far. Similarly, the management of the Mukogodo Forest is supporting CFAs, conservancies and group ranches to update their forest and rangeland management plans. However, the Prodoc has overlooked the need for these plans to form part of a wider inter-county landscape management plan that corresponds to the landscape traditionally used by semi-nomadic pastoralists and wildlife known as the Amaya Triangle (covering Isiolo, Laikipia and Samburu counties).
- 120 Third, despite progress in selecting 15 NTFPS (includes ecotourism) that have most commercial potential (Output 2.3) the development of bio-enterprises and eco-tourism services (Output 2.4) are behind schedule, because they are largely dependent on the establishment of the policy framework for NTFPS (Output 1.3). As a result, the training and marketing activities planned to support the start-up of these businesses (Activities 2.4.3 to 2.4.7) are unlikely to start until the second half of 2022 at the earliest. In addition, the procurement of materials and equipment to start FLR activities has experienced delays, because FAO's procurement procedures are highly bureaucratic and not well understood by main stakeholders. Similar delays are, therefore, highly likely to affect the development of the bio-enterprises planned (procurement of equipment under Activity 2.4.2).



- 121 **Component 3: 60 per cent completed.** The MTR team found the majority of activities and outputs under this component have progressed in line with the estimate of the PMU to 28/02/2022 (60%). For example, interviews confirm capacity development linked to FLR data collection, mapping and planning (Output 3.1) has progressed largely as planned at the national and county levels. This has been aided by the application of methods such as ROAM using open-source software such as Collect Earth Open Foris, which has improved access to high resolution satellite imagery to support, for example, FLR monitoring. This development has also contributed to the timely application of the training planned to develop the local land management committees that will support the implementation and monitoring of the FLR plans in the two project sites (Output 3.2), as well as the national coordination mechanism to oversee the implementation and monitoring of the FOLAREP (Output 3.3). However, progress in accessing climate and restoration finance as planned by the end of year four (Output 3.4) is behind schedule. Although the FOLAREP includes a financial plan to capture funding from, among others green bonds, the Green Climate Fund (GCF) and REDD+, the MTR found little evidence to suggest can be accessed by the ASAL Project's main stakeholders because the Prodoc has not adequately addressed the following gaps: (i) developing training and applied research on FLR, including high resolution GIS mapping, through KEFRI and universities that have a science and research capacity; (ii) developing the valuation framework for ecosystem services in Kenya (based on high resolution maps) in order there is capacity to value ecosystem services at the regional/landscape, county, ward, village and farm levels; (iii) developing informed decision making based on the valuation of ecosystem services at these levels to guide policy development, capture green finance and generate one or more income streams from FLR (through, for example, PES schemes and carbon trading); (iv) developing a specific module in the national FLR monitoring system in order the value of ecosystem services can be
- 122 **Component 4: 30 per cent completed.** The MTR team found overall progress in meeting the outputs and outcome under this component is less than that estimated by the PMU (38%). For example, progress in establishing the National FLR Committee to oversee the development of the National FLR Monitoring System (Output 4.1) has not been formalised to date. Considering the ASAL Project will end in 2023, it appears unlikely there is enough time to establish and start operating the national FLR knowledge management system as planned in the Prodoc. This also means the project's communication strategy cannot be applied to enhance learning on FLR/NTFPS as planned (Output 4.2). Similarly, the development of the project's monitoring system (Output 4.3) is likely to be restricted to providing only informative data on progress, rather than an opportunity to stimulate learning on where, why and how the FLR process is working/not working (in terms of generating expected and unexpected positive/negative results). This situation is not aided by the observation highlighted in the MTRs conducted on the TRI projects in Pakistan and Sao Tome and Principe (2021), that the nine Core Indicators applied to monitor all TRI projects do not include qualitative indicators to support learning on, for example, changes in knowledge, attitudes and practices (KAP); concentrating instead on quantitative indicators for reporting purposes to the GEF Secretariat.

123 In summary, triangulation of project progress reports, responses and interviews with main stakeholders confirms several factors have contributed to slowing down operations and are likely to continue to do so unless they are mitigated effectively in the near future. These include, among others:

- KEFRI, acting as lead executing agency of MEF, has not been devolved to the county level. Thus, despite the devolution of the county governments, KEFRI does not have representatives in each county to act as focal points for the implementation of key activities under all four components of the ASAL Project;
- The coordination mechanism between KEFRI and KFS has not been developed to ensure there is regular dialogue and cooperation on the implementation of project activities and on addressing the above-mentioned gaps in the Prodoc;
- The county governments lack capacity and have limited resources to promote the FLR process in general and develop NTFPS in particular;
- The project has many outputs and targets that are very challenging to achieve considering they relate not to one specific forest landscape, but two; both of which have complex socio-cultural structures involving many tribes who are increasingly engaged in conflict over access to their ecosystem services due to the growing effects of climate change and population growth that is highly dependent on pastoralism.
- The main co-financing partners - the Land Programme Phase I (2016-2021) and RAELOC (2015-2019) have both ended too early to be able to provide the co-finance planned;
- FAO applies heavy bureaucratic procedures, especially concerning procurement, that are not well known and understood by the PMU and main stakeholders.

#### 4.3.2 GEF funding and co-finance

124 Reference to Table 2 shows total accumulated expenditure of GEF funding to 31/12/2021 was USD 1,717,976, or **41.3 per cent of the GEF grant**.<sup>15</sup> This confirms expenditure of GEF funds has been lower than planned for the reasons mentioned in the sub-section 4.3.1, but does correlate with overall physical progress of 43.3 percent. The MTR team has had no access so far to a breakdown of expenditure to 28/02/2022, but interviews confirm no cost overruns, or shortfalls, have been experienced so far. Nevertheless, the MTR team have identified the need for some urgent additional funding if the ASAL project is to achieve its main outcomes and objectives

125 An assessment of GEF funding by component has not been possible. The MTR team requested FAO-KE to provide this information, but this has not been provided so far and will have to be included in the second draft of this report (if made available). Nonetheless, the MTR team's findings indicate the allocation of GEF funding is low compared to the large number of outputs planned under Component 2, the majority of which have not been fulfilled so far (see Table 1). In particular, a reallocation of funds is called for to fund essential water infrastructure to mitigate the current pressures on the core-zone of the MKBR and Mukogodo forest landscapes and in a position to capture extremely important rains when they finally come. From the MTR team's own

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<sup>15</sup> Total accumulated expenditure to 28/02/2022 has been requested, but not provided by FAO-KE at time of writing (04/04/2022)

assessments, there appears to be scope to reallocate funding from component 4 to component 2, although this needs to be reviewed in more detail by the PMU in consultation with the PSC.

**Table 2. Summary of accumulated GEF expenditure in USD (to 28/02/2022)**

Component	01/08/2018- 31/08/2023 Plan	01/08/2018- 30/06/2019 Actual	01/08/2019- 30/06/2020 Actual	01/08/2020- 30/06/2021 Actual	01/08/2021- 28/02/2022 Actual	Total Balance
Component 1	368,085	n/a	n/a	n/a	n/a	n/a
Component 2	2,431,725	n/a	n/a	n/a	n/a	n/a
Component 3	753,838	n/a	n/a	n/a	n/a	n/a
Component 4	405,723	n/a	n/a	n/a	n/a	n/a
PMU	197,968	n/a	n/a	n/a	n/a	n/a
<b>TOTAL</b>	<b>4,157,340</b>	<b>n/a</b>	<b>n/a</b>	<b>1,111,299</b>	<b>1,717,976</b>	<b>2,439,365</b>

Source: PMO; n/a not available in the PIR.

126 The MTR team was informed in May 2022 that estimated accumulated expenditure of co-finance to 28 February 2022 amount to USD 5,697,515, which is equivalent to 45 per cent of total co-finance planned in the Prodoc (see Table 3). In all cases except for the Land Programme co-funding in cash/in kind has been lower than planned because of the closure of the projects between 2019 and 2021. This situation represents an important loss of financial support just when the project needs to intensify its activities in what appears to the post-pandemic period when operations can slowly return to normal in 2022.

127 By far the largest co-finance contribution has come from the Land Programme (30.2% of total planned co-finance). As reported under sub-section 4.2.3 (Output 3.2), the Land Programme has demonstrated the added-value of co-funding, by facilitating indigenous communities claim their communal land rights under the CLA, which is a major contribution to enhancing their ownership of the FLR process, although its closure in July 2021 has resulted in delaying the land titling process in the MKBR and in Makurian group ranch.

128 Analysis of the Table 3 reveals a trend of significant shortfalls in co-funding in TRI projects. For example, reference to the MTR reports of the TRI projects in Pakistan and STP confirms low levels of co-finance have been secured, which suggests **there is a deficiency in establishing a robust co-financing strategy to guarantee in-kind and cash payments are made available throughout the whole of the implementation period of each TRI project**. For example, co-finance was allocated from the RAELOC project (see Table 4), but this project closed in 2019, causing a shortfall in cash co-funding totalling USD 993,951 (49.7%). Similarly, in-kind payments

MTR of project GCP/KEN/090/GFF (GEF 9556): *Restoration of arid and semi - arid lands (ASAL) of Kenya through bio-enterprise development and other incentives – The Restoration Initiative*

have been restricted by the fact the WaTER Towers project has provided no co-finance and there is a shortfall of USD 3,672,729 and USD 1,481,819 for in-kind support from Capacity Development for Sustainable Forestry Management (CADEP-SFM) and the Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities in Kenya (IPBRCC), both of which had closed by 2021.

**Table 3. Summary of accumulated co-finance expenditure in USD (to 28/02/2022)**

Source	01/08/2018-31/08/2023 Plan	01/08/2018-31/01/2021 (mid-term) Actual	01/08/2021-28/02/2022 Actual	Total Balance at 28/02/2022	% Remaining
WaTER (KEFRI)#	500,000	n/a	0	500,000	100.0%
CADEP (KEFRI)#	4,000,000	n/a	327,273	3,672,729	91.8%
IPBRCC (KEFRI)#	2,000,000	n/a	518,181	1,481,819	74.1%
Land Prog. (FAO)*	4,000,000	n/a	3,776,012	223,988	5.6%
RAELOC (FAO)*	2,000,000	n/a	1,076,049	993,951	49.7%
<b>TOTAL</b>	<b>12,500,000</b>	<b>n/a</b>	<b>5,697,515</b>	<b>6,872,487</b>	<b>55.0%</b>

Source: \*Grant; #In-kind; n/a no allocations foreseen

129 The MTR team understands the shortfall from Phase I of the Land Programme (USD 233,988) is scheduled to be recovered from Phase II when it is launched in 2022 and new projects managed by KEFRI are also planned to provide alternative co-funding.<sup>16</sup> Nevertheless, **this situation is not efficient**, because it drives up transaction costs and contributes to delays in implementation. In addition, it demonstrates that the Prodocs appear to be placing insufficient attention in two areas. First, ensuring the co-finance options span at least 75 per cent of the TRI project (with emphasis given to including other GEF-funded projects and programmes where joint activities are feasible). Second, establishing a suitable co-finance mechanism to coordinate where co-finance can add most value to the TRI project in delivering expected results/outcomes.

#### 4.3.3 Cost-effectiveness of the project

130 In the absence of up-to-date financial data, the MTR team has only been able to conduct a preliminary review of cost-effectiveness. A comparison of overall physical progress against total accumulated expenditure shows it has cost USD 1,717,976 of GEF funds to 31/12/2021 to: (i) achieve an estimated physical advance of 43.3 percent to 28 February 2022; (ii) leverage USD 5,697,515 of co-finance, which equates to a ratio of 1 USD of GEF funding to leverage USD 3.32 of co-finance.

<sup>16</sup> The MTR team understands the new projects to be managed by KEFRI are: (i) the Biofuel 4 project, (ii) the National Kenya Research Fund and (iii) the TWINDE programme (dedicated to ending drought emergencies in ASAL regions).

131 Reference to Table 4 below, whereby a total of 21,259 end beneficiaries have participated in the ASAL project to 28/02/2022, which translates into an average cost of USD 80.8 of GEF funds has been spent on each beneficiary. This is satisfactory when compared to the average cost/beneficiary identified in the MTRs for the TRI projects in Pakistan and STP where it was estimated at USD 97.9/beneficiary and USD 388.0 respectively. Overall, this indicates the ASAL project's cost-effectiveness appears to be satisfactory to date.

132 The switch to remote communications since the start of the pandemic in 2020 appears to have aided cost-effectiveness. This has been aided further by the projects management structure, which includes county steering committees and community focal points, through which the PMU has been able to maintain regular contact during the pandemic. Also, because the ASAL Project has not started the majority of its activities in the field, it has been able to keep its logistical costs down. Areas where the MTR team identified cost-effectiveness could be improved are listed as follows:

- The project's implementation mechanism is suited to the needs and capacity of main stakeholders, but lacks representatives in the national and county steering committees who are specialised in guiding all aspects of bio-enterprise development. This is particularly critical at the county level where the policy framework, capacity and resources to support the development of sustainable NTFPS is in need of strengthening;
- The decision to implement the project through direct execution (DEX) did not facilitate the rapid installation of the PMU, as planned in 2018, but rather in early 2019. In addition, despite a preliminary round of mandatory training courses, it appears the PMU did not receive adequate grounding in areas such as procurement, recruitment of technical services and claiming funds, among others. As a result, the PMU has struggled to manage FAO's heavy bureaucracy. This situation has contributed to delays in receiving equipment, or concluding LoAs. Indeed, the MTR team identified a lot of criticism among national stakeholders that FAO's bureaucracy is not efficient and affects implementation;
- The PMU team are all located in Nairobi, but the TL and M&E experts are located at KEFRI's offices in Karura (headquarters of KFS), while the expert of bio-enterprises is located at KEFRI's headquarters in Muguga, which is 45 minutes' drive away. Moreover, the PMU do not have any staff (full, or part time in the project sites/counties. This situation, also identified in the MTR of the TRI project in STP (but not in the case of Pakistan), means the PMU has to rely on government staff and community leaders when not in the participating counties. This situation is not ideal to speed up activities in 2022, especially as general elections will take place in August and local communities are likely to divert attentions to the growing problems of drought unless significant rains come in April 2022;
- No formal synergies are in place with the GEF5-funded project in Samburu, nor with other relevant donor-funded initiatives support FLR, such as the AREECA project funded by Germany. Collaboration with TRI's Tana Project has, however, been evident in areas such as the application of the ROAM methodology and in supporting the development and consultation process for the FOLAREP in Tana Delta and Lamu Counties, although joint training initiatives have generally not been possible since the start of the COVID-19 pandemic. Consequently, information exchange on lessons and cost-sharing agreements

on activities of mutual interest, especially concerning livestock management and the development of bio-enterprises, is not being optimised. For example, this has severely affected the opportunity for stakeholders in Mukogodo to develop policy dialogue on establishing a holistic management approach for the wider Mukogodo rangelands and forest ecosystem, which is currently being supported under the ATI.

- The MTR team did not identify any clear evidence to indicate the stakeholders of the ASAL Project have been exposed to the lessons learned and good practices identified in previous projects linked to FLR in the ASAL region managed by FAO and/or funded by GEF. For example, there does not appear to have been an exchange of information on the main lessons from: (i) Reviving ASAL economies through livestock opportunities and coordination (2014-2018); (ii) Institutionalization of Field Schools in Eastern Africa (2015-2017), which focused on vulnerable agro-pastoralists and (iii) the Global Programme Support to REDD+ Activities in Kenya (2011-2017).<sup>17</sup>

## 4.4 Sustainability

### **MTR question 4 – *What is the likelihood that the project results can be sustained after the end of the project?***

**Finding 7:** The prospects of sustaining main outcomes linked to FLR are not assured because significant risks remain and, in some cases, have increased from moderate to substantial due to the combined economic and social effects of the pandemic, prolonged drought, locust invasions and a growing global energy crisis, which is causing inflation and political unrest. Moreover, the Russian invasion of Ukraine, upcoming general elections in 2022 and a general lack of adequate risk management and monitoring are all likely to reduce the scope for sustaining the FLR process unless they are fully addressed. In addition, important gaps remain in the capacity of the county governments to upscale FLR and manage key issues such as conflict resolution concerning access to natural resources in times of drought.

**Finding 8:** The prospects of developing bio-enterprises that can sustain the development of NTFPS is low, because; (i) there is insufficient expertise on bio-enterprise development in the PSC to guide actions, promote networking and identify resources and training synergies with government and private initiatives; (ii) there is a lack of basic business services available in the counties, in particular business incubators and marketing support; (iii) the ASAL Project has preselected 14 NTFPs and ecotourism for development, which is considered to be too many in relation to the resources available, which is likely to dilute support, rather than concentrate it on developing a small number of viable economic activities that can generate profits and jobs; (iv) the banking sector is not being guided by a Green Code of Conduct to stimulate investment in sustainable NTFPS that can serve the different needs and demands of rural markets in the counties and larger urban/international markets, where quality control is a key issue.

<sup>17</sup> FAO website, 2022, *Project list in Kenya*.

#### 4.4.1 *Socio-political, financial, institutional and governance, and environmental risks to sustainability*

133 The project's overall risk classification in the Prodoc (Annex 4) is "moderate" and in the latest PIR-3 (June 2021) the risk rating is "medium", confirming there has been no change in the project's overall risk rating to date. A review of the risk assessment in PIR-3 (Annex 6) also confirms the same risk categories as those provided in the Prodoc have been reviewed, plus the inclusion of the "Covi-19 Pandemic". Overall, the MTR is satisfied with the rationale applied to the risk ratings in the Prodoc and PIR-3 and found the overall "risk" rating is correct. However, in line with the findings in the MTR reports for the TRI projects in Pakistan and STP, the MTR team found **the risk categories applied in the Prodoc and PIRs do not conform with GEF/FAO risk categories to be assessed by Mid-Term Reviews** of GEF/FAO projects and programmes. In addition, there is a slight difference in the ratings terminology applied in the PIR to the GEF rating. In particular, it is not entirely clear if "medium risk" applied in the PIR refers to a "moderate" or "substantial" GEF risk rating. Also significant, is that TRI project's internal monitoring systems do not include monitoring of any risk categories, even though Safeguard 9 (on indigenous peoples) was triggered in the Prodoc and the COVID-19 pandemic has been flagged in PIR-3 as a potential new risk that is likely to affect the sustainability of the FLR process. Similarly, internal monitoring does not track any pertinent environmental and social risks (see Section 4.6), despite GoK declaring the worst locust swarms for 70 years in Northern Kenya in 2020-2021 and beneficiary communities communicating they caused major damage to crops and trees.

134 The MTR' assessment of the risk categories applied in the Guide for planning and conducting Mid-Term Review of FAO - GEF projects and programmes is summarised as follows:

135 **Political risks: "substantial"**. This ranking is considered to be higher than the "medium" risk rating in PIR-3<sup>18</sup> for Risk No. 2 – *political risks may hinder or interrupt support from the public sector for FLR*. The MTR team found political instability has been moderate to 2021, in part because the COVID-19 pandemic has limited the opportunities for political unrest. However, **the MTR team identified this risk has been growing in recent months** for several reasons. First, the impact of the COVID-19 pandemic is beginning to be felt at all levels in both economic and social terms. Second, this is being exacerbated by the global energy crisis, which is causing price inflation on basic goods and services. Moreover, the invasion of Ukraine by Russia during the field mission is likely to push up prices further in 2022-2023. Third, political violence between rival parties in Marsabit county have restricted the ASAL Project's access to stakeholders in Marsabit town. Indeed, the MTR team were not given security clearance to visit stakeholders there. Fourth, the MTR team witnessed the start of political rallies in preparation for general elections scheduled on 09 August 2022. This is beginning to reduce the project's access to decision-makers to push the FLR process forward. For example, the MTR team were unable to meet the Environment Chief Officer in Laikipia County for this reason.

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<sup>18</sup> The MTR team have interpreted the "medium" risk rating in PIR-3 to equate to the "moderate" risk rating applied by GEF.

- 136 **Institutional risks: “moderate”**. This rating is higher than the “low” risk ranking in the latest PIR for Risk No. 3 - *Divergent priorities of projects partners and stakeholders with regards to FLR and alternative livelihoods*. At the ministerial level, the ASAL Project faces some important institutional challenges that are not reflected in a low-risk rating, nor mitigated by annual meetings of PSC members. First, the main executing agency KEFRI has not been devolved to the county level. This has limited KEFRI’s communication and influence in supporting oversight and policy developments at the sub-national level. Second, the ASAL Project relies on strong and continuous cooperation and collaboration between KEFRI and KFS. However, the MTR team did not identify an effective coordination mechanism in place to facilitate regular meetings on gaps and overlapping mandates identified in Section 4.1.1. Indeed, the MTR team’s meeting with the Chief Conservator of Forests confirmed there is a need to analyse institutional mandates and align the relevant activities in the remaining phase with the right institution. For example, this is considered important to fast-track key aspects of the project’s implementation (such as finalising and approving the FLR management plan and registration of the CFA in MKBR), and to avoid institutional overlaps on some activities, such as on hay making and tree nursery management in public forests, which fall under the mandate of KFS. There are also overlaps with the KWS concerning the management of forests that host wildlife.
- 137 Third, the MTR team identified the need to strengthen inter-county coordination, given the Mukogodo forest landscape is linked to extensive rangelands that stretch across the counties of Laikipia, Isiolo and Samburu that are crucial to the survival of semi-nomadic pastoralists and migratory wildlife, (see also Section 4.1). The Chief Conservator of KFS confirmed such coordination is important to support effective governance of the Mukogodo forest landscape, which includes plans to establish a Forest Law Enforcement Academy in the Mukogodo forest reserve. Fourth, the MTR team was informed by various sources that effective forest governance can only be secured when the local community has secured communal land rights, because KFS is thinly staffed, therefore unlikely to be effective on enforcement of illegal activities.
- 138 Also significant, are the risks associated with insufficient capacity to apply effective intra-institutional coordination within MEF. For example, an interview with the GEF Focal Point in MEF, confirmed there is a need for the ASAL Project to work closely with the GEF-funded project in Samburu (see Section 4.1) on assessing how the county governments of Isiolo, Laikipia and Samburu could establish an inter-county approach to the management and governance of the Mukogodo forest and rangelands landscape. Similarly, the MTR team identified the need for MEF to improve coordination between the ASAL Project and other projects supporting FLR in Kenya, especially the BMU-funded AREECA project covering four countries in Africa (Cameroon, Kenya, Malawi and Rwanda) in which the implementing partners include the Worldwide Fund for Nature (WWF) in Kenya, IUCN in Rwanda and FAO in Malawi.<sup>19</sup> Similarly, there is insufficient inter-institutional coordination between MEF and other relevant government institutions. For example, with the Institute of Business Training (MITED) to support the development of inclusive value chains for bio-enterprises, or the Council of Governors on developing forest governance.

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<sup>19</sup> GIZ, Restoring forest landscapes in Africa, 2020. Available at: <https://www.giz.de/en/worldwide/100397.html>



Coordination with Universities to promote awareness raising and stimulate university research on FLR, NTFPS, forest monitoring, reporting and verification (MRV) was also found to be low.

- 139 **Financial risks: moderate.** There is no assessment, or rating, on this risk in the Prodoc and PIRs. The MTR team's own findings indicate the financial sustainability of the FLR process is not fully secure after the ASAL Project has ended. Although, there are indications the devolved counties will be in position to allocate some of their own funds to the FLR process, the MTR team identified a number of caveats that have not been addressed so far that will have an important bearing on the long-term sustainability of the FLR process and the bio-enterprises to be established. The first concerns the combined effects of the COVID-19 pandemic, the global energy crisis and prolonged drought, which has restricted the economic growth of key sectors of the economy (such as tourism) and is causing a drain on public finances, a rise in price inflation and growing poverty. This situation, coupled with the shortfalls in co-finance mentioned in Section 4.3.2, provide strong indications that securing finance for FLR is likely to be challenging, especially in an election year.
- 140 Second, unlike the other TRI project operating in the Tana River Delta in Kenya, the ASAL Project has not established a focal point within the National Treasury, through which support for public investment to support key activities could be lobbied in areas such as: (i) the development of business services to support the "greening" of the rural economy in the ASAL region;<sup>20</sup> (ii) promotion of a voluntary Green Code of Conduct to guide and encourage the private sector to invest in FLR/NTFPS and eco-tourism services, which is currently being developed in the TRI project in STP and by the Tana Delta Project through "The Greenheart Initiative"; (iii) stimulate debate on establishing a circular economy, whereby recycling of NTFPS exerts an important effect on all the elements of the value chain of NTFPS and eco-tourism services;<sup>21</sup> (iv) development of financial incentives and fiscal breaks to stimulate the production of sustainable NTFPS and promote their certification to increase their added-value.
- 141 Third, in the light of the preceding finding, the MTR team found investment commitments from the private sector to invest in FLR/NTFP practices remains low. Although this situation has not been aided by the pandemic and prolonged drought since 2020, other key factors were identified that are likely have a bearing on the sustainability of the FLR process. For example, the Prodoc has largely overlooked the importance of direct funding, or indirect funding through synergies with other relevant projects to support: (i) training and applied research funding to support the business community develop NTFPS; (ii) access to business development services that are crucial before the bio-enterprises are able to stand on their own feet, such as business incubation services

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<sup>20</sup> UNEP, 2022, defines the Green Economy as, "low carbon, resource efficient and socially inclusive. In a green economy, growth in employment and income are driven by public and private investment into such economic activities, infrastructure and assets that allow reduced carbon emissions and pollution, enhanced energy and resource efficiency, and prevention of the loss of biodiversity and ecosystem services".

<sup>21</sup> The European Parliament, (2021), defines the circular economy as, "a model of production and consumption which involves sharing, leasing, reusing, repairing, refurbishing and recycling existing materials and products as long as possible. In this way, the life cycle of products is extended."

MTR of project GCP/KEN/090/GFF (GEF 9556): *Restoration of arid and semi - arid lands (ASAL) of Kenya through bio-enterprise development and other incentives* – The Restoration Initiative

that provide access to administrative needs (pricing, accounting, auditing, insurance, legal representation, etc.), quality control measures and techniques (to meet national and/or international standards and safety regulations) and marketing strategies (to develop short, inclusive and green value chains)

- 142 Fourth, the potential to develop income streams from the co-benefits generated by the FLR process has been underestimated. For example, payments for ecosystem services appears to be a very good way to generate a financial income to sustain and expand the FLR process at both the project sites. Indeed, the Total Economic Valuation (TEV) study of MKBR commissioned by the ASAL Project, has calculated total carbon sequestration from both plants and soils amounts to 24.1 million tonnes of carbon dioxide equivalent, which it states had a **carbon market value of over USD 103 million over 30 years** (KES 11.4 billion in December 2020).
- 143 **Currency exchange rate risks: “low”**. This risk has not been assessed in the Prodoc/PIRs. Overall, the MTR team found this risk is low, because the national currency (Kenyan Shilling) has been losing value to the US Dollar since the project began operations in August 2018 when it was around 100 KES to 1 USD) to February 2022 (115 KES to 1 USD). In the light of the current global energy crisis and war in Ukraine, the MTR team estimates this risk will remain low into 2023.
- 144 **Fiduciary risks: “low”**. This is not reviewed in the Prodoc/PIRs. The MTR team did not have access to audit reports or fiduciary risk assessments, but found no evidence to indicate the GEF funds have been managed in non-compliance with GEF/FAO accounting and auditing standards and procedures. A rapid analysis of a selection of LoAs also confirm provisions have been made to ensure FAO staff can conduct audits, spot checks and field inspections at any time.
- 145 **Social risks: “substantial-high”**. This rating is higher than the “moderately-high” rating provided in the Prodoc and PIRs for Risk No. 4 - *Reluctance to participate in project activities by communities* and the call for highly participatory processes to mitigate this risk. However, the MTR team identified **social conflict over water and grazing rights is the main social risk facing the sustainability of the FLR process** in the ASAL region in general and in the project sites in particular. For example, local communities from the MKBR have selected “peace-building” as one of the nine main components of the Mount Kulal Ecosystem Management Plan. Similarly, the MTR team found livestock invasions from pastoralists allegedly from Samburu county have largely decimated the grassing of rangelands in Iingwesi and Lekuruki conservancies (Laikipia county) using semi-circular bunds that successfully captured the first rains of 2022 (see Figures 6 and 7). These examples, demonstrate two important findings: (i) prolonged drought contributes to a breakdown of traditional land management approaches, such as reciprocal grazing agreements between elders from different communities. This suggests the need for conflict resolution grows substantially in times of drought; (ii) the management of social conflict cannot be addressed effectively according to political boundaries and county governance structures when the needs of semi-nomadic multi-ethnic pastoralists depend on wider landscapes and dwell in different wards throughout the year.

- 146 **Climate change-related risks: “substantial-high”**. The MTR team’s rating is higher than the “Moderately high” rating applied in the Prodoc and PIRs for Risk No. 1 - *Drought may take place before the project has enabled communities to start diversifying their livelihoods. It may be so severe that it threatens crops [and pasture], livestock survival, and forests thus curtailing the basis for development of value chains appropriate for food security.* This is substantiated by the fact the risks of climate variability and change are growing. For example, the MTR team was informed the ASAL regions has not had any significant rainfall for over two years. In addition, these effects are likely to become more acute as the rural population continues to grow and livestock numbers increase. This situation indicates current socio-cultural values and practices are likely to exacerbate poverty and land degradation unless they are addressed and viable solutions are agreed that deliver transformational change. As a result, the current mitigation measures proposed in the PIRs (establishing early warning monitoring) are considered to be insufficient to mitigate the effects of prolonged drought, unsustainable livestock practices and a growing conflict for resources between pastoralists. Instead, the MTR team found mitigation measures should be focusing on disaster risk management actions supported by education and research into nature-based solutions that stakeholders can build on to establish a dedicated response to the climate and ecological emergency unfolding.
- 147 **Ecological risks: “substantial”**. This rating concurs with the “moderately-high” rating applied in the Prodoc and PIRs to Risk No. 6 – *Ecological risks posed by the implementation of environment restoration activities and water management activities.* This is justified on the grounds the ASAL Project follows the same four components applied to all national TRI projects, but focuses on a much larger and more complex ecological landscape that comprises forests and rangelands where grasses predominate. This has not been adequately addressed in the mitigation measures proposed, which centre on the fact that KEFRI, KFS and IUCN has a strong knowledge base on environmental management in the region and will ensure that activities implemented do no harm. This largely overlooks the abovementioned requirement to address ecological risks of the project areas at the landscape level (rather than county, ward and conservancy levels). It also overlooks the importance of fully engaging local knowledge and technologies of indigenous peoples living in the project’s intervention areas. This was flagged in the Environmental and Social Risk Assessment in Annex 5 of the Prodoc (Safeguard 9 – Risk 9.2 on indigenous peoples living in the project area), where it is mentioned, *“Indigenous people have been consulted during the PPG and gave their informal consent to the project development and intervention, and it will continue to be sought for all activities.”*
- 148 **Health-related risks: “moderate”**. This concurs with the new risk rating of “moderate” introduced as Risk No. 7 in the latest PIR - *COVID-19 Pandemic may interfere with field activities due to restrictions on travel and meetings and delays in procurement of goods and services. Furthermore, the pandemic might also result in more people losing their jobs and returning back to the natural resource base which might cause extra pressure/degradation if not properly managed.* Overall, the MTR team found the PSC and PMU have managed to deal with the restrictions imposed by the government in response to the COVID-19 pandemic by implementing the mitigation measures proposed in the PIR. These include, carrying out activities that could be done

safely by the project staff and partners, applying safe working procedures/policies put in place by FAO and the government and switching to online communications, trainings and webinars where needed. Nonetheless, the restrictions to travel and group meetings have delayed operations, the ability for stakeholders to attend international training courses and exchanges and mobilise technical assistance, among others (see also Section 4.7.2).

149 **Security risks: “moderate”**. This risk is not addressed in the Prodoc/PIRs. However, the MTR team found it is UNDSS policy to ensure field visits north of Isiolo town are accompanied by security personnel. Moreover, it was not possible to visit stakeholders in Marsabit town, due to on-going political violence raging between two communities in dispute over political leadership in the county. To mitigate this risk, project stakeholders meet in Isiolo or Nanyuki towns to discuss project planning, implementation and monitoring. Meanwhile, security risks associated with conducting work within the MKBR, or Mukogodo landscapes were found to be less problematic, although this should be reviewed as this may change in the run up to the general elections in August 2022.

150 In summary, the above findings confirm the ASAL Project does not have a robust risk management strategy in place to support the implementation of its main activities and this has contributed to slowing down implementation of main activities and identifying/dealing with gaps in the project’s design. In particular, there is a general absence of integrating risk management into planning, implementing and monitoring of main activities to enhance the project’s effectiveness and sustainability. Instead, risk assessment remains an exercise to be completed in the PIRs to meet administrative obligations. Moreover, none of the TRI projects reviewed in Pakistan, STP, or Kenya have identified their exit strategy, in which risks to sustainability should be addressed.

#### 4.4.2 *Evidence of replication or catalysis of project results*

151 The MTR team was unable to identify clear evidence of replication of FLR activities in the field, or development of NTFPS based on new public and/or private investment commitments. This is primarily because the majority of FLR and bio-enterprise activities realised to 28 February 2022, have only recently been initiated in the second half of 2021 following the lifting of restrictions on travel and meetings due to the COVID-19 pandemic. Interviews with end beneficiaries indicate the replication of FLR activities and development of NTFPS depends on several factors. First, engagement in a participatory process to produce a FLR management plan facilitates the start of an important learning process whereby the local community not only identify their main needs, but also prioritise key actions that are crucial to sustaining and replicating landscape restoration and identifying NTFPS that have commercial potential. For example, local communities in MKBR were adamant that community land registration be included as one of the nine priority components in the MK Ecosystem Management Plan, on the grounds they consider their own MKBR-CFA is a more reliable guardian to sustain, control and replicate forest restoration around the core forest area than could be done through KFS.

- 152 Second, replication of FLR/NTFPS depends on how far they deliver tangible results that households and the local community perceive directly benefit their livelihoods (in terms of human, social, environmental and economic capital). For example, the application of nature-based solutions using locally sourced inputs were found to be popular, because they are owned, controlled and benefit directly the local community and can be replicated at relatively low cost. However, where access to locally sourced inputs is restricted, the chances of replication appear to be less evident. For example, the procurement of grass seed and seedlings from external suppliers in Nyeri has caused delays in the seeding of rangelands around Mukogodo forest in time for the rainy season and there are doubts on far the grass seed is fully adapted to the ASAL region.
- 153 Third, funding of essential rural infrastructure is a prerequisite to sustaining and encouraging the replication of successful FLR practices, because it also directly improves livelihoods of rural communities (in terms of reducing deficiencies in their physical capital). The MTR's timing at the height of a period of two years of prolonged drought enabled the consultants to witness first-hand the importance of establishing a network of strategically located water points for humans, livestock and wildlife. Indeed, the local communities interviewed in both the project's intervention sites stated the installation of such networks are central to building their resilience to climate change and reducing the need for pastoralists to graze and water their livestock in the core forest and buffer zones earmarked for FLR. Moreover, the MK Ecosystem Management Plan emphasises the importance of "infrastructure development" as one of its nine priority areas. However, under the terms of GEF funding, limited funds have been allocated to fund rural infrastructure. This is despite the fact the project has been designed to operate in the ASAL region.
- 154 Fourth, incentives are needed to encourage the replication of FLR good practices and bio-enterprise development. The MTR team identified education and research as being particularly important, which in the case of the MK Ecosystem Management Plan has been singled out as one its nine priority components. Nevertheless, the Prodoc places little or no importance on developing applied research through permanent institutions such as (universities and research institutions) to support and guide the development of viable income flows from NTFPS and the co-benefits derived from FLR. For example, the Validation Workshop on resource assessment and chemical characterisation of NTFPS, highlighted the commercial potential of the toothbrush tree (*Salvadora persica*) tree, which is widely used by rural communities (see Figures 10 and 11) and reported to contain antibacterial properties, astringents and detergents.<sup>22</sup> However, this tree does not figure in the FLR plans and shortlist of 14 NTFPS pre-selected for potential support.

**Figures 10 and 11: Using the Musuaketo tree to produce a traditional toothbrush**

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<sup>22</sup> R.O. Coleman, British Dental Journal, (2011), *Antibacterial Twig*. Available at: <https://www.nature.com/articles/sj.bdj.2011.529>



Source: MTR team (2022)

155 The MTR team also conducted a field trial with community members in Lekuruki conservancy to determine how far the 15 NTFPS coincided with the NTFPS they use regularly to support their well-being and livelihoods. The trial required each member to find in the space of three minutes a piece of flora they use and explain this use and benefits to the MTR team in return for a lollipop. To the MTR team's surprise almost all members provided specimens of different trees, plants and their derivatives commonly used in rural areas. The specimens included: wild fruits, herbs, leaves, gums (for consumption use), cuttings of different trees used for combs, toothbrushes, clips (for hygiene use), medicinal plants (for medical and ritual uses), resins (for cosmetic and aromatherapy uses), seed pods and leaves (for livestock feed and veterinary uses), poles (for security and protection uses), bark strips (for binding and tying uses) and wood used to make clubs, or *rungu* in Swahili (for cultural use). Moreover, participants confirmed they could find many other useful NTFPS if a second lollipop was provided! This exercise confirmed a number of these NTFPS are included in the list of 14 products preselected by the ASAL Project, but it also demonstrates **that local knowledge on NTFPS available in the ASAL region should be given more recognition and space in the FLR management plans** on the grounds the vast majority of these NTFPS advance biodiversity conservation, are resilient to droughts, can be produced without the need for inputs (except water during seed propagation and root establishment), are organic materials (thus removing the risks and costs associated with solid waste management of non-organic mass-produced alternatives) and can be commercialised in local rural markets (to avoid transport costs). In addition, products such as traditional toothbrushes are already commercialised on websites such as Amazon, demonstrating wider commercial potential.

## 4.5 Factors affecting performance

### **MTR question 5 – *What are the main factors affecting the project from reaching its results?***

**Finding 9:** The ASAL project's design has some shortcomings that are affecting performance. The most significant are: (i) the ecosystem management approach in the Mukogodo landscape is focusing on establishing/updating management plans for a large number of conservancies and group ranches in two counties immediately around the Mukogodo forest. Meanwhile, KEFRI's is monitoring the whole of the Mukogodo ecosystem, which covers three counties of the ATI. Given the ATI is designed to promote inter-county collaboration and promote conflict

resolution over natural resources the ASAL Project is only engaging some of the users of the Mukogodo ecosystem and, thus, excluding some important users, in particular from Samburu County, which is proving to be a major source of conflict during the drought; (ii) the design of the ecosystem management plans in the Mukogodo and MKBR landscapes are being conducted largely in isolation of each other by LoAs involving different partners. Thus, stakeholders in each site are not engaging sufficiently in exchanges to learn from each other. For example, the NMK's decision to support local communities establish an ecosystem management plan that covers the whole of the MKBR (51,436 ha) has surpassed the expectations in the Prodoc (1,700 ha). In addition, the MKBR ecosystem management plan includes several components that are of significant interest to Mukogodo stakeholders, such as peace-making, rural infrastructure and management of springs and water systems; (iii) the Prodoc has included long lists of activities and a number of over-ambitious targets for a five-year project. For example, the Prodoc promotes bio-enterprises to support the development of NTFPS, but has not included representatives from specialist agencies and the private sector in the PSC to guide business development. Similarly, the fragmented approach to implementing lots of activities, as opposed to a "clustered" approach has restricted coordinated learning on the development of the whole value chain (involving a small selection of NTFPS). As a result, the PMU engages in a lot of transaction costs, which is likely to overburden the PMU as it tries to intensify operations in 2022.

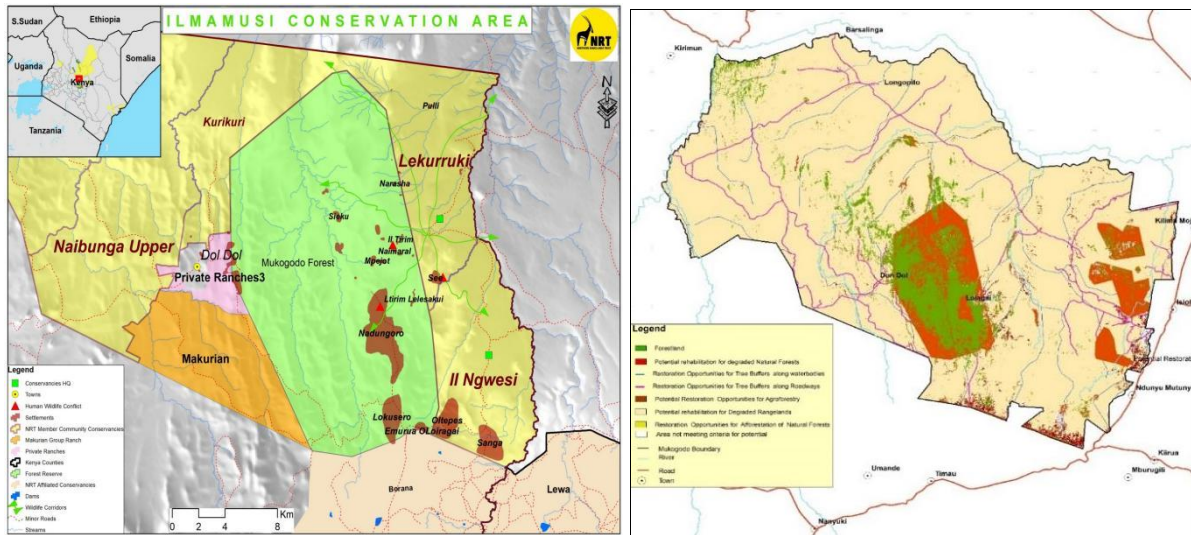
**Finding 10:** The closure of the projects earmarked for co-finance in the Prodoc between 2019 and 2021, is making it harder for the ASAL Project to implement certain key activities that will have a bearing on the future ownership of the FLR process. This is particularly the case in Makurian group ranch and the MKBR, where indigenous communities are experiencing delays in claiming community land titles under phase I of the Land Programme. Although, FAO confirm phase II of the Land Programme, will include new co-finance for the ASAL Project from April 2022, it demonstrates the "stop-start" approach to co-finance is creating delays and ramps up transaction costs.

**Finding 11:** The M&E plans of all TRI projects provide a satisfactory level of support to produce progress reports and communicate data related to the nine core indicators managed by GCP, but they are not designed to also be an effective learning tool. This is mainly due to the absence of qualitative indicators to support learning on transformational change, especially relating to knowledge, attitudes, practices (KAP). This is restricting informed decision-making to support planning of activities and filtering of lessons and good practices to develop an effective communication strategy. Indeed, the current communication strategy of the ASAL Project is not dedicated to identifying advocacy campaigns to promote FLR and its co-benefits to key audiences. For example, there is no targeting of national and county politicians and their political parties, nor members of law enforcement and the judiciary. This is not aided by the lack of a specific ToC for the ASAL Project (see Appendix 9b).

#### 4.5.1 *Project design and readiness*

156 The ASAL Project’s vertical intervention logic aligns strongly with the objectives and four main components assigned to all TRI projects operating at the national level. Overall, the MTR team found the causal linkages between the ASAL Project’s four main expected outcomes are coherent and well defined to achieve the project objective. For example, Outcome 1 stresses the importance of strengthening the policy and regulatory framework at both the national and county levels of government, while Outcome 3 focuses on establishing the institutional capacity needed to support the devolution of the FLR process to the county level. This is considered an important prerequisite to achieving Outcome 2; namely the application and management of the FLR process at the sub-national level, through which NTFPS can be developed and commercialised through bio-enterprises. However, one caveat that affects performance is that Outcome 2 focuses on specific targets to be achieved, which are not only arbitrary for a project to be implemented over a five-year period, but should be established in the horizontal intervention logic (linked to indicators). Moreover, by focusing on hectares, Outcome 2 overlooks main outcome sought by stakeholders; that is, the goods and services of the MKBR and Mukogodo ecosystems are under inclusive and equitable management structures that restore biodiversity, enforce sustainable use practices and enhance their resilience to climate change. This would also clarify the purpose of Outcome 4; namely to capture knowledge and stimulate learning as the devolved process of applying and financing FLR and development of NTFPS unfolds.

**Figures 12 and 13 Maps of the Mukogodo ecosystem covered by the ASAL Project and by KEFRI to monitor landcover changes over time**



Source: KEFRI (2022)

157 Analysis of the project’s outputs and activities found they are generally congruent with each other and correspond to the main needs of stakeholders to achieve the project’s outcomes. This is particularly the case concerning the restoration of MKBR, where the planning, implementation and monitoring of activities and delivery of outputs can be managed and attributed to stakeholders belonging to one county (Marsabit). However, the activities and planned outputs foreseen in the Mukogodo forest and surrounding landscape have some shortcomings that the MTR team found are likely to restrict its effective management. In line with findings in Section 4.1.



the activities under outputs 2.1 and 2.2 are not geared to establishing a fully inclusive and equitable ecosystem management approach for the Mukogodo forest and landscape that semi-nomadic pastoralists from Laikipia, Isiolo and Samburu counties currently depend on to sustain their livelihoods. This landscape is also monitored by KEFRI to determine land use landcover changes in the Mukogodo forest ecosystem (see Figure 12). Instead, the Prodoc concentrates on supporting selected conservancies and group ranches update their management plans and implement FLR activities to achieve FLR targets. These community-based organisations are primarily located in Laikipia county, plus Oldonyiro and Leparua conservancies in Isiolo county (see Figure 13). The MTR team found this approach limits the capacity of participating stakeholders address wider issues that they reported are affecting the project's performance. These include peace building initiatives (especially with Samburu pastoralists), coordinated infrastructure development and forest integrity, all of which figure as priorities in the MK Ecosystem Management Plan.

158 Turning to the project's horizontal logic, the MTR team found the Result's Matrix provides a comprehensive set of baselines and targets to track the implementation of the project's results chain on an annual, mid-term and end basis. However, stakeholders voiced concern that the FLR targets are ambitious considering there are overlapping mandates on FLR at the national level and capacity at the subnational level has to be strengthened before effective management of FLR can deliver tangible results. Furthermore, the assumptions in the Result's Matrix have been compromised by closure of some of the projects providing co-finance, the onset of the COVID-19 pandemic since the first quarter of 2020 and prolonged drought since 2020. In addition, a growing energy crisis is emerging since Russia's invasion of Ukraine in February 2022 and forthcoming general elections signify the ASAL Project will need to review and revise its main targets, number of direct beneficiaries and choice of bio-enterprises to support under component 2. In addition, it should consider adding the creation of a suitable coordination mechanism at the inter-county level under component 3 to improve the management of the wider Mukogodo Forest and rangelands ecosystem (for humans, livestock and wildlife). Finally, a thorough inventory of plants that are used to satisfy local community needs and cultural practices should be included under component 4 and a selection of these plants considered for integration in the FLR plans. Agreement on a suitable time extension to achieve the new targets agreed by the PSC will also be necessary.

#### *4.5.2 Quality of project execution and management arrangements (including assessment of risks)*

159 The Prodoc establishes the project's execution is to be managed by a Project Steering Committee comprising the following partners: KEFRI (acting as lead executing partner), KFS, NRT, NMK and IUCN (acting as national executing partners) and representatives from each of the three participating county governments, plus from civil society (acting as key partners). Meanwhile, the national GEF focal point from MEF acts as Chairman of the PSC. The MTR team found the PSC has been meeting at least once a year as required in the Prodoc and the overall quality of its guidance and oversight has been highly satisfactory on issues such as approving annual work plans and budgets, progress reports and financial reports. For example, the MTR team was particularly

impressed with the PSC's decision to change the Outputs 1.1 to 1.3 foreseen in the Prodoc to current needs and priorities of MEF and the county government. These include the development of the FOLAREP (instead of a national FLR strategy) and replacing the Natural Resources Access and Benefits Sharing Policy with the elaboration of National Equitable Benefit Sharing Regulations (see also sub-section 4.2.1).

- 160 However, two areas were identified where there is room for improving the project's execution. First, annual meetings of the PSC are too infrequent to enable KEFRI and KFS to establish swift and coordinated responses regarding their respective mandates in the project sites, which is particularly important in 2022 to fast-track key activities as the country gains control over the pandemic. Annual meetings are also considered insufficient to review co-financing support and ensure it is made available on time and in the amounts originally planned. This is an important factor explaining the shortfalls in co-finance reported in sub-Section 4.3.2 and the lack of clarity on co-finance allocations mentioned in sub-Section 4.1.4. As such, the MTR team believe the PSC is in **need of improving both its reporting frequency and allocation of co-finance** to avoid delays and/or the need to downsize planned training and capacity building activities, procurement of equipment, etc. at the same time the project needs to speed up implementation in 2022-2023.
- 161 A second caveat concerns the PSC's role to "*facilitate cooperation between all project partners and facilitate collaboration between the Project and other relevant programmes, projects and initiatives in the country*" (Prodoc, p.91). On this issue, it is clear the Prodoc has overlooked two important issues. First, the **PSC does not include a representative from a specialised institution responsible for enterprise development**, such as the Ministry of Ministry of Industrialisation, Trade and Enterprise Development. This is crucial to facilitate the engagement of the private sector in bio-enterprise development with the beneficiary communities. Second, the **role of the national GEF focal point in bringing together relevant GEF-funded projects to collaborate with the ASAL Project is not explicitly mentioned**. As previously mentioned in Sub-section 4.1.4, no synergies are foreseen with the GEF-5 programme operating in Samburu County, even though it is also supporting forest and integrated rangelands management and the MTR team has identified the need for a wider integrated approach to forest and rangeland management under the ATI (covering Isiolo, Laikipia and Samburu counties), which eventually could explore the inclusion of Marsabit and Meru Counties given wildlife ( elephants, zebra and giraffe) migrate between Marsabit and the Mount Kenya Reserve.
- 162 Turning to the decision to implement the project through direct execution (DEX), the MTR team identified some advantages that were less evident in the MTRs of the TRI projects in STP and Pakistan. The most important is the employment of a third technical expert in the project management unit (PMU), who is responsible for the development of the NTFPS/bio-enterprises. This has been instrumental in enabling the team leader (TL) to dedicate more time to other key elements of the project, such the development of policies and plans, where the TL has been crucial in organising and managing a lot of public consultations. Also, important has been the creation of a County Steering Committee in each of the three participating counties and the assignation of community focal points. This has facilitated regular communication between the PMU and the

counties, as well as their engagement in project activities, such as the realisation of the above-mentioned consultations. Finally, the decision to include key partners from the NGO sector who have a long track record working in the ASAL region, in particular NRT, has facilitated the PMU implement the project's activities in the beneficiary communities to a satisfactory standard, as well as produce a number of quality technical reports, some of which are of significant interest to the TRI community. For example, the TEV study for the MKBR provides data to confirm carbon sequestration levels in soils outweighs that of plants.

163 Notwithstanding these advantages, the PMU's performance is compromised by a combination of:

- Naming KEFRI as the lead executing partner despite the fact it has not been devolved to the county government level. As a result, the PMU does not have direct access to a network of KEFRI staff operating in the four participating counties;
- The installation of part of the PMU TL in KEFRI's Karura Office, and enterprise expert in KEFRI's headquarters in Muguga together with the lack of an adequate coordination mechanism between KEFRI and KFS has reduced the PMU's ability to work closely with KFS and MEF in general (especially the GEF focal point);
- Insufficient application of risk management to avoid/reduce delays linked to the risks reviewed in sub-Section 4.4 and concerning FAO's bureaucracy, especially concerning the procurement of equipment and the signing of LoAs.

#### 4.5.3 *Project oversight by FAO as the GEF Agency and national partners*

164 Project oversight provided by the BH and her staff in FAO-KE and by the LTO, CTA, FLO, GCU and other staff in FAO-R has been moderately satisfactory. The COVID-19 pandemic has restricted all FAO stakeholders to conduct backstopping missions, realise global/regional events, workshops and exchanges. This has been mitigated by FAO-KE staff and the CTA holding regular remote meetings with the PMU. Interviews indicate that this has facilitated decision-making on the technical aspects of the project. However, less attention appears to have been given to administrative matters, in particular online training to resolve the PMU's lack of capacity in risk management, or in understanding FAO's rules and procedures governing procurement, payments (including in-kind and cash payments from co-financing partners) and contracting of consultants and third parties by way of LoAs. As a result, stakeholders continue to complain about slow procurement of equipment and significant delays in the signing of LoAs.

165 In terms of the quality of the technical support provided by the Natural Resources Management Officer (based in FAO-KE), the CTA and LTO, the MTR team found they are providing a satisfactory level of technical advice, especially in key areas such as on the development of FLR policies and plans. However, the CTA has been unable to visit the project sites since February 2020 and the LTO not at all. This has limited their ability to "visualise" and respond to some key gaps in the Prodoc, which are affecting performance and, therefore, the prospects to deliver change. In particular, they concern: (i) the need for better inter-county coordination of the Amaya Triangle; (ii) the lack of resources to establish an urgent network of watering points to relieve current pressure on the core forests of Mukogodo and in MKBR (which has been flagged in the MK

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Ecosystem Management Plan) and absence of a representative in the PSC to provide guidance on business matters, markets, contacts, and other support for the bio-enterprises engaged in NTFPS.

#### 4.5.4 *Financial management and co-financing*

166 The MTR team found no evidence of poor financial management of GEF funds, but shortfalls of co-finance have been reported in the PIRs. The MTR was unable to determine how far these shortfalls have affected performance and it remains unclear how in-kind payments are accounted. According to the PMU co-finance has played an important role in providing the main stakeholders of the ASAL Project with access to:

- WaTER Towers project: (i) training of KEFRI staff on restoration techniques in the upland catchments (Water Towers) of Mount Elgon and Cherangani Hills; (ii) access to the GIS, GPS and soil and water analysis equipment to support species-site matching it has procured for work in other Water Towers; (iii) funding of KEFRI's app on species-site matching; (iv) know-how on how to design and implement FLR plans in Water Towers.
- CADEP-SFM project: (i) sharing of best practices for restoration in dry lands of Kenya to support the identification of FLR plans in Mukogodo and MKBR landscapes; (ii) access to research on improved tree species to be included in the restoration of Mukogodo and Mt. Kulal landscapes (*Melia volkensii* and *Acacia tortilis*).
- IPBRCC programme: (i) capacity building on ecosystem-based adaptation; (ii) use of the project vehicle.
- Land Programme - Phase I (August 2016 to July 2021): information and training on improving decentralized land governance in community lands in ASAL counties of Kenya. In **Marsabit County**, this included: (i) integrating the community land agenda into the Marsabit County Integrated Development Plan (2018-2022); (ii) capacity building on the legal and institutional framework of land governance; (iii) establishing the Marsabit Land Sector Working Group to support communities gain land registration; (iv) establishing the Geographical Information System Laboratory at the County Lands Department to guide the process of community land registration; (v) developing the Marsabit County Gender Policy; (vi) establishing a land registry office in the County Lands Department; (vii) informing the Marsabit County Assembly members and County Executive (including Chief Officers) on creating a County Spatial Plan and budget for land registration; (viii) training of county officers on establishing developing the County Spatial Planning process of physical land use planning; (ix) training on applying the Participatory Land Delimitation (PLD) methodology (including in the MKBR) to develop a map of key community resources within the community territory and registry of all adult community members. In **Laikipia County** the ASAL Project's stakeholders gained access to: (i) registering of the community lands of Ilngwesi (and other communities); (ii) developing the County Spatial Plan and Wetland Management Plan 2018-2022; (iii) training on land governance frameworks and PLD; (iv) training on land information management systems and GIS laboratory to support spatial planning, natural resource management and service delivery in the county; (v) training on women rights to land ownership, their inclusion in the community register and decision-making structures on community land registration; (iv) redeveloping the Laikipia

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Land Registry to include storage facilities, digitization and administration of land records, etc.

- RAELOC programme (2015-2019): due to the closure of the project coinciding with the delayed start-up of the PMU into 2019, the MTR team was unable to determine where the reported USD 1.076 m. of co-finance expenditure recorded in the PIRs (in cash) was actually spent. According to the PMU it was mainly accounted for through the provision of baseline data collected in Marsabit and Laikipia Counties.

167 In summary, the MTR found there is a need for FAO to issue guidelines on how co-finance should be accounted for in GEF-funded programmes and projects and provisions made to list these actions in the Result's Matrix to demonstrate more clearly their added-value to the project.

#### 4.5.5 *Project partnerships and stakeholder engagement*

168 The MTR team found no concrete evidence to indicate the operational partnerships established by the ASAL Project, or through the above-mentioned co-finance have affected the project's performance. In line with the same findings in the MTRs for the TRI projects in Pakistan and STP, the MTR team found the application of LoAs is an effective and efficient means to establishing partnerships with an array of qualified institutions from the public, private and non-governmental sectors who have a good track record working in the ASAL region. For example, the MTR team found NMK's Resource Centre for Indigenous Knowledge has a long track record of conducting research in the Mount Kulal-Lake Turkana area,<sup>23</sup> although KFS did feel they should have partnered NMK (in order to clarify their role once the MKEMP is adopted). Similarly, the engagement of the NRT and the Laikipia Forum has enabled the ASAL Project to build on their holistic approaches and experience on rangeland restoration, water resources management and ecotourism, among others.

169 Nonetheless, the MTR team identified three areas where partnerships are needed, or need strengthening to meet project objectives. The first, concerns the establishment of a partnership with at least one academic institution on: (i) mainstreaming all aspects of FLR into existing forestry courses and diplomas; (ii) integrating a specific module on FLR into courses and diplomas on other rural disciplines such as agriculture and livestock sciences, tourism and environmental/physical planning; (iii) developing applied research on FLR and its co-benefits, tapping into international green/climate funds and carbon trading schemes and research and development of wood and non-timber forestry products. The second, concerns improving relations with the private sector through, for example, the establishment of a partnership with the Chamber of Commerce and Industry as well as the Kenya Private Sector Alliance<sup>24</sup> in the interests of raising awareness on commercially viable NTFPS, the identification of incentives to encourage investment in NTFPS and provision of training for potential investors on the development of sustainable NTFPS

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<sup>23</sup> NMK informed the MTR team Mount Kulal is one of a small selection of sites between Ethiopia and Northern Kenya where the oldest human remains have been found

<sup>24</sup> The Kenya Private Sector Alliance has a working memorandum with the Council of Governors

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(preselected by the project, or which could be developed specifically for rural markets and/or specialist buyers in Kenya's main cities).

170 The third, concerns the establishment of a Memorandum of Understanding with the TRI project in the Tana Delta, in order to exchange information each other's good practices and lessons learned on the application of the FLR process and development of NTFPS of mutual interest. Currently, the MTR team understands the realisation of joint training courses and activities have been limited by the COVID-19 pandemic, although as previously mentioned in this report, NK and UNEP confirm support has been provided to develop and consult the FOLAREP with key stakeholders in the Tana Delta and Lamu County governments in 2021-2022. Nonetheless, the MTR Team found there is room for the two TRI projects to develop more joint activities. In particular, the ASAL Project would benefit from regular exchanges of information on the Tana Project's contribution to developing a new land-use plan for the Tana Delta, which has been produced with the support of the Ministry of Lands and Physical Planning as well as supporting the implementation of "The Greenheart Initiative". This initiative is dedicated to promoting green enterprises linked to the food and NTFPS sectors and enjoys strategic partnerships with key actors, such as the Ministry of Finance, among others. As such, the MTR team considers this approach would also support the ASAL Project develop bio-enterprises in support of the national government's Big Four Agenda.

171 Finally, the MTR team did not identify any significant partnerships have been established with other TRI projects. This has not been aided by the lack of international meetings and exchanges since the start of the COVID-19 pandemic in March 2020, but also because the ASAL project is unique in that it is the only TRI project operating in dryland forests and rangelands.

#### *4.5.6 Communication, visibility, knowledge management and knowledge products*

172 The MTR team found no evidence to indicate the project's communications, or knowledge products have had any negative effects on its performance. In a few cases, the MTR team understands there are cases where knowledge management has aided implementation, such as the realisation the National Landscape Restoration Scaling Conference in July 2021, which brought together stakeholders in the FLR sector in Kenya (led by the Cabinet Secretary of MEF) to share knowledge on catalysing a national restoration movement dedicated to achieving national and Bonn Challenge targets. However, despite the production of a large number of quality technical reports, studies, brochures and so forth, the MTR team found there is room for improving the way they are documented, and disseminated to targeted audiences inside Kenya and within the TRI community. This situation has not been aided by slow development of the National FLR Knowledge Management System (NFLRKMS) foreseen in the Prodoc. The MTR team understands this has mainly been due to the pandemic and a long consultation process headed by KEFRI to determine the portal's architecture, functions and use. As reported in Section 4.2, progress so far has included mapping of existing knowledge, initiatives and platforms linked to FLR in Kenya, realisation of a SWOT Analysis of existing knowledge sharing portals and identification of 11 institutions to form the National FLR Knowledge Management Committee to guide the

development of NFLRKMS. Notwithstanding these developments, **the FLR team questions why a separate NFLRKMS is needed**, when it could be developed as a module in KEFRI's e-library and/or the Forest Management Information System managed by KFS and linked to FAO's KM system in its FLR Mechanism (and even CIFOR's online Restoration information system).

- 173 The MTR team also found the ASAL project has established and applies a communication plan to inform stakeholders on project operations and progress and disseminate reports, studies, knowledge products, brochures, press releases and so forth. Since the second half of 2021 this has been supported by application of a communication strategy, which aims to raise awareness and value FLR by: (i) sharing key documents on FLR with stakeholders and policy makers at the county and national levels; (ii) showcasing FLR methods and tools such as ROAM using open source software such as FAO's Open Foris – Collect Earth system to support GIS mapping; (iii) holding presentations on FLR; (iv) promotion of FLR through social media, webinars and interviews with local vernacular stations; (v) publishing newsletters, brochures, briefs, TV and radio spots, etc. In addition, storytelling, a documentary and a photograph exhibition on FLR are planned in 2022.
- 174 Although, this approach is considered highly satisfactory to inform on activities and encourage passive learning on FLR, **the communication strategy appears to be less effective in establishing active learning** designed to stimulate policy dialogue on delivering transformational change in the project sites and in the ASALs. For example, the ASAL project's communications are not conceived to develop advocacy campaigns that specifically target county political representatives to embrace and upscale FLR and investment in NTFPS to support adaptation of rural communities to the climate emergency unfolding and to sustain it by generating an income from the co-benefits of FLR such as carbon trading, water provision and an increase in biodiversity to support ecotourism. Similarly, the project is not targeting members of the judicial system who are ultimately responsible for adjudicating on environmental laws and the legality of NTFPS such as charcoal production.
- 175 The MTR team was unable to determine the budget allocated to communications, but interviews indicate it is too small to optimise its effectiveness and add value to the project's implementation. For this reason, a reallocation of sufficient funds to hire a short-term communications expert and to fund **targeted advocacy on the urgent need for the upscaling of FLR, improved governance structures and investment in NTFPS is considered a priority**. Indeed, this advocacy campaign should build on the knowledge products already produced by the ASAL Project, but which the MTR team found have largely been underexploited. These include the characterization of ecosystem services in the Mukogodo ecosystem and the TEV of the MK ecosystem, which highlight significant potential to develop, for example, emissions trading schemes (ETS). In fact, the MTR team identified **an ETS scheme is already successfully operating in Oldonyiro (Isiolo County) with Native Energy** (USA). In this particular case, the MTR team was informed that the first payment of carbon credits for 2017-2019 amounted to KES 3.2 million (USD 28,000), of which 60 per cent has been used to develop livelihoods and 20 per cent to support NRT develop rotational grazing committees.

#### 4.5.7 *Monitoring and evaluation (M&E), including M&E design, implementation and budget*

- 176 The PMU is applying the M&E plan in line with one provided in the Prodoc. Since the start of operations, monitoring of project performance is tracked in the Results Matrix and submitted in the PIRs and PPRs. The MTR team found no evidence to suggest the M&E plan has had a negative effect on the project's performance, although more could be done to ensure key lessons and good practices feed into the PSC's deliberations on annual planning, addressing gaps (including funding) in the Prodoc and developing effective advocacy campaigns. At the field level, the PMU also conducts field-based activity monitoring with partners. This allows monthly and quarterly planning to take stock on good practices and lessons learned in order planned activities are updated accordingly, bottlenecks addressed and synergies identified where there is a risk of duplication of efforts in the field. For example, this has facilitated the relocation of some project activities to more appropriate sites including the establishment of some of the tree nurseries in school sites and relocating hay production outside of gazetted land managed by KFS (which does not permit economic uses).
- 177 However, because the M&E plan centres on monitoring of operations and quantitative indicators and targets, the PMU is obliged to fulfil its reporting duties to FAO/GEF and to GCP in relation to their reporting formats and the nine core indicators applied. As a result, the reporting duties of FAO and GCP to the GEF Secretariat are also dedicated to communicating quantitative progress and achievements. In line with the same findings in the MTR reports for TRI projects in Pakistan and STP, the main shortcoming with the M&E Plan approach is that it encourages the TRI projects to apply a highly fragmented approach to collecting data at the output and activity levels for each outcome/component in the Result's Matrix. This has resulted in the PMU dedicating a lot of time to monitoring a long list of operations against planned targets under their respective outcome. Tallying of data to demonstrate progress in achieving objectives is largely absent, as are the project's contributions to relevant county/country/international targets, goals and pledges linked to forest/rangeland restoration, improvement in livelihoods, climate change adaptation and mitigation, disaster risk reduction (DRR), conservation of species, etc. This has also reduced the scope to develop the above-mentioned advocacy campaigns needed to address the current mindset of politicians who openly state, "*Trees do not bring votes*" and deliver change, especially at the sub-national level.
- 178 This is not aided by the lack of a specific ToC for the project (see Appendix 9b) and the **absence of qualitative indicators in the results matrix of the Prodoc, or in the M&E Plan**. For example, the absence of KAP surveys restricts systematic learning on why FLR/development of NTFPS is/is not happening (in human, socio-cultural, physical, environmental and economic terms). According to the M&E Plan, this aspect appears to be largely consigned to external evaluation missions, rather than internal evaluation designed to stimulate policy dialogue and informed decision-making on the adoption, application and upscaling of FLR and bio-enterprises. Moreover, because the M&E system is managed by the PMU, any learning is not being adequately institutionalised to develop institutional memory within KEFRI which will serve it well after the ASAL project has closed.



179 Analysis of the nine core indicators that are monitored by the ASAL and all other TRI projects (replacing the GEF Tracking Tool) reinforces further TRI's focus on quantitative monitoring. The nine core indicators are as follows:

- 1) New or improved policy framework
- 2) Number of hectares under restoration / Area of land restored
- 3) Number of hectares under improved practices
- 4) Greenhouse gas emissions mitigated;
- 5) Number of direct beneficiaries (sex disaggregated)
- 6) Number of cross-sectoral government-led coordination mechanisms
- 7) Value of resources flowing into restoration in TRI
- 8) Number of bankable projects developed
- 9) Number of knowledge products developed and disseminated.

180 The MTR questions the relevance of monitoring some of these core indicators at the global level, in particular indicators 1, 6, 8 and 9. Moreover, interviews confirm these indicators are difficult to monitor and it can be argued the number of policies, coordination mechanisms, projects, or knowledge products do not inform on how far TRI is delivering on its objectives; namely improving the ecological health and governance of the forest ecosystem (environmental objective) and improving livelihoods based on inclusive and equitable access to the forest ecosystem's goods and services (development objective) and measured in terms of changes in human, socio-cultural, physical, environmental, and economic capital. In addition, because TRI also delivers on climate change adaptation and mitigation, the MTR team reiterates the finding in the MTR reports for the TRI projects in Pakistan and STP, that core indicator 4 should include reporting on increased capacity to apply MRV, which is a major prerequisite to accessing climate finance, which is linked to core indicator 7.

## 4.6 Cross-cutting priorities

**MTR question 6 - *To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?***

**Finding 12:** The Prodoc has missed a review of specific elements under Safeguards 2, 3 and 4 in the Environmental and Social Standards' Checklist that the MTR team found are relevant. This is especially the case under Safeguard 2 considering the ASAL Project is directly intervening in legally designated protected areas and their buffer zones and involves the equitable sharing of genetic resources to support the FLR activities. Also, similar to the findings in the MTR of the TRI project in STP, there are no indicators in the M&E plan to track relevant indicators linked to Safeguard 2 (biodiversity, ecosystems and natural habitats), which is ultimately crucial to reviewing the project's contribution to removing invasive species (such as prosopis) and removal of species from IUCN's Red List of endangered species and Red List of ecosystems.

**MTR question 7: *To what extent were gender considerations taken into account in designing and implementing the project?***

**Finding 13:** The MTR Team found all three TRI projects reviewed in Kenya, STP and Pakistan are recording male and female participation rates in the project's main activities, which in the ASAL Project is considered satisfactory (41.3%). However, all three projects overlook the importance of applying a gender strategy that includes other vulnerable groups, in particular the sex disaggregated participation rates of youths (15-25 years of age) and more specifically on their empowerment; notably the women and youths' engagement in decision-making roles in the management committees, or in the development of bio-enterprises.

#### 4.6.1 Environmental and social standards

181 The Prodoc and PIRs classifies the overall EES assessment of the ASAL project as "moderate". Only one Safeguard has been triggered (Safeguard 9.2 – indigenous peoples living in the project area). The MTR team's independent assessment of the ESS agrees with the overall risk rating and the action that will be taken to address the specific rights of indigenous peoples living in MKBR and Mukogodo landscapes. For example, the main action - application of Free Prior and Informed Consent (FPIC) – was found to be coherent with FAO's guidelines for FPIC (2014).<sup>25</sup>

182 However, it flags the following observations concerning the lack of entries in the ESS with respect which should be addressed in the next PIR:

- **Safeguard 2 - Protected areas, buffer zones, or natural habitats:** no response was provided to question 2.1 - *Would this project be implemented within a legally designated protected area or its buffer zone?* The MTR team understands both MKBR and Mukogodo forest are gazetted protected areas.
- **Safeguard 2 - Access and benefit sharing for genetic resources:** no response was provided to question 2.4 - *Would this project involve access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources that is held by indigenous, local communities and/or farmers?* The MTR team understands that indigenous communities are sharing their knowledge on plants and the project is promoting the development of policy on natural resources access and benefits sharing.
- **Safeguard 3 – Provision of seeds and planting materials:** no response was provided to question 3.2.2 - *Would this project involve the importing or transfer of seeds and/or planting materials for cultivation?* The MTR found the project is procuring large quantities of grass seed from outside the project areas.
- **Safeguard 4 - Modification of habitats:** no response was provided to question 4.7 - *Would this project be located in or near an internationally recognized conservation area e.g. Ramsar or World Heritage Site, or other nationally important habitat, e.g. national park or high nature value farmland?* MK is a Biosphere Reserve recognised by UNESCO.

183 The M&E Plan does not include indicators to track any of the safeguards listed in the ESS and may explain why the above safeguards have not been flagged. Moreover, considering the observations

<sup>25</sup> FAO, (2014), *Respecting free, prior and informed consent, Practical guidance for governments, companies, NGOs, indigenous peoples and local communities in relation to land acquisition.*

in sub-Section 4.5.7 on the absence of qualitative monitoring some of the ESS safeguards (in particular on biodiversity, ecosystems and natural habitats), could be adapted to support the development of an environmental health index. Currently, no monitoring is envisaged to enable KEFRI, KFS, the county governments and other partners determine the quality of the FLR activities and their impact on the core zones of the forest reserves in MKBR and Mukogodo landscapes using methods such as STAR. Consequently, opportunities for the ASAL project to showcase its contribution to conserving endemic species of global interest, (especially in MKBR where they have been listed by NMK) may be fully exploited. Moreover, this type of data is of particular interest to GEF and TRI’s lead agency, IUCN, which is responsible for monitoring both the Red List of Endangered Species and the Red List of Ecosystems.

#### 4.6.2 Gender and social inclusion focus

184 The MTR team found the ASAL Project’s approach to gender mainstreaming to be satisfactory. This is demonstrated in the Prodoc and PIRs (Section 9 – Gender Mainstreaming) confirming gender capacity and needs assessments have been taken from the RAELOC project and used to guide the integration of gender-responsive measures in the planning and application of all trainings and main activities, especially in the field. In addition, the ASAL project has conducted a socio-economic baseline study to identify, for example, how far women engage in decision-making roles and have access to training, information, finance, in relation to men. These developments have contributed to integrating gender equality into new policies and plans, which have also received support from FAO-KE’s gender specialist when requested by the PMU.

**Table 4. Summary of men and women’s participation by component to 28 February 2022**

Component	Number of participants	Male	Female	% of female participation
<b>Component 1</b>	5,421	3,148	2,273	41.9%
<b>Component 2</b>	13,524	6,767	6,757	50.0%
<b>Component 3</b>	1,953	1,059	876	45.3%
<b>Component 4</b>	379	273	106	28.0%
<b>Total/Average</b>	<b>21,259</b>	<b>11,247</b>	<b>10,012</b>	<b>41.3%</b>

Source: PMU

185 The MTR team also found evidence that the project has conducted a gender-based value chain analysis. Interviews with women beneficiaries indicate this analysis has helped them identify gaps in capacity, training needs, access to funding and services (business, legal, accounting) and identify their role in communal land registration. In terms of monitoring of participation rates, the PMU maintains a sex-disaggregated list of participants. This is updated in the PPRs. The PMU

informed the MTR team that a total of 4,252 Households (21,259 people) have participated directly in the ASAL Project to 28/02/2022. This is equivalent to 41.6 per cent of the total number of beneficiaries targeted in the Prodoc (10,868 households, or 51,080 individuals). The breakdown of their participation by sex, indicates 11,247 are males and 10,012 are females. This confirms that the overall participation rate of women in the project's main activities is equivalent to 41.6 per cent of all participants. This is a very similar participation rate to the one recorded in STP (43.2%) and **confirms women's participation in the ASAL project is satisfactory**. The breakdown of women's participation under the project's four main components is provided in Table 4. It confirms women have mainly been engaged in the project activities under components 2 and 3.

186 The MTR team found the project's approach to indigenous peoples has been satisfactory. Triangulation of progress reports and interviews conducted with indigenous communities in MKBR and Mukogodo confirm the project has applied FPIC during the design phase to agree on main actions and continues to do so concerning the planning and implementation of main activities in the field. This has been aided by an assessment of indigenous people and forest dependent communities in Mt. Kulal and Mukogodo landscapes in 2021 and the project's active engagement with community-based organisations to gain their consent and participation in the FLR process. For example, the Wazee Wa Mazingira association in MKBR confirmed the project is fully supporting them achieve their priorities, in particular formal recognition of their CFA. Indeed, village elders stated the recognition of their CFA is a pre-requisite to supporting the FLR process in the MKBR.

187 In the Mukogodo landscape, the project is demonstrating a similar approach by working with the ILMAMUSI CFA. This CFA, which was officially recognised by KFS in 2014, has enabled the project to work directly with all four of the group ranches surrounding the Mukogodo forest to develop a coordinated response to its restoration and management (see Figure 2). The MTR team found there are logistical and organisational challenges to operate the ILMAMUSI CFA. In addition, the CFA is facing difficulties to take full ownership of the FLR process and improved management of the forest landscape, because it does not bring together all the indigenous peoples who are users of Mukogodo Forest.

188 Considering, a wider approach to management of the Mukogodo Forest landscape exists in the form of the Amaya Triangle Initiative (ATI), it appears there is new window of opportunity for the ASAL project and the CFA to explore the establishment of a wider mechanism to secure the effective management of the landscape. Indeed, one of the main aims of ATI is to bring together the four counties of Baringo, Laikipia, Isiolo and Samburu to, "*adopt a sustainable policy approach towards addressing the common development challenges particularly on insecurity, resource conflicts, food insecurity, environmental issues, drought emergencies, natural resource management and livelihoods among others*".<sup>26</sup>

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<sup>26</sup> County Government of Laikipia (2022), *Amaya Triangle Initiative*. Available at: <https://laikipia.go.ke/amaya-triangle-initiative/>

189 Overall, the MTR is satisfied the ASAL project is reporting in a satisfactory manner on gender mainstreaming and indigenous people's rights in its main activities. Nonetheless, a common shortcoming identified also in the MTRs conducted in STP and Pakistan, is that the M&E system only monitors and reports on sex disaggregated participation rates. **Monitoring in other areas, such as the number of women who are being trained to occupy decision-making roles is not readily available** (for example, on leading the application of FLR activities, or development of bio-enterprises). **Likewise, the participation of other vulnerable groups, in particular youths aged 15-25, is not conducted**, which means it is not possible to determine how far youths have been targeted for training and support. Data on the indigenous tribes participating in each of the two project sites may also throw light on the level of inclusiveness being achieved. In summary, the MTR team considers this data is important, because a major function of the FLR process is to ensure knowledge and capacity is transferred to the next generation. Currently, many youths in the project sites are increasingly choosing to search for urban-based hobs in Kenya and abroad.

## 4.7 Linkages with the global child project and impact of COVID-19

**MTR question 8 – *What did the global child project bring to the national child project, including any synergies and what did the child project bring to the GCP?***

**Finding 13:** The main finding from the MTRs of all three TRI projects evaluated is that the support of GCP was highly valued before the pandemic, but that the switch to remote communications since the pandemic has had less impact. For example, support on applying the CEOF to support ROAM has been widely appreciated, whereas activities promoted via webinars have been harder to implement, such as the engagement of only two persons so far in the Restoration Factory initiative. In another example, the support to the integration of the nine core indicators in the M&E plan was found to have been useful, but there is also a general agreement that the application of qualitative indicators would greatly support learning in general and the consultation process on the FOLAREP and CEAP in particular. Meanwhile, the ASAL Project has produced an array of knowledge products of interest to the TRI community. Some of these have been captured in the GCP's quarterly newsletters, annual reviews on TRI and for specific presentations, such as to the World Forestry Congress in Korea in May 2022, (the case for a national development strategy for the sustainable commercialization of NTFPs), but inadequate mechanisms are in place to filter key findings from its reports to a dedicated knowledge management system. This is particularly the case for the TEV Study of MKBR, which has provided highly important information on potential income that could be generated through carbon trading on the international voluntary market.

**Finding 14:** The COVID-19 pandemic continues to affect the implementation of the ASAL Project. KEFRI estimates that the lockdowns and restrictions on group meetings and travel have contributed to delays of up to 12 months. However, the application of FAO's Standard Operational Procedures (SOP) for prevention and control of COVID-19, plus more specific support such as webinars provided by FAO-KE on maintaining well-being have made a positive contribution to keeping

operations from being completely frozen. In addition, stakeholders stated the internet services in Kenya are very good and this has facilitated working from home.

#### 4.7.1 *What did the global child project bring to the national child project including any synergies between child projects and what did the national child project bring to the global child project?*

190 Interviews with stakeholders confirm the GCP has provided some valuable inputs that have made a positive contribution to implementing the ASAL project. These largely coincide with the findings in the MTRs for STP and Pakistan and are summarised as follows:

- Bringing the TRI community together for the first time in the five-day inception workshop held in Nairobi in 2019, which facilitated the identification of training needs, the selection of the nine core indicators and the initiation of networking between national TRI projects. In the case of the ASAL project networking was established with the Tana project which facilitated the organisation of joint workshops and information exchange;
- Participating in the joint training exercises conducted in the second international event hosted by GCP in FAO-R, where FAO introduced the CEOF software to support the application of the ROAM methodology, the Ex-Act tool to estimate changes in carbon sinks/emissions from human/livestock activities (based on tCO<sub>2</sub>eq per hectare/year) and on the Species Threat Abatement and Recovery (STAR) tool promoted by IUCN to and the University of Newcastle to support informed decision-making on the contribution FLR investments can make to reducing the risk of extinction of species, which is of particular interest to stakeholders in the MKBR due to its unique and highly endangered biodiversity;
- Exchanging information to support the elaboration of TRI publications, including quarterly newsletters, web-based news items on the TRI website hosted by IUCN and Annual Reviews. For example, in the Annual Review for 2020, the ASAL Project has provided an article on its support to the ILMAMUSI CFA in which both forest and rangeland restoration in the Mukogodo forest landscape are described.

191 Stakeholders also share the same views as their counterparts in STP and Pakistan, that linkages with GCP have been less evident since the onset of the pandemic in 2020. This is mainly due to it reverting exclusively to online measures to continue providing support, training and communications. The MTR team was unable to determine how far this has affected operations, but stakeholders generally feel it has slowed down the general take up and application of FLR tools and particular restricted networking. For example, the ASAL and Tana projects have experienced a reduction in joint activities and information exchange and the roll out of FLR tools has been slower than planned.

192 Overall, the MTR team found the added value of the GCP is moderately satisfactory. Interviews suggest, GCP adds most value in two main areas. First, when it brings the TRI community together for trainings and exchanges through which stakeholders can interact and learn from each other. Second, by providing technical support (especially on-demand support) through its help-desk

facility, although the pandemic has restricted responses to online support, rather than sending technical assistance to the national TRI projects. Meanwhile, it remains to be seen how effective some of GCP's online initiatives will be in developing robust linkages with the national TRI projects. For example, the launch of the e-learning initiative, The Restoration Factory, in mid-2021 to assist restoration entrepreneurs develop business models for NTFPS, is reported to have engaged only two entrepreneurs so far (on honey production). Similarly, the launch of the e-training course on FLR, has yet to be tested, but the MTR team has reservations on its sustainability, given there is interest among stakeholders to develop this capacity through institutions such as KEFRI, which already has the infrastructure in place to apply such courses, and linking it to applied research through academia in Kenya.

- 193 In line with observations and findings in sub-Section 4.5.7, the MTR team has reservations about the added-value of tracking some of the core indicators and their general lack of alignment with national and international pledges, targets, commitments and goals relating to the Bonn Challenge, the Aichi Targets/NBSAPs, the Paris Agreement/NDCs and the SDGs (especially relevant Targets under SDG 13 and 15). Stakeholders in the ASAL Project generally agreed, that the inclusion of some qualitative indicators would enhance learning and focus more attention on sustainability issues, as opposed to implementation achievements. In particular there is consensus that assessing the transformational potential of the TRI projects would enhance linkages both ways between TRI projects and GCP. For example, TRI objectives revolve around environmental and development objectives, yet the core indicators provide little scope to assess changes in attitudes and practices that are key to building resilience, improvements in the ecological health and functions of the forest ecosystems that are crucial to sustainable rural development, on reducing poverty, which is a major driver of deforestation. This implies the need for the inclusion of socio-cultural, governance, and ecological health indicators among others.
- 194 Finally, areas, where GCP's help-desk facility could be improved resonate with similar findings in the MTR for STP, such as improving linkages with the business sector to secure important business services that could be developed through KEFRI and its partners. In particular, the MTR team identified a need to identify businesses incubators, through which access to developing administrative and accounting capacity, learning about marketing strategies and development of certified products, waste management and communications are made available.
- 195 Turning to the contribution of the ASAL Project to GCP, a part from providing inputs to GCP's Annual Reviews, newsletters, website news and other communications, the MTR understands the ASAL project is showcasing FLR techniques in dryland landscapes, where both forest and rangeland management is crucial. As such, the ASAL Project provides GCP and the TRI community with important information on managing livestock through rotational grazing that is of interest to TRI projects in Pakistan and Tanzania, among others, that also have a direct interest in livestock management. In addition, the ASAL project has produced several assessments and studies that are currently not well publicised by GCP, but which could and should be. Indeed, the MTR team believes the TEV study for the MKBR, especially the carbon sequestration data provided is of particular interest to stimulating dialogue on how GCP could not only support the application of

the Ex-Act tool to conduct similar studies in other TRI projects and integrate carbon inventories/emissions in the national FLR monitoring systems, but also support the executing agencies of the TRI projects to develop carbon trading with interested third parties in the voluntary market. This would not only facilitate GCP's tracking of core indicator no. 4, but actually make a direct contribution to the NDCs/Paris Agreement.

#### 4.7.2 Questions on COVID-19 impact

- 196 The MTR team is highly satisfied with the way the ASAL Project has managed the COVID-19 pandemic. First, it has introduced the COVID-19 pandemic as a new risk in the latest PIR to 30 June 2021. This has ensured corresponding mitigation measures have been discussed and agreed upon, ensured the pandemic is addressed in the overall risk rating and facilitated the inclusion of a dedicated section in the PIR on the possible impact of COVID-19 on the project in general.
- 197 Second, it has encouraged KEFRI to include an assessment of the impact of the pandemic on implementation. For example, it has assessed the impact of the pandemic on activities such as the application of ROAM against other delays relating to slow procurement of nursery materials and seeds and bureaucracy causing the slow approval of LoAs among others. KEFRI informed the MTR team that it estimates total delays in implementation amounts to almost 12 months, of which more than half is directly related to the pandemic. This information has also been relayed to GCP to ensure details on COVID-19 impacts and response are included in its quarterly newsletters, which are published on IUCN's website (webpage on TRI).
- 198 Third, all stakeholders were found to have fully operationalised FAO's Standard Operational Procedures (SOP) to reduce the spread of COVID-19 among stakeholders outside of lockdown. This has also ensured the ASAL Project has been able to provide anti-bacterial gels, masks and testing equipment to staff, stakeholders and participants in group meetings and activities outside of the lockdowns. In addition, the PMU has had access to FAO-KE's "Wellness Sessions" provided to support staff and project teams cope with, and mitigate, the effects of the pandemic. Also important has been the ability of PMU staff to work from home, thanks to the availability of highly reliable internet services and no major problems of power cuts that have severely affected the TRI Project in STP.
- 199 In summary, it is evident the COVID-19 pandemic has affected all TRI projects and on average operations are 12 months behind schedule. This confirms a time extension is needed, although extending the implementation timeframe is unlikely to produce results unless some key gaps and barriers are addressed, including better risk management, reducing the bureaucratic delays associated with procurement and contracts, securing new resources and a general willingness among stakeholders to speed up activities.



## 5. Conclusions and recommendations

### 5.1. Conclusions

200 The MTR team’s findings indicate the ASAL Project’s **overall risk rating is “substantial”**. The MTR team found the risk ratings provided in the latest PIR to 30 June 2021, will need to be reviewed in 2022, because in most cases the risks are increasing due to a combination of: (i) the effects of the COVID-19 pandemic on the economy; (ii) the effects of the global energy crisis on fuel availability and prices, which are likely to worsen due to the Russian invasion of Ukraine where the latest indications are that it will continue for a very long time (possibly years); (iii) the latest reports from Kenya are that the rains have largely failed to come so far and according to the latest bulletins if this continues it is likely to leave 3.5 million Kenyans needing emergency food aid.<sup>27</sup> This situation is also likely to intensify pressure on natural resources in the ASAL region in general; (iv) general elections are scheduled in August 2022, which is highly likely to disrupt operations in the coming months and political unrest afterwards cannot be ruled out.

201 This situation, has caused significant delays and indicates the project is not on track to achieve its planned outcomes and objectives by the end of operations in July 2023. This also suggests it will take longer for the country to “build back better” after the pandemic and calls for urgent changes in the project’s operations, in particular resources to construct bore holes.

202 **Conclusion 1 (C1) – Relevance - on question 1:** *Are the project outcomes and objective congruent with current country priorities, GEF focal areas/operational programme strategies, the FAO Country Programming Framework and the needs and priorities of targeted beneficiaries?* The project’s **relevance at all levels is satisfactory**. Outcomes and objectives remain consistent with the policies and priorities of the executing agency, MEF as well as GEF/FAO focal areas and objectives. Nonetheless, because several factors in the ASAL Project’s design were found to be affecting performance, there is a risk that stakeholders will increasingly question the relevance of FLR if it does not deliver results. This is already evident among many youths who, according to the elders interviewed, are increasingly looking at economic activities that go against the principles of restoration and conservation of forest ecosystems and their biodiversity. Similarly, political rhetoric at the start of the election campaigns for the general elections in August 2022 are ignoring longer-term solutions in favour of quick fixes to the current challenges cited above. Besides, examination of the manifestos of the two major political coalitions shows that climate change has not been prioritised among the key issues shaping the campaign agenda. This situation is a concern, considering the government of Kenya has developed a number of policies, strategies and action plans to combat climate change in line with its commitments to multilateral agreements that include the setting of targets under its Nationally Determined Contributions (NDCs). Also, the ASAL Project has conducted total economic value (TEV) studies that demonstrate, the high economic value of forest landscapes in terms of the ecosystem services

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<sup>27</sup> Business Daily, 11 April 2022, *Failed March-May rains leave 3.5m Kenyans needing emergency food aid.*

they provide and which offer viable opportunities to generate the income needed to sustain and upscale the FLR process, which is crucial to safeguarding not only local knowledge and livelihoods, but also enhancing resilience to the effects of climate variability and change. However, they also demonstrate that the direct and indirect value of ecosystem services are not well understood and, therefore, are not adequately integrated into policy decision-making.

203 **Conclusion 2 (C2) on question 2 (Effectiveness):** *To what extent has the project delivered on its outputs, outcomes and objectives?* The ASAL Project is demonstrating satisfactory progress in pushing the FLR agenda forward in Kenya under the framework of the FOLAREP and its articulation through the adoption of management plans in the project sites. The ecosystem approach adopted in MKBR is highly commended by the MTR team. However, this is not because the decision of the local communities to adopt a management plan that encompasses a massive 152,661 ha beats targets in the Prodoc, or enhances reporting on core indicator 2 of TRI. More significant, is that it enables the proposals in the TEV Study to be fully reviewed and integrated into the MKBR Plan. Due to the highly fragmented approach to realising the long list of activities and outputs in the Prodoc, the Mount Kulal Ecosystem Management Plan (MKEMP) and the TEV Study have been realised separately. As a result, the latter is not reflected in the MKEMP. Indeed, the MTR team concludes the main caveat in the MKEMP is the lack of identification of income generating activities such as voluntary payment for ecosystem services (PES) agreements, to reduce dependency on external funding sources to implement the plan. Moreover, the MTR team witnessed PES in the form of a voluntary emission trading scheme (ETS) is already operating successfully in the Oldonyiro Conservancy under the support of NRT. This indicates both the MKEMP and the Mukogodo landscape have the potential to negotiate similar agreements, which would also be highly supportive of meeting targets in Kenya's Nationally Declared Contributions (NDCs) for the forestry sector and stimulate dialogue on anchoring PES in national and county policies. Nonetheless, the application of this approach in the Mukogodo landscape is likely to be more challenging, because the characterisation study has identified ecosystem services that could generate significant income if PES was applied across the whole of the Mukogodo landscape. This suggests the adoption of a more integrated approach to the management of the Mukogodo landscape, rather than the current focus on the establishment/updating of management plans at the conservancy/group ranches levels, is more likely to unlock voluntary PES agreements to support the beneficiary communities sustain the FLR process well after the ASAL Project has ended.

204 Meanwhile, support to the development of non-timber forestry products and services (NTFPS) and bio-enterprises has been moderately satisfactory, because the design gaps in the Prodoc effectively mean the ASAL Project is operating in a vacuum. Most significant is the lack of important players working under the MITED, such as KBIT and the Private Sector Alliance, the Department of Field Services (on business incubator services) and KIRDI, and from the private sector who are engaged in the 14 NTFPs identified, plus ecotourism, to guide and support the PSC on determining how to best promote bio-enterprises to support the implementation of the FOLAREP at the national and sub-national levels. This is crucial, because the counties need a policy framework to support bio-enterprise development, plus measures to increase capacity and

resources to implement it effectively. This is well reflected in the Assessment of NTFPS' commercialization potential, which calls for a business incubator service to be located in a central location to serve all three counties.

- 205 **Conclusion 3 (C3) on question 3 (Efficiency):** *To what extent has the project been implemented efficiently and cost effectively?* According to the financial data available, the ASAL project is achieving a satisfactory level of efficiency, especially concerning the delivery of resource assessments, GIS mapping, formulation of FLR management plans and policy development. However, the project is not on track to deliver all its outputs and outcomes as planned before closure on 31 July 2023 and the latest indications are that the pandemic, prolonged drought and insufficient co-finance are likely to continue restricting operations in 2022. In addition, KEFRI reports the delays in concluding its second Letter of Agreement with FAO-KE has contributed to delaying FLR activities over two growing seasons. This is likely to affect efficiency and effectiveness, even if there is an intensification of FLR/NTFPS activities and an extension of the project's duration (recommended in R2). Under these circumstances, the MTR team concludes, new measures are needed to ensure the project concentrates on delivering a smaller number of activities that add most value, rather than attempting to reach targets that are no longer realistic, or which will overstretch resources to produce half-baked results.
- 206 **Conclusion 4 (C4) on question 4 (Sustainability):** *What is the likelihood that the project results can be sustained after the end of the project?* The sustainability of the project's FLR and economic activities is moderately likely, but growing external risks remain largely unmanaged. The introduction of the FOLAREP and the revision of the CEAPs provide a strong indication that public funding will be made available to support the continuation of the FLR process beyond the project. This is especially the case in counties such as Isiolo, where the county government is contemplating the promotion of FLR as a legitimate approach to climate change adaptation, which will facilitate more effective use of their CCF. Moreover, this approach is likely to open doors to develop PES schemes, especially with the private sector, as well as enhance access to climate finance, although the MTR team concludes the ASAL Project's current focus on the latter is risky, because their heavy bureaucratic procedures and conditionality are not designed to respond quickly to a climate emergency. Meanwhile, the future sustainability of bio-enterprises is likely to benefit from the introduction of a new policy framework to support the development of NTFPS, although the MTR team concludes the implementation of this framework is dependent on the county governments developing adequate capacity and resources to provide access to essential business services and capturing success stories to communicate to project stakeholders on how NTFPS contribute to sustainable rural development and at the same time provide valuable ecosystem goods and services that enhance biodiversity conservation and resilience to climate change.
- 207 **Conclusion 5 (C5) on question 5 (factors affecting performance):** *What are the main factors affecting the project from reaching its results?* Three factors in particular are affecting the project's implementation and, therefore, progress in achieving some of its planned outputs and outcomes. The first, concerns the intervention area selected to promote effective management of the Mukogodo forest and rangeland ecosystem appears to be too fragmented to deal with the needs

of all its pastoral users, does not correspond to the same landscape monitored by KEFRI to monitor landcover changes and is not set within the context of the ATI, which was designed to bring together the county governments of Baringo, Laikipia, Isiolo and Samburu to work together on resolving common development challenges such as insecurity, resource conflicts, food insecurity, environmental issues, drought emergencies, natural resource management and livelihoods, among others. Second, co-finance has been allocated from projects that were planned to close before the ASAL project reached its mid-point. This has reduced the scope to push forward highly important activities such as the land titling of community lands in the project sites by the Land Programme, which ended in July 2021. This shortcoming was also identified in the MTRs for the TRI projects in STP and Pakistan. Third, the M&E system is geared to informing on quantitative advances, but this restricts learning on transformational changes that are needed to determine how far the FLR model is delivering positive outcomes and impact, in relation to other approaches promoted by other donors, such as farmer-managed natural regeneration, the enclosure approach and so forth.

- 208 **Conclusion 6 on question 6 (Cross-cutting priorities):** *To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?* The ESS assessment has been applied and reviewed in a satisfactory manner in the Prodoc and PIRs, with a specific assessment on the application of FPIC to engage indigenous communities throughout the development of the FLR management plans. Nonetheless, some specific entries under Safeguards 2, 3 and 4 have not been reviewed.
- 209 **Conclusion 7 on question 7 (gender):** *To what extent were gender considerations taken into account in designing and implementing the project?* The ASAL Project is successfully engaging satisfactory levels of women's participation in all its main activities under components 1-3, but there is no monitoring on the percentage of women who engage in decision-making roles, nor monitoring of other vulnerable groups, especially youths (aged 15 to 25). This restricts learning in key areas, such as empowerment of women/youths and on advances in gender equity and equality (especially relating to rights of ownership of assets).
- 210 **Conclusion 8 (C8) on question 8 (links to the global child project):** *What did the global child project bring to the national child project, including synergies between child projects and what did the child project bring to the global child project?* The linkages established with the GCP have and continue to support the ASAL Project's implementation, but the switch to remote support, training and communications since the start of the pandemic in March 2020 to date has had less impact than when it was provided in-person through conferences, workshops, exchanges and so forth. The ASAL project's main contribution to GCP has been in the form of articles on project activities to support the production of newsletters, annual reviews of TRI and other informative material.
- 211 **Conclusion 9 (C9) on question 9 (COVID-19):** *questions on COVID-19 impact.* The COVID-19 pandemic combined with prolonged drought and social conflict in the ASAL region has had a major impact on slowing down the implementation of activities. Delays on project implementation (especially activities under component 2) are estimated to amount to 12 months, which is a similar

to the delays reported in the MTRs for the TRI projects in STP and Pakistan. Nevertheless, all three projects have managed to continue limited operations during the lockdowns.

## 5.2. Recommendations

212 **Recommendation 1 (R1) in response to C1 – linked to relevance and sustainability - to FAO, national and sub-national stakeholders:** the main findings and recommendations of the Total Economic Value (TEV) Study in the Mount Kulal Biosphere Reserve (MKBR) landscape and the Ecosystem Characterisation Study conducted in the Mukogodo landscape should be discussed and reviewed in a workshop with selected stakeholders from the national, county and local communities to assess the ecosystem services that could be developed into voluntary payment for ecosystem services schemes (PES) to support implementation of forest management plans, in particular the Mount Kulal Ecosystem Management Plan (MKEMP) and the forest management plan of the ILMAMUSI Community Forest Association (CFA).

### **Suggestions on how to implement R1:**

- It is highly recommended that a qualified consultant or Letter of Agreement (LoA) is employed to guide the identification of PES in the two project sites and with the objective of supporting community forest associations implement their forest landscape management plans well after the ASAL Project has ended. It is recommended PES schemes focus on: (i) the development of voluntary ETS based on lessons learned and good practices identified from the ETS currently operating in the Oldonyiro Conservancy under the management of NRT; (ii) water provision from forest ecosystems (including water from their aquifers via bore holes), based on lessons learned from other TRI/FAO projects that have already assessed PES schemes and/or implemented them. This should be coordinated through the Global Child Project and FAO's relevant services responsible for promoting PES (such as the Forestry Division and Agricultural Development Economics Division) and following study of relevant material, such as the, Payments for forest environmental services in sub-Saharan Africa – A Practical Guide (2016).
- Selected members from all of the Conservancies in the Mukogodo landscape and from Mount Kulal should participate in the meetings to be held with stakeholders on the identification of these schemes, in the interest of raising awareness on the value of ecosystem services in sustaining the forest landscape restoration (FLR) process, enhancing resilience to climate change and developing sustainable non-timber forest products and services (NTFPS) to improve livelihoods and develop the rural economy.
- In the case of the Mukogodo project sites, it is recommended PES schemes are identified under the framework of the Amaya Triangle Initiative (ATI) in the interests of promoting policy dialogue on establishing a set of integrated forest landscape management plans that cover the wider Mukogodo forest and rangeland landscape that corresponds to KEFRI's landcover monitoring map (Figure 13), which spans across the counties of Isiolo, Laikipia and Samburu.

- Conduct exchanges to other areas of the country where there are PES schemes in place linked to water provision and the development of carbon sink inventories (expressed in tCO<sub>2</sub>eq). In the case of the latter, the exchange should review importance of applying effective monitoring, reporting and verification (MRV) to justify a carbon trading agreement with a third party and synergies should be explored with initiatives such as REDD+ in order to identify potential support, funding and training linked to the development of monitoring, reporting and verification (MRV) capacity and which will support development of the National FLR Knowledge Management System (NFLRMS).
- Fully engage KEFRI's new research centre in Rumuruti to support research and development of PES, starting with ETS schemes, in the interests of funding and sustaining selected NTFPS. The NTFPS selected should satisfy not only the urban needs of county capitals, Nairobi and international markets, but also the specific needs of rural markets operating in the Amaya Triangle.
- Identify lessons and good practices from the above-mentioned exercise to support the development of an advocacy campaign designed to encourage the adoption of a national policy for NTFPS that fully integrates PES initiatives to sustain their development and which leads to restoration/conservation of forest landscapes as a legitimate land use category.
- Target the campaign on decision-makers, politicians and the law enforcement/judiciary services in order to stimulate debate on supporting the application of PES and other market-based instruments that provide incentives for soil, water and biodiversity conservation in forest landscapes/towers and which support the country's policies, strategies and plans promoting adaptation and mitigation to climate change.
- FAO-KE should contact UNESCO to discuss increased engagement in the MKEMP, for example, by providing support to education, research and awareness-raising on FLR and its role in restoring the MKBR ecosystem.
- Finally, improving access to climate and restoration finance (Output 3.4), should place less focus on gaining access to funding from the donor community and, instead, focus on capturing public and private funding under the Big Four Agenda, in particular from institutions such as the Kenya Institute of Business Training (KIBT), the Kenya Industrial Research & Development Institute (KIRDI), the Department for Field Services, KEFRI's Rumuruti Research Centre, private enterprises engaged in NTFPS and the banking sector applying, subject to an assessment, a Green Code of Conduct. The latter should be reviewed taking into account the lessons learned from the TRI project in Sao Tome and Principe, which is developing such a Code. Meanwhile, it is recommended bio-enterprise development seeks support through the Chambers of Commerce, to identify potential investors and entrepreneurs who are committed to investing in the development of NTFPS for the national/international market or for the local/county markets where a different set of needs and demands for NTFPS are evident.

213 **Recommendation 2 (R2) in response to C2** – linked to effectiveness and factors affecting performance – to FAO, the PSC and the PMU: the PSC should elect at least one representative from the Ministry of Industrialisation, Trade and Enterprise development (MITED) and at least one from the Private Sector Alliance, plus two from the private sector based in the ASAL region

(specialising in gums and resins and hay/grass seed/medicinal plants) to become the focal points for guiding the development of the national policy on the development bio-enterprises linked to NTFPS and concentrate resources on the development of incubator services to support a selection of bio-enterprises that have the greatest potential to unite as many end beneficiaries as possible to support the development of economies of scale. It is recommended these representatives are also invited to sit on the national platform being developed to steer the implementation of the Forest Landscape Restoration Implementation Action Plan 2022-2025 (FOLAREP) and provide better guidance on securing alternative funding to donors to support the development of selected bio-enterprises (under Recommendation 1).

### **Suggestions on how to implement R2:**

- The PMU should conduct a reconnaissance exercise with KEFRI and KFS to identify candidates who are available and willing to join the PSC and/or act as focal points in KBIT (to guide policy development on business training services), the Department for Field Services (on linking innovators to relevant supporting institutions for product development, incubation, standardisation, protection of intellectual property rights, funding and commercialization in every County) and KIRDI (on enhancing research into NTFPS and linking bio-enterprises to potential funding of, for example, processing equipment). In addition, three representatives from the private sector should be invited to sit in the PSC (supported by a small bursary to cover costs if requested). The MTR recommends that one representative should be linked to the gums and resins sector and the other two to products specifically demanded in rural markets, such as the production of hay, grass seed and medicinal plants (including aloes), all of which the MTR team found are highly profitable and would reduce pressure on the core-zone of the forest reserves. The third, should be from an institution that can provide guidance on improving the county business environment, connect businesses with communities producing NTFPS or who have eco-tourism potential and generally supporting the development of advocacy campaigns on investing in bio-enterprises.
- An extraordinary meeting of the PSC should take place with FAO-KE, together with the Lead Technical Officer (LTO), the Chief Technical Officer (CTA), the Finance Liaison Officer (FLO) and a member from the GEF Coordination Unit (GCU) in order the PMU can present its findings and recommendations concerning the election of new representatives to guide the ASAL Project's activities concerning bio-enterprise development. If possible, the elected candidates should also be considered for integration into the Technical Working Group (TWG) established to identify the national policy framework for NTFPS. Alternatively, a delegated member from their respective department/business may be contemplated.
- Provisions should be made to ensure the role of the PSC continues after the ASAL Project has ended by, for example, formalising the TWG as a national entity that maintains close linkages between the Ministry of Environment and Forestry (MEF) and MITED.
- The new PSC should deliberate on guiding the PMU to apply a more integrated approach to the way it is currently realising the long list of activities assigned in the Prodoc concerning bio-enterprise development. Instead of lots of independent activities, it is

highly recommended the PMU adopts a cluster approach that focuses on recruiting one qualified entity (or a consortium) to identify the development of the whole value chain for gums and resins and hay and grass seed production (from production through to sales to end buyers/consumers and on reinvestment). The aim of this approach should be to identify the main areas where the ASAL Project should intervene to create inclusive and equitable value chains that deliver improved livelihoods, greater resilience and the recovery of ecosystem services.

- Following the identification of the main activities needed to develop inclusive and equitable value chains for gums and resins and hay and grass seed production, as well as ecotourism, the PMU and the recruited entity/consortium should identify where the ASAL Project can provide funding and, where it cannot, identify alternative sources to cover the balance of funds needed. This should include synergies with other projects, in particular: (i) TRI's Tana Delta Project in Kenya in order to learn from NK/UNEP on how they are securing funding for bio-enterprise development under "The Greenheart Initiative", which includes support from the Ministry of Finance; (ii) the Large-scale Forest Landscape Restoration in Africa (AREECA) funded by Germany and implemented by the World Wildlife Fund (WWF); (iii) national and county government programmes providing support and resources to stimulate manufacturing under the Big Four Agenda; (iv) from the private sector in line with R1; (v) the local community and their grassroot organisations who can provide in-kind contributions to sustain and upscale FLR and the development of NTFPS and PES; and (vi) from the donor community, including the climate funds (identified under Output 3.4), but on the premise their funding can provide complementary support, as opposed to funding that develops into donor dependency.
- Finally, because the project currently has less than 16 months left, the PSC should review the time extension needed to set up the synergies recommended in the preceding recommendation. This should include identification of the ASAL Project's exit strategy to clarify how it will increasingly transfer over the continuation of activities to the national TWG proposed. Indications are the ASAL Project will need an extension to oversee the FLR process and give selected bio-enterprises the chance to stand on their own feet before the ASAL Project is closed.

214 **Recommendation 3 (R3) in response to C3 – linked to efficiency and factors affecting performance – to FAO, the PSC and the PMU:** It is recommended the project is extended by 18 months to recover delays in implementation of main activities caused by external factors. This extension should be conditional on the PMU and implementing partners carrying out a review of the activities and targets listed in the Prodoc to determine which activities should be prioritised and clustered together to promote integrated approaches to realising project outputs. All targets should be reviewed and changed where they cannot be realistically achieved according to the resources, time and capacity available now and during the proposed prolongation period. In all cases activities should be prioritised on the basis they will add most value to the FLR process and that there is a realistic chance the bio-enterprises become viable commercial concerns in the extension period. This should be followed by a review of the budget to determine where GEF



funds should be prioritised and how new sources of co-finance should be identified and targeted to improve the ASAL project's effectiveness and efficiency.

**Suggestions on how to implement R3:**

- Activity 2.2.4 should be downsized to one to two pilot cases, or even cancelled altogether, to allow funding to be diverted to support the realisation of R1. Furthermore, the economic conditions have changed due to the drought, making it more difficult to sustain a revolving fund. Moreover, the local communities said their priorities have shifted to securing access to water.
- Activities 2.2.5-2.2.8 should be grouped together under one LoA to support the realisation of joint training exercises of selected board members. This would enable: (i) promotion of the training of trainers principle to improve efficiency; (ii) dialogue on establishing a set of management plans that could be combined to establish an integrated management plan for the core and buffer zones of the Mukogodo forest landscape; (iii) identification of the wider rangelands and pastoral communities that are connected to/use the Mukogodo forest; (iv) discussion on the options available to determine how the wider Mukogodo landscape could be managed in an inclusive and equitable manner for all users of the Mukogodo forest, as well as determine the specific rights and needs of wildlife to support ecotourism; (v) presentation of the options to the ATI, with the aim of engaging the county governments of Laikipia, Isiolo and Samburu, KEFRI Research Centre in Rumuruti, KFS and the PMU in inter-county dialogue on the most viable land use options and the roadmap to establish a fully-fledge ecosystem management plan for the Mukogodo forest and rangeland landscape, which should be aligned as far as possible to the landscape monitored by KEFRI (see Figure 13), and apply a similar participatory planning approach to the development of the MKEMP; (vi) dialogue on the funding of the identification of this plan through contributions from all three county governments, KEFRI and other potential partners; (vii) identification of funding to support the drilling of bore holes in strategic watering points that would support the development of PES, facilitate peace-making between communities in conflict for water and other natural resources, as well as attend to the specific needs of wildlife that migrate annually to and from Mount Kenya. It is currently not possible to divert GEF funds to this type of activity, but this should be the subject of review by the PSC on an exceptional basis considering the drought emergency unfolding is already affecting millions of inhabitants in the ASAL region. It is recommended the PSC, the PMU and FAO stakeholders identify: (i) reallocating GEF funds to support the local communities cope during the drought; (ii) identify existing projects and programmes funded by government and the donor community that could support the installation of "emergency" water infrastructure to reduce stress on the forest core-zones in the project sites; (iii) establish a climate adaptation fund within KEFRI that can support its the participating county governments use existing resources allocated to climate change, to fund urgently needed water infrastructure and services. Additional funding from government, the donor community and the private sector should also be identified to sustain the adaptation process promoted by KEFRI (including maintenance of the infrastructure).

- Activities planned under activities 2.2.2 and 2.2.7 should consider: (i) paying the conservancies to produce a smaller number of seedlings and transfer them to strategic sites where rooting can be guaranteed and the wider community can see their benefits; (ii) switch funds saved to pay the conservancies to manage the installation of enclosures dedicated to natural regeneration, that were reported to be highly successful in Kurikuri ranch and which the MTR team witnessed first-hand in Leparua conservancy, where they are already producing grass seed.
- In line with R2, it is suggested Activities 2.4.1 to 2.4.7 concentrate resources on developing inclusive and equitable value chains, and preferably an incubator service in Isiolo and Laikipia counties, for the two sets of products mentioned above which support win-win situations (resilient livelihoods and restoring ecosystem services): (i) gums and resins that are directed primarily at satisfying the needs of national and international markets; (ii) hay, grass seed and medicinal plants directed at satisfying the needs of rural inhabitants whose livelihoods depend on the landscapes supported by the project. In addition, the MTR team found the project is planning on purchasing honey processing equipment. However, the drought is already causing many bees to die. It is therefore recommended support is downsized to supporting individual beekeepers produce smaller quantities of honey and bees wax to satisfy local rural markets only, until conditions permit the amassing of honey by their cooperatives for processing and sale in the county capitals and Nairobi.
- Funding of activity 2.4.6 should be reduced so that funding can be diverted instead to supporting the KEFRI Research Centre in Rumuruti expand rural production of briquettes, "jiko" and other alternatives in the proposed ecosystem management plan for Mukogodo and that this be funded through the CEAPs for Isiolo, Laikipia and Samburu. A rapid review of the CEAP for Isiolo provided to the MTR team (13/04/2022) confirms this activity has not been included, although the problems of illegal charcoal production is reported on several occasions. A similar process should be applied in Marsabit County and integrated in the MKEMP under component 5 (community livelihoods).
- The development of the national FLR Knowledge Management System should be developed as a specific module within KEFRI's existing knowledge management system. The funds saved should be diverted to support applied research on FLR and the development of NTFPS, starting with support on the development of KEFRI's training programme on the production, processing and marketing of gums and resins and developing a similar course for hay, grasses and medicinal plants to support the development of the rural economy, which has been given less emphasis by KEFRI to date.
- The PMU should review relevant knowledge documents produced by FAO on FLR over the last decade in Kenya/Africa. For example, it is highly recommended lessons are learned from the FAO/NEPAD publication, "Review of FLR in Africa, 2021", in particular Chapter 4: "Key Success Factors". Also important is FAO's publication, "Global guidelines for the restoration of degraded forests and landscapes in drylands Building resilience and benefiting livelihoods".
- A specific review should be conducted by the PSC, PMU and FAO on how the shortfalls in co-finance should be bridged from 2022 onwards through eligible on-going projects and programmes managed by KEFRI, KFS, and MITED. Dialogue should agree on where new

co-finance can add most value to sustaining and upscaling the FLR process (under the FOLAREP) and on supporting the development of viable bio-enterprises (in line with the new policy foreseen to support manufacturing of NTFPS and under the framework of the country's Big Four Agenda).

- 215 **Recommendation 4 (R4) on C4 – linked to sustainability and factors affecting performance – to FAO, the PSC, the PMU and GCP:** FAO-KE should make provisions to support the ASAL Project identify an effective risk management strategy that can be fully applied (with appropriate and effective mitigation measures) in all activities planned, under implementation and subject to monitoring. This should include the application of R1-R3 proposed above and, if possible, the risk categories applied in the PIR should be harmonised with the same categories applied in the GEF-FAO Guidelines for MTRs.

**Suggestions on how to implement R4:**

- FAO-KE should support the recruitment of a short-term consultant with in-depth experience in managing risk to support the PMU and implementing partners identify the risk management strategy.
- The risk management strategy should focus on mitigating risks directly linked to: (i) FLR (especially drought-related risks experienced in the ASAL region). For example, a social risk management strategy is considered of particular importance due to the growing conflicts concerning access to natural resources in droughts, which is resulting in violence and even deaths. This will also help guide decision-making on rotational grazing rights and the location of watering points for livestock and wildlife and, in the Mukogodo landscape support the development of inter-county approaches to managing risk; (ii) small businesses (especially economic-related risks including financial shocks).
- Provisions should be made to integrate a small number of risk indicators into the monitoring system of the ASAL Project. This should be used as an opportunity to raise awareness among stakeholders (especially the county governments and conservancies) that risk monitoring forms an integral part of climate change adaptation and that by prevent/reducing disasters caused by climate variability considerable social and economic costs are saved.
- The consultant should support capacity development on reporting on the cost savings of disaster prevention/reduction measures promoted through FLR and compare it to a continuation of business as usual to stimulate informed policy dialogue and decision-making on investing and upscaling of PES schemes, such as the one proposed in R1. For example, by clarifying the role of KFS in the MKEMP a new approach to preventing/managing forest fires can be developed with the local community.
- Considering this discipline was also found to be weak in the TRI projects in STP and Pakistan, it is recommended the short-term consultant is produce a virtual booklet on how risk management strategies should be developed and integrated into all TRI projects. The booklet should highlight lessons learned and good practices drawn from the ASAL Project and other sources (such as the AREECA project managed by WWF in Kenya) and be

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submitted to the Global Child Project of TRI (GCP) for targeted dissemination to all TRI projects.

216 **Recommendation 5 (R5) on C5 – linked to effectiveness, efficiency, sustainability and impact – to FAO/GCU, the PSC, the PMU and GCP:** the MTR team recommends all three issues are dealt with through meetings between relevant stakeholders to agree on suitable solutions to the three main issues that are affecting the project’s performance and likely to restrict its long-term impact.

**Suggestions on how to implement R5:**

- On the boundary of the Mukogodo landscape: (i) FAO-KE, KEFRI, KFS the PMU and the county governments, selected representatives from the ILMAMUSI Community Forest Association (CFA) and other relevant members from civil society active in land management-related activities in the Amaya Triangle Initiative should meet to discuss the potential to adopt integrated decision-making to allow for the expansion of the Mukogodo landscape to correspond with KEFRI landcover monitoring map by assessing the strengths, weaknesses, opportunities and threats of adopting a new landscape approach in relation to business as usual. Particular attention should be given to first reviewing the adaptation of the conservancy management plans so that they can be integrated first into a buffer-zone management plan to protect the forest-core. Second identification of the main corridors of migration into the Mukogodo forest core from outside the buffer-zone should be identified on the KEFRI map to determine the boundaries of the users of the Mukogodo forest and rangeland ecosystem; (ii) KEFRI, KFS, PMU and representatives from ATI should agree on the adoption of the boundaries for the wider ecosystem management plan and its coordinated implementation through the county governments of Laikipia, Isiolo and Samburu as an integral part of the ATI; (iii) the ASAL Project should explore co-funding of the design of the ecosystem management plan with the GEF5 project and other sources of co-finance (see next bullet). Representatives involved in the application of R1 should support the identification of the ecosystem management plan.
- On the need for new co-finance: it is recommended a joint strategy meeting is held between the project managers to identify areas where duplication of trainings and wastage can be limited. It is recommended cost savings should explore the following to free up funds to implement R1 and R2: (i) identify ways to reduce training and other costs between the ASAL, Tana and Kirisia (GEF5/Samburu) projects to promote one set of coordinated training courses and materials on FLR where relevant and justified; (ii) conduct a meeting with WWF managing the AREECA Project to identify and agree on synergies with a Memorandum of Understanding (MoU) in areas of mutual interest; (iii) KEFRI and FAO identify potential new sources of co-finance from other projects they are managing.
- On improving monitoring and evaluation (M&E): in a similar manner to the MTR recommendation to the TRI project in Sao Tome and Principe (STP), it is recommended FAO-KE, the PMU, KEFRI and KFS agree on the selection of qualitative indicators that would support learning among stakeholders ensuring coherence with the qualitative milestones

in the Policy Influencing Plan (PIP), and preferably packaging into following three main areas: socio-cultural, economic and environmental development. Each area should focus on indicators to measure: (i) social transformation in terms of changes in knowledge, attitudes and practices (which will also support capacity assessments), which can be monitored through methods such as KAP surveys. Attention should be given to ensuring suitable ethnographic methods are chosen for each child project (focus group discussions, in-depth interviews, participant observation, participatory analysis methods, etc.) and that a combination of qualitative and quantitative methods are applied by two experts from qualitative and quantitative research traditions. Similarly, attention should be given to monitoring how far women, youths and other vulnerable groups are being engaged in decision-making roles and access to services (as opposed to focusing only on participation rates); (ii) economic transformation from the perspective of identifying economically viable FLR approaches and generating inclusive, sustainable and resilient bio-enterprises. Attention should be given, therefore, to measuring FLR costs in relation to the income they generate and similarly the costs of setting up bio-enterprises in relation to their turnover/profits to facilitate comparisons with approaches from other donor projects; (iii) ecological transformation through the introduction of ecological health index monitoring to support learning on the quality of the restoration process, especially in terms of improving biodiversity and saving endangered species, but also concerning improvements in forest and rangeland ecosystem services. It is strongly recommended KEFRI in association with, for example, the Mama Ngina University College, develop training and research capacity on the application of the ecological health index (EHI) and on PES. Moreover, FAO-China has worked extensively on applying EHI and PES in GEF-funded projects (includes developing carbon inventories in Fujian Province to support ETS) and should be contacted to provide support and share lessons learned on these disciplines. This would also support reporting to CBD and UNFCCC on progress in meeting its Nationally Declared Contributions (NDCs) as well as inform the International Union for the Conservation of Nature (IUCN) on changes in the Red Lists for species and ecosystems and preferably applying Species Threat Abatement and Recovery (STAR) in parallel to the EHI.

- Progress in implementing the above recommendations should also be used to learn lessons to support the ASAL Project develop its communications, including the above-mentioned proposal to develop an effective advocacy campaign to, among others, improve the linkages between FLR climate change adaptation (CCA) plans and to encourage politicians to promote investment in FLR/NTFPS, through which an increase in PES schemes from the co-benefits generated could be established.

217 **Recommendation 6 (R6) on question 6 (Cross-cutting priorities) – on effectiveness and sustainability – to FAO and the PMU:** the MTR team recommends a review of the Environmental and Social Management (ESM) Safeguards 2.1, 2.4, 3.2.2 and 4.7 is conducted in the next PIR, if possible, with the support of FAO's ESM team. In addition, in support of the dialogue proposed on developing monitoring on the ecological health index of the FLR process in both project sites, discussion should include an assessment on developing indicators that would also facilitate

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monitoring of compliance with relevant criteria under Safeguard 2 (Protected areas, buffer zones, or natural habitats) and Safeguard 3 (Access and benefit sharing for genetic resources).

- 218 **Recommendation 7 (R7) on question 7 (gender) – on effectiveness and sustainability – to FAO and the PMU:** the PMU should conduct a review of its monitoring of indicators on participation rates to break them down further into youth participation (male/female) and number of women/youths who, for example are members of boards of directors (including bio-enterprises), or who participate in decision-making roles.
- 219 **Recommendation 8 (R8) on question 8 (links to the global child project) – on efficiency and effectiveness – to FAO, the PMU and GCP:** the MTR team recommends that GCP provides a more proactive role in: (i) providing short-term technical assistance to support the implementation of the recommendations of the MTRs with the aim of releasing the PMU from FAO’s recruitment procedures; (ii) the GCP supports all TRI projects agree on applying a set of qualitative indicators to support learning on TRI’s main achievements and shortcomings; (iii) GCP develops a more effective networking facility that is monitored to ensure TRI projects are communicating and exchanging information with each other and, in the case of Kenya, applying synergies to promote a united message on the role of FLR in supporting CCA/disaster risk reduction (DRR), climate change mitigation (CCM)/PES and development of resilient communities and value chains. Meanwhile, the ASAL Project should provide insights into innovative approaches such as the development of linkages with credible public sector institutions (including the Kenya Wildlife Service/Ministry of Tourism and Wildlife) that can provide both technical and production skills to support the development of incubation services and ecotourism services with the private sector that demonstrate the benefits of nature-based solutions to restoration, conservation and sustainable use of forest ecosystems.
- 203 **Recommendation 9 (R9) on question 9 (COVID-19) – on efficiency and effectiveness – to FAO, the PMU and GCP:** the impact of the pandemic on the Kenyan economy should be fully factored into the discussion proposed on developing a risk management strategy under R4.

## 6. Lessons learned

- 204 In accordance with the latest MTR Guidelines Addendum on new GEF requirements on Lessons Learned, the MTR team have identified the following:
- 205 **Lesson learned 1 – on project design:** the ASAL Project’s design does not include an inception phase in which the needs and capacity assessment conducted during the design phase several years before could be updated to ensure activities and targets match latest needs, capacities and resources available. This is the case with all TRI projects even though they have carried out baseline assessments. This forces the PSC/PMU from the very beginning to plan and implement the Prodoc’s activities and targets that may no longer be realistic, achievable and/or relevant. In addition, long lists of step-by-step activities encourages fragmented approaches. This is likely to affect efficiency and effectiveness from the onset.
- 206 **Lesson 2 – on project management:** the ASAL Project is the only one of the three TRI projects reviewed so far that has a third expert dedicated to bio-enterprise development. This is considered good practice. However, unlike the TRI project in Pakistan, the ASAL and STP TRI Projects have no field staff who are able to save on logistical costs and, during the pandemic retain contact with stakeholders in the counties. The Pakistan approach to employing field staff is considered good practice.
- 207 **Lesson 3 – on nature-based solutions:** FLR is highly cost-effective when nature-based solutions build on local knowledge and technologies and can, thus, implement them fairly easily without high dependency on inputs. Nevertheless, simple tools, seeds and other materials are needed, but take too long to procure. FAO must provide solutions to allow for the rapid procurement of small, but highly important equipment and materials.
- 208 **Lesson 4 – on co-financing:** assigning co-finance from projects that will terminate soon after the ASAL Project has started operations forces stakeholders to identify alternative solutions that ramp up transaction costs and diverts valuable resources away from where they are needed most: in the field. This problem could be avoided by the Prodoc clarifying (i) where co-finance is to be spent so it can be reviewed annually and by MTRs; (ii) the balance of co-finance due from a phase I project will be recovered from the second phase; (iii) the obligations of FAO and the executing agency to find alternative co-finance where projects will not continue in a new phase.
- 209 **Lesson 5 – on gender equality:** participation of women does not constitute a gender equality approach. All TRI projects are overlooking the importance of including indicators to track: (i) other vulnerable groups, especially youths aged 15-25; (ii) access levels to training, information, resources and basic services following project activities; (iii) the number of females (disaggregated into adult women and youths) engaged in decision-making roles.

- 210 **Lesson 6 – on knowledge, collaboration and learning:** by overlooking the engagement of universities and research establishments to support KEFRI and KFS on developing robust training courses and applied research on FLR and NTFPS, the TRI projects are heavily reliant on LoAs with NGOs. This situation implies a lot of institutional memory on FLR will be lost when the LoA ends, rather than retaining it in a permanent institution such as a university where it will: (i) remain fully accessible to research students; (ii) enhance opportunities for KEFRI to gain access to the universities' own networks through which the African knowledge base on landscape restoration can be enhanced and former taboo subjects such as "black magic" resuscitated as local knowledge to support innovation and development in areas such as medicine, cosmetics and bio-pesticides.
- 211 **Lesson 7 – on risk management:** the Prodocs and PIRs assess risks, but in isolation of reporting on their actual effects on activities and results. The full integration of risk management in the planning, implementation and monitoring of TRI projects is considered not only good practice, but essential to support learning on combatting the effects of climate variability and change, biodiversity/habitat loss and breakdown of ecosystem services, among others.
- 212 **Lesson 8 – on monitoring and evaluation:** the inclusion of qualitative indicators on knowledge, attitudes and practices and monitored through surveys and peer-to-peer reviews enhances learning on where transformational change is happening. As this is critical to reducing the drivers of forest and rangeland landscape degradation, the inclusion of qualitative indicators in M&E is considered good practice.
- 213 **Lesson 9 – other:** the FAO's procedures on procurement, recruitment, requests for funding and so forth are affecting the performance of all TRI projects. This situation is creating an unfavourable image that could work against FAO securing the management of GEF8 projects to other UN agencies such as UNDP. The realisation of an induction course/webinar on FAO rules and procedures for PMU staff at the start of operations (including tips on how to reduce delays) is urgently required and considered good practice.



## **7. Appendices**

## Appendix 1. Terms of reference for the MTR

### General Description of tasks and objectives to be achieved

The assignment is linked to two different tasks: (1) the Mid-term Review (MTR) of the United Nations (FAO)'s project in São Tomé e Príncipe GCP/STP/002/GFF, and (2) the Mid-term Review (MTR) of the United Nations (FAO)'s project in Kenya GCP/KEN/090/GFF.

- 1- The purpose of the Mid-term Review (MTR) is to provide inputs to better orient the Food and Agriculture Organization of the United Nations (FAO)'s project in São Tomé e Príncipe GCP/STP/002/GFF making it more relevant to the needs of the country. The project GCP/STP/002/GFF "Landscape Restoration for Ecosystem Functionality and Climate Change Mitigation in the Republic of São Tomé e Príncipe" is part of the Restoration Initiative with the objective of promoting the restoration and sustainable management of the forest ecosystems of São Tomé and Príncipe to reduce carbon emissions from deforestation, and stop and reverse forest and soil degradation. The project is operative on both islands – São Tomé and Príncipe. The project will implement forest and landscape restoration in four priority landscapes covering a total of approx. 36,000 hectares areas of different forest and agro-forestry systems through active participation of the local communities. The project's work plan also includes income-generating initiatives based on sustainable agro-forestry, policy and advocacy work, and working with local banking and private sectors to improve the financial framework for forest restoration and agro-forestry. The project, in addition to the local benefits, will also contribute to the global environmental benefits by mitigating estimated Greenhouse Gas emissions amount of 8,034,828 tons of CO<sub>2</sub>e (direct) + 4,821,984 tons of CO<sub>2</sub>e (consequential/indirect) for a total of 12,856,752 tons of CO<sub>2</sub>e in the considered landscapes and timeframe.
- 2- The purpose of the Mid-term Review (MTR) is to provide inputs to better orient the Food and Agriculture Organization of the United Nations (FAO)'s project in Kenya GCP/KEN/090/GFF making it more relevant to the needs of the country. The project GCP/KEN/090/GFF "Restoration of arid and semi-arid lands (ASAL) of Kenya through bio-enterprise development and other incentives under The Restoration Initiative" is part of The Restoration Initiative and adopts an integrated approach to address deforestation, land degradation and biodiversity loss, targeting policy and institutional capacity while supporting community-led forest and landscape restoration (FLR) and the development of alternative livelihoods. The project's overall objective is to restore deforested and degraded lands through the FLR approach and enhance the socioeconomic development of local communities through the development of bio- enterprises of Non-Timber Forest Products and Services (NTFPS) in ASALs. Its goal is to reduce the overall proportion of degraded land by 20% in the areas covered by the project. The project aims to improve the sustainable management of 152,661 ha (through improved management plans) and directly restore 8,700 ha of deforested and degraded lands in the two targeted landscapes (Mukogodo and Mt. Kulal). This involves implementing sustainable land management practices and improving water management, which ensures long-lasting benefits from sustainable use of the land and protected biodiversity. It will also indirectly lead to the restoration of 55,352 ha of degraded lands in the pilot sites and more through consolidated legal and policy framework, increased coordination and improved knowledge on FLR.

For the assignment 1 (MTR of GCP/STP/002/GFF), the consultant will be under the direct supervision of the FAO-GEF Coordination Unit (FAO GEF CU) MTR focal point, Ms. Genevieve Braun, and the project's budget holder (BH), Mr. Helder Muteia, FAO Representative in the Sub Regional office for Central Africa (FAO SFC). The consultant is responsible for coordinating the MTR team's contribution to the MTR of GCP/STP/002/GFF "Landscape Restoration for Ecosystem Functionality and Climate Change Mitigation in the Republic of São Tomé e Príncipe" and has ultimate responsibility for ensuring the delivery of the MTR report. His/her mandate is derived from and must fully comply with the overall terms of reference of the MTR. He/She reports to the BH and to the FAO GEF CU MTR focal point.

For the assignment 2 (MTR of GCP/KEN/090/GFF), the consultant will be under the direct supervision of the FAO-GEF Coordination Unit (FAO GEF CU) MTR focal point, Ms. Genevieve Braun and the project's budget holder (BH), Amb. Carla Mucavi, FAO Representative in Kenya. The consultant is responsible for coordinating the MTR team's contribution to the MTR of GCP/KEN/090/GFF "Restoration of arid and semi-arid lands (ASAL) of Kenya through bio-enterprise development and other incentives under The Restoration Initiative" and has ultimate responsibility for ensuring the delivery of the MTR report. His/her mandate is derived from and must fully comply with the overall terms of reference of the MTR. He/She reports to the BH and to the FAO GEF CU MTR focal point.

For both assignments, the consultant will coordinate the MTR team's activities, ensure that the methodology foreseen in the terms of reference is implemented and will organize the division of labor within the MTR team according to areas of expertise.

**Specific responsibilities include for each assignment:**

- Review relevant background documentation including the project document, the project's logframe, progress and final reports, workshop and technical reports, among others as listed in the MTR terms of reference; these documents will be made available by the FAO Representation in the Sub Regional office for Central Africa (FAO SFC) and the FAO Representative for STP for the MTR of GCP/STP/002/GFF, and by the FAO Representation in Kenya for the MTR of GCP/KEN/090/GFF;
- Review and complement (expand as appropriate) the methodology described in the terms of reference, contribute to the preparation of data-collection tools, including questionnaires, checklists and interview protocols as appropriate;
- Coordinate preparation, drafting and finalization of the MTR inception report, including an MTR matrix, theory of change and stakeholder table, and participate in the finalization of the team's work programme;
- Lead and coordinate the collection of primary data by the MTR team through interviews and meetings (virtual) with relevant FAO officers in headquarters and/or in Sub Regional Office and/or national office;
- Given the sanitary situation, the country visits/meetings may not be physically possible and therefore could be done remotely with the strong support of the national consultant. The meetings will be held with key stakeholders including the government, FAO Representative, external partners, project teams, international organizations, the private sector, civil society, academia, research institutes and ultimate beneficiaries, as appropriate, as described in the terms of reference of the MTR and the inception report developed;

- Coordinate the collection of primary data by the MTR team and relevant secondary data, according to the methodology presented in the MTR terms of reference and detailed in the inception report;
- Lead the analysis and discussion of evidence collected within the MTR team to identify key findings and preliminary conclusions that respond to the MTR’s issues and questions, and formulate preliminary recommendations in line with the findings and conclusions;
- Ensure that all the findings are sufficiently triangulated and validated;
- Present the preliminary MTR findings to key stakeholders, as required;
- Lead, coordinate and prepare all deliverables planned in the MTR terms of reference, according to specifications provided in the terms of reference and detailed in the FAO-GEF MTR Guide and annexes;
- Coordinate the participation and contribution of team members in all deliverables, as required;
- Lead the preparation of the first and second drafts of the MTR report, integrate comments received, as appropriate, from the BH, FAO GEF CU, other FAO and government agency staff, and other relevant stakeholders, as appropriate;
- Lead the finalization of the MTR report and coordinate the inputs of other members of the MTR team into the final version, as needed.

In terms of reporting, or if information, advice or guidance is required from FAO by the consultant, he/she should address requests to both the RM and the FAO GEF CU focal point.

### Key performance indicators

Expected Outputs:	Required Completion Date:
<p>For the assignment 1 (MTR of GCP/STP/002/GFF)</p> <ul style="list-style-type: none"> <li>• Inception report, including MTR questions</li> <li>• Briefing on preliminary findings of the MTR following the field mission(s)</li> <li>• First draft of the report</li> <li>• Second draft of the report</li> <li>• Final MTR report, including comments matrix/audit trail</li> </ul>	<p>End of January 2022</p>
<p>For the assignment 2 (MTR of GCP/KEN/090/GFF)</p> <ul style="list-style-type: none"> <li>• Inception report, including MTR questions</li> <li>• Briefing on preliminary findings of the MTR following the field mission(s)</li> <li>• First draft of the report</li> <li>• Second draft of the report</li> <li>• Final MTR report, including comments matrix/audit trail</li> </ul>	<p>End of April 2022</p>

## Appendix 2. MTR work schedule, including field missions and reporting

Date	Hour	Action	Status	Comments
<b>Tuesday 22/02/2022</b>	10h20 – 22h00	Flight from London Heathrow to Nairobi Kenya (BA 065) – Kingfisher’s Nest Hotel, Nairobi	Not realised	Delay in visa emission; rescheduled to Thursday
<b>Thursday 24/02/2022</b>	10h20 – 22h00	Flight from London Heathrow to Nairobi Kenya (BA 065) - Glam Hotel, Nairobi	Realised	Airport taxi to hotel
<b>Friday, 25/02/2022</b>	08h30-09h00	Introductory meeting with national MTR consultants and PMU team at KEFRI Karura	Realised	KEFRI Karura Board Room
	09h00 – 10h30	Interview with Rose Akombo, National Forest and Landscape Restoration Coordinator KFS	Realised	KEFRI Karura Board Room
	11h00-12h30	Meeting with Meshack Muga (NPC), PMU Team leader; Patrick Mugi (M&E officer) and Elijah Mboko (business development officer) to discuss the itinerary and logistics	Realised	KEFRI Karura Board Room
	12h30-13h30	Courtesy call and Briefing with Ms Carla Mucavi, Resident Rep. and BH	Realised	Virtual meeting (UN Complex celebrating 50 years UNEP anniversary)
	14h00 – 15h30	Interview with Assistant Resident Rep and Finance Officer – Anne Kinyua	Rescheduled	UN complex busy. To include in schedule on 10/03/2022
	20h00-21h00	Interview with Dr. Patrick Maundu of National Museums (NMK) – LoA Mt Kulal training on FLR	Rescheduled	Not in Nairobi. To include in schedule on 09/03/2022
<b>Saturday 26/02/2022</b>	09h00 - 17h00	Coordination of work programme.	Realised	
<b>Sunday 27/02/2022</b>	09h00 – 15h00	Work on second draft report for MTR-STP	Realised	
<b>Monday, 28/02/2022</b>	09h00 – 12h00	Courtesy call to Director of KEFRI and presentation of project progress by Dr. James Ndufa, Deputy Director and team, Kenya Forestry Research Institute (Member of PSC and NFLRCC); MTR questions.	Realised	KEFRI Muguga Board Room at KEFRI’s HQ complex.

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	12h00 – 17h00	Travel to Nanyuki (TL only)	Realised	Hotel Maxoil
	14h00 – 15h30	Meeting/interview with Sam Nyamboga, CEO Acacia EPZ, on gums and resin production, marketing and research	Realised	National consultants only
	17h00-17h45	Interview with Janet Ahatho, County Director of Environment, County Government of Marsabit, responsible for FOLAREP (In Nanyuki)	Rescheduled	Security in Marsabit unstable. Interview re-planned for CEAP meeting after Mt Kulal on 04/03/22
<b>Tuesday, 01/03/2022</b>	06h30 – 13h00	Travel to Mt Kulal (TL only);  National consultants travel to Nanyuki	Realised	Travel via road from Laisamis to Mt Kulal as Marsabit unstable.  National consultants obtain UNDSS clearance
	13h30 – 14h30	Interview with the Chairman Kulal Community Forest Association	Realised	Meeting at KALRO Hall (TL only)
	14h00 – 15h00	Interview with Janet Ahatho, County Director of Environment, County Government of Marsabit, responsible for FOLAREP.	Realised	National consultants only in Nanyuki
	14h30 - 16h00	Site visits in Mt Kulal FLR nurseries, areas and NTFPS- Interview with Tree nursery Trainee Mr. Shukri Lesapicho and member of Lotoro Beekeepers	Realised	TL only
	15h30 – 16h45	Interview with Permaculture Education Garden, Likipia County	Realised	National consultants only in Nanyuki.
	16h00 – 17h00	Field visit to Forest Tree planting site and Boundary planting demo site in the core area of Mt Kulal	Realised	Guide Shukri for TL only
	17h00	Stay at Guest House, Mt Kulal (near KALRO Hall, Gatab); National consultants stay in Nanyuki	Realised	
	<b>Wednesday, 02/03/2022</b>	08h30 – 10h30	Group meeting/interview with the grassroot beneficiary group, Mt Kulal Community Forest Association/ Wazee wa mazingira	Realised
09h00 – 10h30		Interview with Joseph Lentinyoi Director Permaculture Centre- Laikipia	Realised	National consultants for FLR and NTFPS
11h00 – 17h30		TL depart Mt Kulal for Isiolo; National consultants travel to Isiolo	Realised	Hotel Transit

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<b>Thursday, 03/03/2022</b>	08h30-09h30	Travel to Leparua Conservancy	Realised	TL and NTFP consultant only
	09h00 – 11h00	Meeting/interview with Tom Lalampaa CEO and/or Richard Kasoo of the Northern Rangeland Trust supporting rangeland management plans rangeland management work that will be conducted in Il Ngwesi, and Leparua conservancies, and in Kurikuri and Makurian group ranches		National consultant for FLR only
	09h30 – 10h30	Interview with the Manager Leparua conservancy- Mr. Mohammed – Leparua Conservancy management plan.	Realised	TL and national consultant for NTFPS only. Visit to proposed ecotourism site not conducted
	10h30 – 13h00	Travel to Oldonyiro  Travel to Nanyuki	Realised	TL and national consultant for NTFPS  National consultant for FLR only
	13h00 – 14h30	Meeting/group interview with grassroot beneficiary group, NARUPA Community Conservancy, Oldonyiro	Realised	Meeting conducted at marketplace (TL and national consultant for NTFPS)
	14h00 – 15h30	Interview with Janet Ahatho, County Director of Environment, County Government of Marsabit, responsible for FOLAREP (in Nanyuki)	Realised	National consultant for FLR only
	15h00-18h00	Travel to hotel in Nanyuki	Realised	TL and national consultant for NTFPS; Hotel Maxoil
<b>Friday, 04/03/2022</b>	08h30 - 9h00	Courtesy call to County Environmental committee member – Environment/Chief Officer- Laikipia	Not realised	Chief Officer unavailable
	08h30 – 09h30	Interview with Dutch-funded project on landscape restoration	Realised	National consultant for FLR
	09h00 – 10h30	Interview with the County Director Environment, Dr. David Kingori	Realised	All MTR team
	11h00-13h00	Meeting/interview with Margaret Wambua, (IUCN Biopuma at LWF) and Stanley T. Kirimi (MKEWP) on LoAs: (i) capacity dev. of Il Ngwesi CFA on ecosystem restoration	Realised	All MRT team

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		(2021); (ii) bee-keeping and restoration of micro-catchments in CFA		
	14h00 – 15h30	Interview with Josephine Kirion, County Environmental committee member – Environment/Chief Officer, Isiolo county and Osman Bagaja, Director Environment and CC, Isiolo County.	Realised	Conducted during CEAP meeting held by the ASAL Project in Nanyuki
	15h30- 16h30	Group meeting of MTR consultants on County/inter-county needs	Realised	In hotel where CEAP meeting held in Nanyuki
	17h00	Hotel in Nanyuki	Realised	Hotel Maxoil
<b>Saturday, 05/03/2022</b>	09h00 – 17h00	Coordination on MTR preliminary findings; updating schedule; start draft report formatting; emails	Realised	Hotel Maxoil
<b>Sunday 06/03/2022</b>	14h00 – 15h00	Interview on exploring ecotourism partnership with Ol Pejeta Conservancy, Likipia	Realised	
<b>Monday, 07/03/2022</b>	09h00 – 11h00	Meeting with Grassroot beneficiary group, ILMAMUSI CFA and Management Committee responsible for undertaking rangeland/forest restoration activities	Realised	Meeting at CFA offices
	11h00- 12h00	Interview with Dupoto -Honey production group	Realised	A member trained through the Restoration Factory
	14h00 – 16h00	Visit to nursery site and FLR planned sites  Nadungoro Hay Group and visit Lekusero Tree nursery	Realised	At Nadungoro hay site
<b>Tuesday, 08/03/2022</b>	09h00 - 12h30	Meeting/group interview with grassroot beneficiary group - IIngwesi/Lekuruki conservancies (Micro catchment/Semicircular bands)	Realised	At the Micro catchment site
	14h00 – 16h00	Visit to ecotourism sites and interview with manager of the community-based Lodge in Il Ngwesi.	Cancelled	Manager not available (online interview to be considered post field mission).
	16h00	Hotel in Isiolo	Realised	Hotel Transit
<b>Wednesday, 09/03/2022</b>	08h30 – 09h30	Interview private sector reps/stakeholders linked to bio-	Realised	Tommaso Messini (in Isiolo)



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		enterprise development (gums and resins)		
	10h30 – 15h00	Return to Nairobi	Realised	
	15h30 – 16h30	Interview with Dr. Patrick Maundu of National Museums (NMK) – LoA Mt Kulal training on FLR	Realised	
	17h00	Proceed to hotel	Realised	Kingfisher’s Nest Hotel
<b>Thursday, 10/03/2022</b>	08h00-09h30	Courtesy call to interview/debrief Agnes Yobterik, Director Programmes; and Deputy Director of Programmes in MEF and GEF Focal Point Mr. Peterson Kamau	Realised	Conducted with Mr Peterson Kamau only at KEFRI Karura
	10h00 – 11h00	Interview with Husna Mbarak and/or Phillip Kisoyan FAO-KE NRM Sector Lead	Realised	Outdoors at the UN complex
	13h00-14h00	Virtual meeting with Mieke Ochieng’ of CIFOR-ICRAF	Realised	Outdoors at the UN complex
	15h00 – 16h00	Meeting with Prof James B Kung’u, Ag. Principal Mama Ngina University College (Kenyatta University) on exploring potential to development of training courses and applied research on FLR and development of NTFPS including business incubation	Realised	Conducted at new camps in Gatundu
	18h30 – 20h30	Prepare debriefing presentation	Realised	Hotel Kingfisher’s Nest
<b>Friday 11/03/2022</b>	09h00 – 10h00	Meeting Victoria Luque Panadero and John Robinson, UNEP (representatives for the TRI Tana Delta Project) and Dr Paul Matiku, Executive Director and Rudolf Makhanu, Project Coordinator, of Nature Kenya (implementing partner)	Realised	UN Complex (Victoria only available to 09h30). TL only. Aim: determine how far each TRI project is learning from each other on (land-use planning, SMEs, M&E, knowledge management and communication, and links with TRI’s GCP.
	10h30-11h15	Interview with Assistant Resident Rep and Finance Officer – Anne Kinyua	Realised	UN complex (TL only)
	11h30 - 12h30	Debriefing with BH, Mrs C Mucavi, NRM Sub-programme leads and	Realised	UN complex

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		PMU Team on preliminary findings and next steps		
	12h45 - 13h30	Discussions with PMU Team on preliminary finding and filling in of any gaps	Realised	UN complex or KEFRI Karura Board Room
	13h30 – 14h30	Courtesy call/debriefing with Chief Conservator and Rose Akombo, National FLR Coordinator, KFS	Rescheduled to 15/03/2022	KFS building (conducted by Robinson Ng’ethe)
	15h00-16h00	Debriefing with Dr. Ndufa and KEFRI team	Cancelled	To be covered in the online debriefing planned for early April 2022.
	16h00 – 17h00	Meeting with IUCN on TRI coordination and potential exchanges, ROAM, M&E, knowledge management and communications (including with TRI’s GCP)	Cancelled	Wassa Rd (Esaro). PMU confirmed no work has been conducted directly with IUCN
<b>Saturday 12/03/2022</b>	00h20 – 06h30	Return to London, UK, on BA 064	Realised	
<b>Tuesday 15/03/2022</b>	09h00 – 10h00	Courtesy call/debriefing with Chief Conservator and Rose Akombo, National FLR Coordinator, KFS	Realised	Conducted by national consultant Robinson Ng’ethe and minutes submitted by e-mail to TL
<b>Monday, 21/03/2022 to Friday 25/03/2022</b>	06h00 – 16h00	Robinson Ng’ethe field visit to the KEFRI Regional Sub-centre in Rumuruti (Laikipia County) and to MKBR (Marsabit County).	Realised	Rescheduled to these dates because UNDSS did not provide clearance to accompany TL on 01/03/2022.

### Appendix 3. Table 6 - List of stakeholders prioritised for interview

Key stakeholders	Role in the project	Reason for their inclusion/ exclusion from the MTR	Priority for MTR 1 = essential 2 = desirable 3 = complementary	How and when should they be involved in the MTR (Desk &/or Field Phase)
<b>1. Active stakeholders with direct responsibility for the project, e.g. FAO, project management</b>				
<b>FAO-R</b>				
FAO-R	Name: Mr Benjamin de Ridder Position: Chief Technical Advisor (CTA)	In close coordination with national PM, LTO, national/provincial experts, the CTA provides overall technical support for project implementation (annual work plan formulation, progress reporting, compiling guidelines, field implementation, M&E, etc.	1	<b>Preliminary Interview</b> Date: 10 February 2022 Time: 13:45 (Italy) 12:45 (UK)
FAO-R	Name: Ms. Paola Palestini Position: Funding Liaison Officer (FLO), GEF Coordination Unit, FAO	FLO reviews and approves project progress reports, implementation reviews and financial reports, including budget revisions. FLO also participates in the mid-term reviews, final evaluations, and the development of corrective actions in the project implementation strategy.	1	<b>Desk Phase (Rome)</b> Date: 16 February 2022 Time: 10:00 (Italy) 09:00 (UK)
FAO-R	Name: Mr. Christophe Besacier Position: Lead Technical Officer (LTO)	LTO provides technical advice and backstopping to the project and monitor and certify the technical quality of the PMU's operations.	1	<b>Desk Phase (Rome)</b> Date: 21 February 2022 Time: 16:00 (Italy) 15:00 (UK)
FAO-Kenya	Name: Amb. Carla Mucavi Position: Budget Holder (BH), FAO	Responsible for timely operational, administrative and financial management of the GEF project resources	1	<b>Field Phase (Nairobi)</b> Date: Friday 25 February 2022 Time: 12.30 PM
FAO-Kenya	Name: Position: Finance Officer	Responsible for all FAO programmes and projects in Kenya	1	<b>Field Phase (Nairobi)</b> Date: Thursday 10 March 2022 Time: 09:00

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FAO-Ken	Name: Husna Mbarak/Phillip Kisoyan  Position: NRM Sector Lead	This is the head of the Natural resource management sub programme in FAO and is responsible for overall management of the sector and GEF projects	1	<b>Field Phase (Nairobi)</b> Date: Thursday 10 March 2022 Time: 12.00 PM
<b>Project management coordination team in FAO Kenya</b>				
Project Management Unit	Name: Meshack Muga  Position: Project Manager (PM)	PM supports the BH in the supervision of financial management, project progress, procurement and contracting processes, and in the provision of technical guidance to the project, in close consultation with the LTO and CTA.	1	<b>Field Phase (Nairobi)</b> Date: Friday 25 February  Time: 08:30 AM (introduction) and after KFS from 11:00-13:00
	Name: Patrick Mugi  Position: Project M&E Officer	Project management team responsible for supervision of project planning, monitoring of project progress and in the provision of technical guidance to the project, in close consultation with the project coordinator		
	Name: Elijah Mboko  Position: Business development officer	Project management team responsible for supervision of project planning, monitoring of project progress and in the provision of technical guidance to the project, in close consultation with the project coordinator		
<b>Project management staff and stakeholders in the field</b> <sup>28</sup>				
Kenya Forest service	Name: Rose Akombo Position: National Forest and Landscape Restoration Coordinator	Executing partner involved for Mukogodo Forest and also for the work to be conducted on restoration policies as part of component 1 and finance as part of component 3	1	<b>Field Phase (Nairobi)</b> Date: Friday 25 <sup>th</sup> February 2022 Time: 09.30 AM
Kenya Forestry Research institute	Name: James Ndufa  Position: Deputy Director	KEFRI plays a lead role in the execution of project activities as well as the day-to-day monitoring. KEFRI is engaged in project oversight (Steering Committee) and provides technical inputs (focal point liaising with the Project Management Unit) as well as implementing project activities (LOAs)	1	<b>Field Phase (Nairobi)</b> Date: Monday 28 February 2022 Time: 09.00 PM
Project site: Local partner	Name: Tom Lalampaa	An executing partner regarding rangeland management work that will be conducted in	1	<b>Field Phase (Mukogodo)</b> Date: Thursday 03 March 2022

<sup>28</sup> The district criteria is not very relevant in STP because of the tiny size of the country, the main geographic divide is between the two Islands Sao Tomé (ST) and Príncipe (PR)

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Northern Rangeland Trust	Position: CEO	Lekurruki, Il Ngwesi, Oldonyiro, and Leparua conservancies, and also in Kurikuri and Makurian group ranches; Member of the PSC and the county steering committees		Time: 10.00 PM
Project site: Local partner Laikipia Wildlife forum	Name: Peter Hertz Position: Director LWF	Executing partner involved in the institutional support to Mukogodo CFA and rangeland restoration Member of the PSC and the county steering committees	1	<b>Field Phase (Mukogodo)</b> Date: Friday 04 March 2022 Time: 10.30 AM
Project site: Business development consultant	Name: Tommasso Menini Position: African Agency for Arid Resources Limited Founder and Managing Director FAO Kenya National Consultant	Undertook 2 consultancies on: Gender Based Value Chain Analysis of Non-Timber Forest Products and Services in Mt. Kulal, Mukogodo Forest and Kirisa Forest Ecosystem Bio-enterprise development in Mukogodo and Mt. Kulal Landscapes	2	<b>Field Phase (Mukogodo)</b> Date: Wednesday 09 March 2022 Time: 08.30AM
National Museums of Kenya	Name: Patrick Maundu, Position: Ethnobotanist Head NMK	Executing partner involved Mt. Kulal building the capacity of the CFA and developing of the Mt Kulal management plan	1	<b>Field Phase (Nairobi)</b> Date: Wednesday 09 March 2022 Time: 15.30 PM
<b>2. Active stakeholders with authority to make decisions on the project, e.g. members of the PSC (national level)</b>				
County Government of Marsabit	Name: Janet Ahatho Position: County Director of Environment, Marsabit	Involved and associated to all activities performed in the field through their County Environment Committee (CEC)	2	<b>Field Phase (Isiolo)</b> Date: Thursday 03 March 2022 Time: 14.30 PM
County Government of Laikipia	Name: Dr. David Kingori Position County Director Environment, Laikipia	Represent the interests of key project stakeholders at the county level Review and endorse county work plans, ensure consistency with county development plans; Ensure linkages and provide recommendations to the PSC	2	<b>Field Phase (Nanyuki, Laikipia)</b> Date: Friday 04 March 2022 Time: 9.00 AM
County Government of Isiolo	Name: Osman Bagaja Position: County Director of Environment, Isiolo		2	<b>Field Phase (Nanyuki, Laikipia)</b> Date: Friday 04 March 2022 Time: 14.00 PM

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County Environmental Committee	Josephine Kirion, CEC member, Isiolo county	Member of the CEC that must approve county investment decisions on supporting and upscaling FLR in Isiolo County	2	<b>Field Phase (Nanyuki, Laikipia)</b> Date: Friday 04 March 2022 Time: 14:00 PM
Ministry (Executing agency), Ministry of Environment and Forestry	Name: Mr. Peterson Kamau  Position: Director Programmes/ GEF focal point	The Ministry supports institutional coordination contributing to inter-sectoral planning. The Project Steering Committee and the National FLR Platform The institutional anchor of the project and Chair of the Project steering committee.	1	<b>Field Phase (Nairobi)</b> Date: Thursday 10 March 2022 Time: 12.00 AM
<b>3. Stakeholders at grassroots level who benefit directly or indirectly from the intervention (gender disaggregated where possible)*</b>				
Project site: Grassroot beneficiary group/ community <b>Mt Kulal Community forest association/ Wazee wa mazingira</b>	Name: Ogong Christopher taita  Position: CFA Chairman	Represent the key interests of the community in in Mt. Kulal landscapes and have been supported by the project to register and develop the Mt. Kulal Management plan	2	<b>Field Phase (Mt Kulal/Marsabit)</b> Date: Tuesday 01 March 2022  Time: 13.30 PM
Project site: Grassroot beneficiary group/ community <b>NARUPA Community Conservancy/ Oldonyiro</b>	Name: James Lempere  Position: Manager Conservancy	Represent the key interests of the community in rangelands or landscapes surrounding the Mukogodo forest and have been supported by FAO to undertake rangeland rehabilitation	2	<b>Field Phase (Isiolo)</b> Date: Tuesday 08 March 2022 Time: 2.00PM
Project site: Grassroot beneficiary group/ community <b>ILMAMUSI CFA/ Management Committee</b>	Name: Lestan Kimeri/ Wilfred  Position: Manager CFA/ Chairman	Represent the key interests of the community in the project site of Mukogodo landscape and are crucial in Sustainable and participatory management of the forest resources. They have been supported by the project to undertake restoration activities	2	<b>Field Phase (Mukogodo)</b> Date: Monday 07 March 2022  Time: to be confirmed
<b>4. Secondary stakeholders (only indirectly or temporarily affected)</b>				
None identified			3	

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5. Stakeholders at grassroots level who do not benefit from the intervention (gender disaggregated where possible)				
None identified			3	
6. Other interest groups that are not participating directly in the intervention, e.g. UN/other agencies working in the area, civil-society organizations				
Private sector	Name: Sam Nyamboga Position: CEO Acacia EPZ	Acacia EPZ has signed partnership agreement with Self Help Africa (AgriFI Challenge Fund) aimed at "Increasing Employment and Economic Opportunities for the communities in Kenya's ASAL Counties through Unlocking their Gums potential". (incl. KEFRI and KFS).	2	<b>Field phase (Nairobi)</b> Date: 28 February 2022  Time: 15:00 PM
IUCN/ Biopama implemented by LWF	Name: Margeret Wambua Position: Grants manager	Supported rapid response grant project supporting rangers with for communication equipment and capacity building on Earth ranger which is a monitoring system used by different stakeholders in Laikipia eg to monitor Human wildlife conflicts/ illegal logging etc. This data is also used by KFS and KEFRI	2	<b>Field Phase (Mukogodo)</b> Date: Friday 04 March 2022  Time: 10.30 AM
World Vision	Name: Dr. Charles Odhiambo/ Emily Ouko Position: World Vision Project Coordinator	In collaboration with the project they are Involved in supporting the counties in the developing the County Environmental action plans (CEAPs) to entrench FLR in the county Integrated development plans	2	<b>Field Phase (Nanyuki)</b> Date: Monday 07 March 2022  Time: 16.00 PM
Small grant programme of the UNDP	Name: Peterson Kamau Position: Deputy Director programmes, MEF	Supporting Community initiatives in ecosystem restoration through provision of small grants and capacity	2	<b>Field Phase (Nairobi)</b> Date: Thursday 10 March 2022 Time: 13.00 PM
Mama Ngina University College (linked to the the University of Nairobi)	Name: Prof. James B. Kung'u Position: Ag. Principal	The ASAL project has not explored linking up with academia to promote applied research and training on FLR/NTFPS to support MEF/KEFRI/KFS enhance the sustainability of TRI	2	<b>Field phase (Nairobi)</b> Date: 10 March 2022 Time: 15:00
UNEP and Nature Kenya	Name: Victoria Luque Panadero (UNEP), Dr Paul Matiku and Rudolf Makhanu (NK) Position: UNEP Project coordinator; NK Executive	The ASAL Project and the Tana Delta Project are both funded by GEF under TRI and are fully engaged in supporting FLR in the ASAL region of Kenya	1	<b>Field Phase (Nairobi/UNEP HQ)</b> Date: 11 March 2022 Time: 09:00

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	Director; Tana Delta Project Coordinator			
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\*Interviews grouped as follows: 1) with FAO staff, then 2) Project Management Unit staff, then 3) project management field staff, then 4) grassroots CSOs and local communities at county level (national consultant will be delegated do some/all of these and then to report back to the international consultant who may/may not visit the country according to the latest situation on the COVID-19 pandemic), then 5) research centres/universities, indirect stakeholders, etc.

\*\* Stakeholder groups 3 and 4 listed in the FAO MTR reporting guidelines have been interchanged to reflect the three main groups of direct beneficiaries, followed by indirect beneficiaries in groups 4-6, who are complementary for interview if time allows.

Confirmed	Did not take place	Did not attend meeting/interview
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## Appendix 4. MTR evaluation matrix (questions for selected stakeholders)

UNEG/GEF Criteria	Questions and sub questions	Indicators and judgement criteria	Sources of information/ methods of enquiry
<b>1. RELEVANCE</b>			
<b>1.1 Alignment &amp; ownership at national level</b>	<b>1. (FAO/national partner) + Triangulate with national stakeholders if required:</b> <i>Are project outcomes still congruent with country priorities linked to forestry, planning and sector development and/or have new/reformed policies, plans, programmes affected the relevance of the NCP?</i>	Level of project alignment to relevant national, sector and cross-cutting policies and plans <b>Judgement criteria:</b> 1.1.1 The Prodoc still conforms with current national government development/sector policies, strategies and plans (especially linked to land-use, forestry, agriculture and other relevant sectors) 1.1.2 national government continues to show willingness to support and provide resources for FLR and reforms to integrate FLR, SFM, PES, development of NTFPS (with a gender focus).	1) Prodoc 2) National Development/Forestry Plans 3) NBCSAP/NDCs for STP 4) National sector policies, strategies and plans 5) National statistics (if available) 7) TRI/NCP-ASAL - ToC 8) Responses to interviews online/in Kenya
<b>1.2 Alignment and ownership at sub-national level</b>	<b>2. (FAO/national partner) + Triangulate with sub-national stakeholders and beneficiary communities if required:</b> <i>Does the project continue to respond to local needs of forestry department at the sub-national (county) level and local communities in the project intervention areas?</i>	Level of alignment with sub national policy framework, regulations, and guidelines and current needs of local communities. <b>Judgement criteria:</b> 1.2.1 Prodoc still conforms with current national/county government development/sector policies, strategies and plans (and have been coordinated with the FOLAREP)? 1.2.2 Prodoc still conforms with the needs assessments conducted at the start of the project in the beneficiary communities; 1.2.3 Prodoc still confirms with market studies concerning the development of NTFPS	1) Prodoc 2) District Development/Forestry management plans; 3) NCP-ASAL needs assessments 4) Sub-national statistics on forestry, carbon sinks, biodiversity, NTFPS, etc.; 5) Responses to interviews online/in Kenya

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<p><b>1.3 Alignment with GEF/FAO priorities</b></p>	<p><b>3. (FAO):</b> <i>Does the project remain fully aligned to GEF and FAO priorities and objectives?</i></p>	<p>Level of alignment with GEF-6 and FAO priorities and objectives  <b>Judgement criteria:</b>  1.3.1 Level of alignment with focal areas BD-4-P9 <i>Managing the Human-Biodiversity Interface</i>; CC-2-P4 <i>Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture</i>; LD-2-P3 <i>Landscape Management and Restoration</i>; LD-3-P4 <i>Scaling-up sustainable land management through the Landscape Approach</i>;  1.3.2 Level of alignment with FAO's Strategic Objective 2 (SO2): <i>Make agriculture, forestry and fisheries more productive and sustainable</i>;  1.3.3 Level of alignment with CPF priorities (if available).  1.3.4 Level of alignment with GEF/FAO priorities on Gender, human rights and FPIC of ethnic minorities/indigenous peoples  1.3.5 Evidence GEF Focal areas are tracked in the SNMFP/internal monitoring system of NCP-ASAL</p>	<ol style="list-style-type: none"> <li>1) Prodoc</li> <li>2) Strategic documents of GEF6 and FAO (Our Priorities - Strategic Objectives), CPF (if available);</li> <li>3) PIR/PPRs</li> <li>4) M&amp;E reports</li> <li>5) Responses to interviews online/in Kenya</li> </ol>
<p><b>1.4 Alignment with wider international goals and targets</b></p>	<p><b>4. (FAO):</b> <i>Does the project design enable monitoring of project contributions in relation to targets for relevant SDGs, Aichi Targets, NDCs, Bonn Challenge pledges?</i></p>	<p>Level of alignment with indicators and targets linked to relevant SDGs, Aichi Targets, NDCs  <b>Judgement criteria:</b>  1.4.1 Evidence of alignment with/monitoring of relevant targets under SDGs 1 (poverty), 5 (gender), 13 (climate change), 15 (life on land) and 17 (Partnerships);  1.4.2 Evidence of alignment with/monitoring of relevant Aichi Targets 5 (loss of forest habitats at least halved, and degradation and fragmentation is significantly reduced), 14 (ecosystems restored taking into account needs of women) and 15 (ecosystem resilience and the contribution of biodiversity to carbon stocks enhanced);  1.4.3 Evidence of alignment with/monitoring of specific targets in the NDCs linked to mitigation and adaptation in the forestry/grassland sector;  1.4.4. Evidence of alignment with/monitoring of national pledges under the Bonn Challenge 2030 and any other relevant initiatives on reducing carbon emissions (such as application of MRV under REDD+ Readiness to determine carbon inventories)</p>	<ol style="list-style-type: none"> <li>1) Prodoc</li> <li>2) Progress reports</li> <li>3) M&amp;E reports</li> <li>4) Responses to interviews online/in Kenya</li> </ol>

2. EFFECTIVENESS			
<p><b>2.1 Component 1 - Policy Development and Integration</b></p>	<p><b>5. (All main stakeholders) + triangulation in the field:</b>  <i>To what extent has the project delivered planned outputs/targets to meet <b>Outcome 1</b> - The national and county level policy and regulatory frameworks are strengthened to support forest and landscape restoration in Kenya?</i></p>	<p>Level of achievement of outcome 1.1:  <b>Judgement criteria:</b>                      1.1.1 An FLR strategy and plan (FOLAREP) has been identified/agreed/adopted with a roadmap and a monitoring framework to bridge the FLR gaps in the policy framework;                      1.1.2. Policy Influencing Plan has been identified/agreed/adopted to implement FOLAREP through intersectoral partnerships at county level and incorporating “domesticated” FLR practices and principles from other countries;                      1.1.3. Policy framework for management and utilization of Non-Timber Forest Products and Services (NTFPS) has been identified/agreed/adopted.                      1.1.4 Degree of satisfaction/ownership of stakeholders and local communities with the FLR process applied so far and main gaps that remain                      1.1.5 Estimated projections on GEBs so far (e.g. estimated carbon sequestration in tCO<sub>2</sub>e over 20 years compared to Prodoc target)</p>	<p>1) ToC                      2) Prodoc                      3) Progress reports (PIR/PPR)                      3) GAP analysis and other relevant project assessments                      4) National policy, strategy and planning documents, legal documents, regulations                      5) Interviews with main stakeholders</p>

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<p><b>2.2 Component 2 - Implementation of Restoration Programs and Complementary Activities</b></p>	<p><b>6. (Sub-national stakeholders/communities) + triangulation in the field:</b> <i>To what extent has the project delivered planned outputs/targets to meet <b>Outcome 2</b> - 152,661 ha are under improved land management (including 8,700 ha directly restored and 55,352 ha indirectly restored)?</i></p>	<p>No of hectares under FLR management plans against the target of 152,661 ha under improved land management of which 8,700 ha under FLR and 55,352 indirectly restored(to 28 February 2022):</p> <p><b>Judgement criteria:</b></p> <p>2.2.1 Ecosystem services have been assessed and characterized and land use and land cover changes in selected forests and rangelands identified</p> <p>2.2.2 Management Plan for FLR in Mt. Kulal landscape (MKBR and buffer zones) identified/agreed/ adopted and under implementation</p> <p>2.2.3 Management plans for FLR in Mukogodo landscape at the conservancies of Illngwesi (9,470 ha), Oldonyiro (52,500 ha) and Leparua (34,200 ha) + Mukogodo ILMAMUSI CFA (30,189 ha), and group ranches at Kurikuri (3,340 ha) and Makurian (5,390 ha) identified/agreed/adopted and under implementation.</p> <p>2.2.4 No. of hectares of forest and grassland landscapes restored and quality of the restoration is deemed satisfactory by beneficiaries interviewed</p> <p>No. of households/communities engaged in NTFPS</p> <p><b>Judgement criteria:</b></p> <p>2.2.5 Value chains/market analysis completed on NTFPS that are economically viable for support and development</p> <p>2.2.6 No. of bio-enterprises established and received training to operate;</p> <p>2.2.7 No. of households/communities participating in the production of NTFPS in the project intervention sites against target in Prodoc (8,120 households)</p> <p>2.2.3 Degree of satisfaction/ownership of stakeholders and local communities with the above activities so far and main gaps that remain.</p>	<ol style="list-style-type: none"> <li>1) Progress reports (PIR/PPR)</li> <li>2) Forestry plans and regulations;</li> <li>3) Technical documents</li> <li>4) Procurement documents</li> <li>4) Interviews with stakeholders</li> <li>5) Site visits</li> </ol>
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<p><b>2.3 Component 3 - Strengthening institutions finance and upscaling of FLR</b></p>	<p><b>7. (To national stakeholders) + triangulation in the field:</b> <i>To what extent has the project delivered planned outputs to meet <b>Outcome 3</b> - Strengthened institutional capacities and financing arrangements are in place and facilitate large scale restoration and maintenance of critical landscapes?</i></p>	<p>No. of people trained on the concepts, principles and practices of FLR, ecosystem services and their total economic value (TEV) and FLR finance in STP:  <b>Judgement criteria:</b>                  2.3.1 No. of stakeholders trained on FLR approaches, ROAM/GIS mapping and resource mapping, ANR, SFM/SLM, conducting TEV assessments of ecosystem services, PES and on FLR financial instruments (including REDD+, Green Climate Fund, Voluntary Carbon Markets)                  2.3.2 No. of committees/associations trained in all aspects of FLR management (on group dynamics, leadership, finance management, conflict management and records keeping, etc.) at county and national levels                  2.3.3 No of committees on FLR established/strengthened at the county and national levels;                  2.3.4 No of stakeholders trained on accessing new credit lines for:                  a) FLR-related actions; b) SMEs for NTFPS; c) developing eco-tourism;                  2.3.5 No. of public-private partnerships established for NTFPS and ecotourism initiatives and/or on their upscaling?                  2.3.6 Degree of satisfaction of national and county actors applying the bio-enterprises, ecotourism initiatives and id. gaps that remain</p>	<ol style="list-style-type: none"> <li>1) Progress reports (PIR/PPR)</li> <li>2) Prodoc Results Matrix</li> <li>3) Capacity assessment reports and capacity development plans</li> <li>4) FLR consultant reports</li> <li>5) Assessments, studies and reviews conducted on NTFPS</li> <li>6) NTFP project proposals</li> <li>7) Training evaluation sheets</li> <li>8) Interviews with stakeholders and end beneficiaries;</li> </ol>
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<p><b>2.4 Component 4 - Knowledge, partnerships, monitoring and assessment and linkages with GCP</b></p>	<p><b>8. (FAO and national and sub-national stakeholders) + triangulation in the field:</b> <i>To what extent has the project delivered planned outputs to meet <b>Outcome 4</b> - Improved FLR monitoring, reporting and knowledge dissemination at national level (including for the NCP)?</i></p> <p><i>Lessons learned and best practices from the NCP-ASAL and the TRI network disseminated among relevant audiences</i></p>	<p>No. of people trained to operate and maintain the knowledge management system and communication strategy</p> <p><b>Judgement criteria:</b></p> <p>2.4.1 Progress in mapping local knowledge and practices</p> <p>2.4.2 No. of institutions identified to form the NFLRCC and participate in the NFLRTWG</p> <p>2.4.3 No. of committee/association meetings that have taken place at all levels;</p> <p>2.4.4 Progress in adopting and applying the communication strategy and plan</p> <p>2.4.5 No. of knowledge documents disseminated in the country, to TRI's GCP, and to national partners of TRI and/or at global level.</p> <p>2.4.6 No of communications from TRI's GCP to the ASAL Project (webinars, seminars, international workshops, exchanges, etc.).</p> <p>2.4.7 Degree to which stakeholders and beneficiaries are happy with the communications from the project</p>	<p>1) Progress reports (PIR/PPR)</p> <p>2) Monitoring reports and data</p> <p>3) ASAL Project and TRI communications and documents</p> <p>4) Internal M&amp;E reports on results</p> <p>5) Interviews with stakeholders</p>
<p><b>3. EFFICIENCY</b></p>			
<p><b>3.1 - Efficiency of project implementation</b></p>	<p><b>9. (To FAO national partners and county governments):</b> <i>To what extent has the project's four main components been implemented in a timely manner in relation to plan?</i></p> <p><i>PMU: please provide estimates of the level of physical implementation for each component (broken down by main outputs) to 28 February 2022 using the tables provided by the MTR</i></p>	<p>Level of physical implementation against plan to 28/02//2022</p> <p><b>Judgement criteria:</b></p> <p>3.1.1 PSC (and NFLRCC) are providing guidance and oversight in timely, efficient and effective manner as planned?</p> <p>3.1.2 MEF/KEFRI/KFS are fulfilling their roles as the executing agency as foreseen in the Prodoc</p> <p>3.1.3 The PMU demonstrates DEX is an efficient way to implement the project (compared to other methods such as Operational Partner's Implementation Modality - OPIM)</p> <p>3.1.4 Level to which physical progress has been affected by external factors/risks in particular the effect of the COVID-19 pandemic on operations, exchanges, events, etc.</p>	<p>1) Progress and annual reports;</p> <p>2) Technical reports</p> <p>3) Follow-up interviews (if required) with PMU staff and PSC members, MEF/KEFRI/KFS</p>

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<p><b>3.2 – Co-finance and synergies to enhance efficiency</b></p>	<p><b>10. (To FAO and co-financing partners):</b> <i>Is the level of co-finance foreseen in the Prodoc flowing as planned to support the project's implementation?</i></p> <p><i>Please provide estimated level of in-kind and cash contributions to the project by MAFRD and through agreements/synergies established with PRSP/World Bank and PAPAC/IFAD (by components 1-4) to 31 October 2021 using the table provided by the MTR.</i></p>	<p>Level of co-finance spent against planned expenditure in the Prodoc (USD 12,500,000) to 28/02/2022</p> <p><b>Judgement criteria:</b></p> <p>3.2.1 Assessment of expenditure in-kind and cash provided by KEFRI: through (i) WaTER project (USD 500,000); (ii) CADEP-SFM project: (USD 4,000,000); (iii) Integrated program to build resilience to CC and adaptive capacity of vulnerable communities in Kenya: USD (USD 2,000,000); by FAO: (iv) Land Programme (USD 4,300,000); (v) RAELOC (USD 1,700,000).</p> <p>3.2.2 Level to which co-finance has shortfalls in expenditure;</p> <p>3.2.3 Level to which physical progress has been affected by external factors/risks in particular the effect of the COVID-19 pandemic</p>	<ol style="list-style-type: none"> <li>1) Progress and annual reports;</li> <li>2) Financial budgets and expenditure reports</li> <li>3) Official agreements between MEF, ASAL and local partners</li> <li>4) Interviews with PMU, MEF/KEFRI/KFS and other stakeholders</li> </ol>
<p><b>3.3 – Cost effectiveness</b></p>	<p><b>11. (To FAO-STP and national partners):</b> <i>To what extent is the ASAL Project delivering a satisfactory level of cost-effectiveness (in particular the cost per hectare to apply FLR-activities and number of direct households benefitting from these activities in relation to total expenditure to 20/02/2022)?</i></p>	<p>Level of expenditure against implementation of FLR/NTFP and ecotourism initiatives show degree to which unit costs are satisfactory to 28/02/2022.</p> <p><b>Judgement criteria:</b></p> <p>3.3.3 Assessment of average cost to apply FLR against number of hectares achieved;</p> <p>3.3.4 Assessment of average cost to apply FLR against total number of direct beneficiaries to 28/02/2022 (in line or better than planned);</p> <p>3.3.5 No. of joint initiatives/synergies delivering cost-effectiveness in applying FLR/NTFPS, ecotourism;</p> <p>3.3.6 Evidence that the application of lessons learned/good practices on FLR/NTFPS/ecotourism initiatives have contributed to improving cost-effectiveness</p>	<ol style="list-style-type: none"> <li>1) Progress and annual reports;</li> <li>2) Financial budgets and expenditure reports</li> <li>3) Official agreements between MEF, ASAL and local partners</li> <li>4) Interviews with main stakeholders and end beneficiaries</li> </ol>
<p><b>4. Sustainability:</b></p>			

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<p><b>4.1 - sustaining project actions and results</b></p>	<p><b>12. (To FAO-STP and national/sub-national stakeholders):</b> <i>What is the likelihood that the project's main actions and results (including implementation of bio-enterprises/ecotourism) will be sustained after the ASAL Project has ended?</i></p>	<p>No. of project inputs (training), outputs and outcomes where public, private, non-governmental, or community-based support is likely to continue after the project</p> <p><b>Judgement criteria</b></p> <p>4.1.1 Evidence that main partners have introduced policy, legal and institutional framework to support long-term access to local partnerships to operate, maintain, up-scale FLR actions, development of NTFPS and bio-enterprises and ecotourism;</p> <p>4.1.2 Evidence the NFLRSC/NFLRCC/NFLTWTWG will become permanent to support the maintenance and upscaling of FLR/NTFPS</p> <p>4.1.3 Evidence MEF/KEFRI/KFS will retain capacity and funding to monitor FLR and GEBs such as carbon sequestration, water resources, soil quality, etc.</p> <p>4.1.4) Evidence FAO/UNEP/UNDP coordinating on access to climate and ecological funding (especially under GEF, REDD+, Climate Investment Funds).</p> <p>4.15) Evidence of local partnerships with capacity and resources to o continue to apply/expand FLR, develop NTFPS and bio-enterprises</p>	<p>1) Progress reports 2) Monitoring and annual reports 3) Technical reports 4) interviews with PMU and key stakeholders at national and sub-national levels</p>
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<p><b>4.2 - risks to sustainability of project actions and results</b></p>	<p><b>13. (To FAO and PSC members):</b> <i>What are the main external risks (socio-political, institutional, financial, fiduciary, security, climatic, environmental, health-related, etc.) that are likely to affect the sustainability of the ASAL Project's results and benefits and are they being mitigated effectively?</i></p>	<p>Risk management is fully integrated and applied in FLR plans and actions and in NTFP/ecotourism development to enhance both sustainability and resilience of the forests/rangelands and their communities at the project sites</p> <p><b>Judgement criteria:</b></p> <p>4.2.1 Evidence that current high/medium external risks that pose a threat to sustaining the project's main outputs and outcomes have been attended to with appropriate and realistic mitigation measures - in particular continuation of key public services, funding mechanisms for FLR, synergies and partnerships established</p> <p>4.2.2 Evidence effective law enforcement is in place to deter illegal activities and corruption in the MKBR, Mukogodo rangelands</p> <p>4.2.3 Data from the M&amp;E and Knowledge management remains reliable and supports decision making on FLR, adaptation and mitigation to CC, water and soil management, ecosystem services</p> <p>4.2.4 MEF/KEFRI/KFS/County Governments establish long-term funding to retain/improve capacity on FLR management, monitoring, reporting and verification (MRV) on GEBs, including carbon inventories (coordinated with REDD+ readiness).</p> <p>4.2.5 Interviews provide proposals on how to improve the application of risk management in FLR planning and monitoring</p>	<ol style="list-style-type: none"> <li>1) Prodoc</li> <li>2) Work plans and progress/annual reports;</li> <li>3) Technical, training and workshop reports;</li> <li>4) Internal M&amp;E reports</li> <li>5) Project communications</li> <li>6) Group and individual interviews of government and local community stakeholders</li> </ol>
<p><b>4.3 – Replication/scaling up of FLR in STP</b></p>	<p><b>14. (To FAO and national/sub-national stakeholders):</b> <i>How far is FLR, SFM/SLM, PES and development of NTFPS being replicated inside/outside of the project intervention sites (in particular through partnerships involving national/local authorities, follow-on farmers and the private sector) and are there any important lessons and good practices are supporting the replication process?</i></p>	<p>Level of replication of project actions and good practices inside/outside the project sites to 28/02/2022</p> <p><b>Judgement criteria:</b></p> <p>4.4.1 Forest monitoring data provides evidence that FLR practices are expanding;</p> <p>4.4.2 Evidence from interviews and site visits of follow-on farmers, private enterprise, investing in new FLR practices and/or developing NTFPS</p> <p>4.4.3 Interviews with DFB and other government stakeholders confirm commitments to replicating FLR in new sites after the project.</p>	<ol style="list-style-type: none"> <li>1) Prodoc</li> <li>2) Work plans and progress/annual reports;</li> <li>3) Project's Exit strategy</li> <li>4) Forestry Department monitoring and reporting on FLR/SFM through the target provinces and elsewhere in Pakistan</li> <li>4) Interviews with PMU, TRI and Forestry</li> </ol>

**5. Potential impact of the project over the long-term (to Agenda 2030)**

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<p><b>5.1 Likelihood of positive impact - meeting of the project's development objective</b></p>	<p><b>15. (To FAO-STP, National PSC members):</b> <i>What is the likelihood the ASAL Project will have a positive impact at the national level on instigating transformational change towards sustainable and resilient development in which FLR is recognised as a major theme in the ASAL region as well as in other ecological regions – including mangrove forests covered by the other TRI project in Kenya?</i></p>	<p>No. of positive developments that provides evidence the ASAL Project is on track to meet development objective before 2030?  <b>Judgement criteria:</b>          6.1.1 Evidence that lessons are being learned and risks managed to meet objectives (especially in relation to: decision/policy makers, engaging the public, private and non-governmental sectors, local community organisations)          6.1.2 Project's exit strategy has been defined clarifying the roles of main stakeholders and FAO in the post-project era of TRI</p>	<p>1) Progress reports          2) TRI global project progress and annual reports          3) Interviews</p>
<p><b>6 Factors affecting performance</b></p>			
<p><b>6.1 - Project design</b></p>	<p><b>16. (To FAO-STP and PSC members):</b> <i>Is the project's budget and intervention logic clear, coherent and in line with current needs of the country/counties, or are there aspects of the project design that are out of date/unrealistic that have affected/will affect performance and need adjusting?</i></p>	<p>No. of areas where the project design has gaps/shortcomings that are impeding the delivery of results/meeting of objectives  <b>Judgement criteria:</b>          6.1.1 Degree to which project's causal logic (results matrix) is coherent, clear and realistic in the current context and timeframe?          6.1.2 The allocation of resources in the Prodoc is sufficient to cover all the actions proposed under components 1-4?          6.1.3 The selection of the project sites and target communities is feasible according to the resources available and logistics required to get to the project sites in the ASAL region          6.1.4 Prodoc is clear on how national and local stakeholders will take over the ownership of project actions and results in the timeframe allocated?</p>	<p>1) Prodoc/RM;          2) ToC          3) Progress reports;          4) Interviews with FAO staff, main stakeholders, and follow-up interviews with end beneficiaries</p>

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<p><b>6.2 – Quality of execution and management</b></p>	<p><b>17. (To FAO-STP and PSC members):</b> <i>Is there any evidence to indicate the quality of project execution and management has been unsatisfactory and affected the project's implementation and needs addressing?</i></p>	<p>No of areas where the implementing mechanism is unable to deliver results as planned and secure their continuation/upscaling  <b>Judgement criteria:</b>          6.2.1 Degree to which the executing agency (MEF/KEFRI/KFS) demonstrates leadership, capacity and resources to steer the ASAL Project as planned          6.2.2) Level to which PSC has the multi-sector representation needed to guide, oversee and take decisions needed to achieve objectives          6.2.3) Degree to which PMU has the resources to operate effectively, apply results-based monitoring and manage external risks          6.2.4) Degree to which the private-public-community partnerships established have the resources able to deliver results as planned</p>	<p>1) Prodoc/logical framework          2) ToC          3) Progress reports          4) Interviews with FAO staff, main stakeholders, and follow-up interviews with end beneficiaries</p>
<p><b>6.3 – GEF/FAO oversight and financial management</b></p>	<p><b>18. (To national/sub-national stakeholders)</b> <i>Has GEF/FAO support in any way affected the financial and technical performance of the project (such as due to inadequate levels of oversight, supervision and backstopping on project planning, implementation and monitoring?</i></p>	<p>Level of satisfaction of main stakeholders with FAO's technical and administrative support  <b>Judgement criteria:</b>          6.3.1) Degree to which executing agency is satisfied with the ASAL Project's actions and results to 28/02/2022?          6.3.2) Degree to which the implementing partners are satisfied with the ASAL Project's actions and results to 28/02/2022?          6.3.4) degree to which end beneficiaries and their communities (men, women, youths) are satisfied with the quantity and quality of FAO support</p>	<p>1) PPRs/PIRs          2) Interviews with FAO staff, main stakeholders, and follow-up interviews with end beneficiaries</p>
<p><b>6.4 - Stakeholder engagement and Partnerships</b></p>	<p><b>19. (To FAO, National PSC members and main stakeholders at national and sub-national levels) + triangulation in the field:</b> <i>To what extent have the project's main stakeholders (including local partners and PRSP/PAPAC played an active role in planning, implementation and monitoring?</i></p>	<p>No. of interviewees who perceive the level of their participation in project implementation has been satisfactory or better  <b>Judgement criteria</b>          6.4.1) Degree to which interviewees (public, private, civil society, vulnerable groups) confirm they are satisfied with their participation in decision-making and monitoring of project implementation (in accordance with needs assessments)          6.4.2 Degree to which the project's partnerships/synergies with other donors have contributed to project effectiveness, efficiency and sustainability</p>	<p>1) Prodoc          2) Progress and annual reports          3) Partnership agreements          4) Interviews with FAO staff, main stakeholders, and follow-up interviews with end beneficiaries</p>

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<p><b>6.5 - Communication and knowledge management</b></p>	<p><b>20. (FAO-STP, National PSC members and main stakeholders at national and sub-national levels) + triangulation in the field:</b> <i>How effective has the ASAL Project been in developing and applying an effective knowledge management system and communication strategy on FLR to support informed decision-making on the operation, maintenance and upscaling of FLR/SFM/SLM, on the development of sustainable NTFPS and on diffusing good practices, lessons learnt, success stories to TRI's GCP and other TRI projects?</i></p>	<p>No. of communications on results, lessons learned and good practices, case studies/experiences from NCP-ASAL shared at project and TRI levels  <b>Judgement criteria:</b>          6.5.1 Degree to which users of the knowledge management system in place find it useful to supporting planning and decision-making; 6.5.2 No. of knowledge products produced, registered and diffused through the knowledge management system          6.5.3 Degree to which communication strategy and plan is supporting and promoting change on FLR adoption at the national and county levels          6.5.4 Degree to which communication products are reaching the TRI community and international events, summits, conferences</p>	<p>1) PIRs/PPRs, annual reports          2) Knowledge and communication materials produced by the project at Pakistan and global TRI levels          3) M&amp;E strategy/plan and reports          4) Interviews with FAO staff, main stakeholders, and follow-up interviews with end beneficiaries</p>
<p><b>6.6 - M&amp;E design and implementation</b></p>	<p><b>21. (To FAO-STP, National PSC members and main stakeholders at national and sub-national levels)) + triangulation in the field:</b> <i>How effective is the national forestry monitoring system in MEF/KEFRI in supporting: a) the monitoring of FLR performance nationally; b) providing data to the PMU's internal M&amp;E system to support progress reporting and track the nine core indicators of TRI?</i></p>	<p>The national forestry monitoring system can provide data on FLR in the ASAL region and compare it with baseline data to report on national forest pledge, targets and goals (linked where appropriate to international pledges, targets and goals and TRI's 9 core indicators  <b>Judgement criteria:</b>          6.6.1 Degree to which forestry/rangeland/grassland data on FLR is available and accessible (applying MRV guidelines where required)          6.6.2 Degree to which national forestry monitoring data and the Internal M&amp;E system of the project is being used to support informed decision-making on FLR and progress reporting on TRI's core indicators;          6.6.3 Degree to which qualitative data is being collected to support learning on FLR/NTFPS/Ecotourism (based on a Monitoring, Review and Learning (MEL) strategy);          6.6.4) degree to which the M&amp;E system is tracking gender strategy, in particular data on both participation rates of women, youths and other vulnerable groups, and their access to training, services and resources.          5.6.5) No. of lessons on good practices on FLR/NTFPS developed into knowledge products and used in communications</p>	<p>1) Prodoc/results framework;          2) Work plans          3) Progress/annual reports          4) SNMFP internal M&amp;E reports          5) 6) Questionnaire and follow-up interviews with FAO staff, main stakeholders of SMNFP and project's M&amp;E system</p>

7. Cross-cutting priorities including gender equality			
<p><b>71 - ESS and gender in project design and implementation</b></p>	<p><b>22. (To FAO stakeholders and PMU):</b> <i>To what extent has the project implemented and monitored key aspects of the ESS Checklist and established an ESS Mitigation Plan (if applicable)?</i></p> <p><b>23. (To FAO and sub-national members):</b> <i>Have gender considerations taken into full account in the project's planning implementation and monitoring to ensure vulnerable groups such as women and youths are benefitting from: a) access to training, information and resources; b) participation in decision-making positions; c) income generating activities linked to the development of NTFPS?</i></p>	<p>Degree to which stakeholders are satisfied FLR/SFM planning and monitoring are tracking environmental and social risks identified in the ESS Checklist.</p> <p><b>Judgement criteria:</b></p> <p>7.1.1) Degree to which environmental risks are monitored and risk mitigation measures applied and/or updated support the ecosystem approach to FLR</p> <p>7.1.2) Degree to which social-related risks associated with vulnerable groups (families under the poverty line, women, youths, disabled, etc.) are reviewed and appropriate mitigation measures identified</p> <p>7.1.3) Degree to which project staff and key stakeholders have been trained in applying gender sensitive skills</p> <p>7.1.4) No. of women and youths interviewed by the MTR team who confirm they are satisfied with the support they have received from the project</p> <p>7.1.5) No of women/youths participating in decision-making roles on applying FLR and development of NTFPS and eco-tourism initiatives.</p> <p>7.1.6) Evidence of any unexpected negative developments on women/youths (e.g. disproportionate increase in workload in relation to men)</p>	<p>1) Prodoc 2) Work plans; 3) Technical, training and workshop reports; 4) M&amp;E reporting 5) FAO/GEF Gender objectives and guidance documents 6) policies, plans and guidelines integrating FLR/SFM include gender priorities, ESS 7) Group and individual interviews (in particular with women and youths)</p>
8. Additional questions - Linkages with GCP, managing the impact of the pandemic			
<p><b>8.1. Linkages – added value of GCP</b></p>	<p><b>24. (FAO and PSC members):</b> <i>How far has the TRI's GCP added value to the ASAL Project and what has the ASAL Project brought to the GCP?</i></p>	<p>Open question - provide up to five suggestions/recommendations</p>	<p>1) Interviews</p>

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<p><b>8.2 Support from FAO/CGP – on reducing the effects of the COVID-19 pandemic</b></p>	<p><b>25. (to FAO-STP and PSC members):</b> <i>Has the COVID-19 pandemic produced any unexpected positive and/or negative results and, if so, what kind of support from FAO/GCP is required to increase/reduce their effects on the implementation of the NCP?</i></p>	<p>Open question - provide up to three positive results and the negative results + any suggestions/recommendations for 2022-2023</p>	<p>1) Interviews</p>

## Appendix 5. List of documents consulted

### Documents consulted that are not available on the internet

- AGAR/PMU.** Bio-enterprise Development in Mukogodo and Mt. Kulal Landscapes (2021)
- FAO/TRI.** Templates for 9 Core Indicators
- FAO/GEF.** Project Environmental and Social Screening Checklist (2015)
- FAO/GEF.** Project Document GCP/KEN/090/GFF, 24 April 2018
- FAO/PMU.** Work Plan and Budget for 2019-2020
- FAO/PMU.** Work Plan and Budget for 2020-2021
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- FAO/PMU.** Project Implementation Report, 01-Jul-2019 to 30-Jun-2020
- FAO/PMU.** Project Implementation Report, 01-Jul-2020 to 30-Jun-2021
- FAO/PMU.** Project Progress Report, 01-Jan-2020 to 30-Jun-2020
- FAO/PMU.** Project Progress Report, 01-Jul-2020 to 31-Dec-2020
- FAO/PMU.** Project Progress Report, 01-Jul-2021 to 31-Dec-2021
- FAO/PMU.** Monitoring and Evaluation Plan (2021)
- FAO/PMU.** Socio-economic baseline survey 2020 – Mt Kulal and Mukogodo Landscapes, Kenya
- FAO/PMU.** Results of the Land Use data collection exercise using Collect Earth, 2019
- FAO/PMU.** Road map for the development of the FOLAREP 2022-2025 (2020)
- FAO.** GCP/KEN/111/EC - Digital Land Governance Programme 2022-2027 (2022)
- County Government of Isiolo/PMU.** County Environmental Action Plan, 2022
- IUCN/FAO/UNEP/GCP.** The Restoration Initiative 2020 Year in Review (2021)
- IUCN/FAO/UNEP/GCP.** The Restoration Initiative 2021 Year in Review (2021)
- IUCN/PMU.** STAR Assessment Report Species Threat Abatement and Recovery (STAR) assessment for TRI Kenya FAO project sites (2020)
- KEFRI/PMU.** ROAM for Mukogodo landscape (2021).
- KEFRI/PMU.** ROAM for MKBR (2021)
- KEFRI/PMU.** Chemical Characterization of NTFP in Mt. Kulal and Mukogodo Ecosystems (2021)
- KEFRI/PMU.** Community views on incentives and benefit sharing -summary of meetings with CFAs (2021)
- KEFRI/PMU.** FLR training workshop report (2021)

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**KEFRI/PMU.** The Forest Conservation and Management Act, 2016 (No. 34 of 2016) and The Forests (Incentives and benefit sharing) Regulations, 2020

**KEFRI/PMU.** Technical Report for LoA No. 2019/030: Inception Narrative Progress Report (2020)

**KEFRI/PMU.** Establishment of six tree nurseries in Mukogodo landscape (2021).

**KEFRI/PMU.** Training local community resource persons in tree nursery establishment and management (2020).

**KEFRI PMU.** Resource Assessment and mapping of prioritised non-timber forest products with commercial potential in Mt. Kulal and Mukogodo ecosystems (2021).

**KEFRI/PMU.** Road map for the development of Regulations on Equitable Benefit Sharing of Forests (2020).

**KEFRI/PMU.** Road map for the development of a Strategy for Sustainable Commercialisation of NTFPS in Kenya 2022-2027 (2020).

**KEFRI/PMU.** A report on the indigenous people and forest dependent communities in Mt. Kulal and Mukogodo landscapes of Kenya (2021)

**KFS/PMU.** Final Narrative Report on GCP/KEN/090/GFF, (2021)

**Kenya Water Towers Agency/PMU.** Total Economic Valuation of the Mount Kulal Water Tower (2020)

**LWF/PMU.** Interim Narrative Report on the LoA for: Restoration and Water management improvement in Lekurruki, Il Ngwesi, Kurikuri and Makurian group ranches in Mukogodo landscape.

**NMK/PMU.** Finalization of Mount Kulal Ecosystem Management Plan, community action plans and capacity development of Mt. Kulal Biosphere Reserve (2022)

**NMK/PMU.** MKBR Brochure

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## Appendix 6: Results matrix at 28 February 2022 with MTR ratings & observations

Development objective (Impact)	To contribute to the restoration and maintenance of degraded and deforested landscapes in arid and semi-arid lands in Kenya for resilient economic development and livelihoods and improved ecosystem functioning, in support of Kenya’s NDC of rehabilitating 5.1 m ha.				
Project Objective	To restore deforested and degraded lands through the FLR approach and enhance the socioeconomic development of local communities through the development of bio-enterprises of NTFPS in arid and semi-arid lands				
Objective /Outcome (Results Chain)	Indicators	Baseline	Progress rate against target at time of MTR (28 Feb. 2022)	End of project target (31 Jul 2023)	MTR GEF Rating and justification*
<b>Objective 1</b>	(i) % of land that is degraded over total land area in targeted landscapes	<p>Mount Kulal forest core zone is 1,100ha. Between 1986 and 2014 20% of forest cover was lost (Cuni Sanchez 2015). No formal CFA has been registered to manage MK forest, but community group Wazee Wa Mazingira aiming for CFA status.</p> <p>Mukogodo forest covers an area of 30,189 ha. but was estimated to cover only 2,700 ha (Bussmann 2009). ILIMANSU CFA manages the forest. It</p>	<p>Net decreases in degradation at both sites so far: 0%</p> <p>Baseline assessment done using CEOF on land use patterns. Local ROAM assessments show:</p> <p><b>MKBR</b></p> <p>Land uses: 75% grasslands; forest 14%; other 11%</p> <p>Degraded land: 27,874 ha Degradation trend: 170 km<sup>2</sup> of total area of 1,542.6 Km<sup>2</sup> (11.02%).</p> <p>Stable land area: 85.9%;</p> <p>Improved land area: 3.1%</p> <p><b>Mukogodo:</b></p> <p>Land uses: 51% grasslands; 45% forest; 4% other.</p>	(i) 20% decrease in degradation (confirmed through ROAM assessment)	<p><b>MODERATELY UNLIKELY</b></p> <p>Degradation trends remain high.</p> <p>Delays of 12 months have set back policy reforms, approval of plans and implementation of FLR activities in the field.</p> <p>Prolonged drought and delays in procurement of tree nursery materials continues to restrict FLR advances</p> <p>Wazee Wa Mazingira has not gained CFA status to date</p> <p>ILIMANSU CFA facing social conflict due to entry of pastoralists from outside its members’ conservancies and group ranches</p>

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		<p>comprises 4 conservancies and 2 group ranches operating under NRT umbrella: i) Lekurruki conservancy: 15,872 ha; ii) and IINgwesi (9,470 ha), iii) Oldonyiro conservancy (52,500 ha), iv) Leparua conservancy (34,200 ha), v) Makurian group ranch (5,390 ha) and vi) Kurikuri group ranch (3,340 ha).</p> <p>Forest and rangeland ecosystems of both project sites are in a process of degradation, because their goods and services are not conserved and sustainably managed</p>	<p>Degraded land: 23,406 ha</p> <p>Degradation trend: 946.2 Km2 of total area of 1,136.4 Km2 (83.3%).</p> <p>Stable land area: 16.21%</p> <p>Improved land area: 0.52%</p>		
<b>Objective 2</b>	# of people benefiting from FLR interventions	No benefit has been derived from TRI yet	<p>38.2%</p> <p>3,744 Households/ 21,259 beneficiaries (11,247 M / 10,012 F)</p>	10,868 households/ 51,080 people directly benefitting from project activities	<p><b>MODERATELY UNLIKELY</b></p> <p>41.6% (21,259) of total beneficiaries targeted have participated in the ASAL project to month 43 of 60 of which 10,012 are women (41.3% participation rate). It will be a tall order to cover an additional 29,821</p>

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					(58.4%) of targeted beneficiaries to be covered in remaining 17 months
<b>Objective 3</b>	# of tons of CO2e directly mitigated through project activities over a 20-year period	0	The current Total tCO2e estimated at project sites. Mukogodo ecosystem: <b>20,312,936.00</b> tCO2eq MKBR ecosystem: <b>3,846,926.6</b> tCO2eq	820,089 tCO2eq	<b>MODERATELY UNLIKELY</b> It remains unclear how many hectares will be restored, but project will not reach planned targets in the Prodoc of 152,661 ha under improved management of which 8,700 ha directly restored and 54,952 ha indirectly restored.
<b>Outcome 1</b> The national and county level policy and regulatory frameworks are strengthened to support forest and landscape restoration in Kenya	(i) # and type of relevant FLR -related action plans and policies developed and adopted	(i) Policy and legal framework review to guide scaling up of landscape restoration conducted in 2010 by KFS and the Kenya Landscape Restoration Technical Working Group (LRTWG), however, i.a) no FLR related plan exists at national level. i.b) Draft NR access and benefits sharing policy exists but had not been approved yet	70% Five-year (2022-2026) FLR Implementation Action Plan with the goal to restore and sustainably manage deforested and degraded landscapes developed A monitoring framework under FOLAREP has been developed tracking outcomes on policy and regulatory frameworks, governance and institutional coordination, area under restoration, livelihoods through green value chains, access to technology and innovation and resource mobilization. The M&E framework is being improved and simplified to cover 15 core indicators.	(i) 3 types as follows: i.a) 1 national FLR Implementation action plan including a financial and M&E plan developed and approved. i.b) 1 Forest (Equitable Benefit Sharing) Regulations	<b>SATISFACTORY</b> Switch to produce FOLAREP (2022-2026) responds to stakeholders' priorities. Consultation process has progressed well. PMU reports it will to be finalised and ready for approval by mid-2022, indicating roll out possible in 2022; Monitoring framework is being developed because stakeholders recognise its importance to track targets in FOLAREP, which support the Kenyan government's meet its international pledges to restore 5.1 m. ha. and achieve 10% of total land cover under forests. County governments aware of FLR through the consultation process

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		<p>i.c) No NTFPS specific policy exists</p>	<p>A restoration monitoring technical working group (Project M&amp;E is part of) has been established and mandated by the principal secretary, ministry of environment and forestry to oversee the design and implementation of a monitoring framework that will guide the country in tracking and reporting its commitments of restoring 5.1M Ha under the AFR100/ Bonn challenge.</p> <p>County consultations have been undertaken in 32 counties in partnership with ICRAF/UK-PACT and Nature Kenya</p> <p>An assessment has been undertaken on the existence and adoption level of specific forest/FLR policies at county level, including traditional land management systems. Policy influencing plan (PIP) drawn up and a poster developed and is part of submissions accepted for sharing in the upcoming XV WFC in South Korea.</p> <p>The Equitable Benefit Sharing regulations, (2016) has been reviewed in consultation with the community represented by the National Alliance of Community Forest Associations (NACOFA) who are spearheading</p>	<p>i.c) 1 NTFPS management strategy</p>	<p>and supportive of ASAL Project, but capacity to implement the FOLAREP through county FLR plans is still low</p> <p>Equitable Benefit Sharing (EBS) regulations on track to be updated and rolled out in 2022</p> <p>Awareness raising on new EBS regulations has been conducted with CFAs from all forest conservancies, but services to support access to EBS remains unclear to optimise EBS agreements</p> <p>14 NTFPS and services shortlisted for their economic potential. However, launching bio-enterprise developments in 2022 will not be sustainable unless more time is allocated to the ASAL project by GEF/FAO and business services such as incubators are identified and established</p>
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			<p>Participatory Forest Management in the country.</p> <p>Sensitization Workshops for Community Forest Associations (CFAs) on Forest Incentives and Benefits Sharing regulations as well as Forest Conservation and Management Act, 2016 have been undertaken in all 10 forest conservancies in the country (Western, Nyanza, Ewaso North, Central, Eastern, Mau, North Rift, Northeastern Coast and Nairobi) and Focused Group Discussions held and views obtained from local communities from 106 CFAs. (180 M and 83F).</p> <p>A participatory situational analysis of the NTFPS sub-sector conducted with 50 institutions from the government, non-governmental organizations, private companies to take stock of past and ongoing interventions on NTFPS in Kenya. Additional information has been obtained through project activities on development, value chain analysis and characterization of bio-enterprises that will feed into the strategy</p>		
<p><b>Outcome 2</b></p> <p>152,661 ha are under improved land management</p>	<p>(i)# of ha of land under improved land management plans in the two landscapes</p>	<p>i.a) Mt. Kulal Forest is not gazetted and is managed by CBO "wazee wa mazingira"</p>	<p>45%</p> <p>The management plan for Mt. Kulal Ecosystem has been revised for improved management of 51,436 ha</p>	<p>152,661 ha</p>	<p><b>MODERATELY SATISFACTORY</b></p> <p>KFS has not registered the CFA in MKBR, but agreed with MTR to fast-track registration of community</p>



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<p>(including 8,700 ha directly restored and 54,952 ha indirectly restored)</p>		<p>(WWM). A plan for use of forest resources on Mt Kulal is being developed (draft ready by July 2017) with support from National Museum of Kenya (NMK)</p> <p>i.b) Mukogodo forest is managed by the ILMAMUSI Community Forest Association (CFA). Their management plan is outdated.</p> <p>i.c) Lekurruki conservancy management plan drafted. Include a "rangeland conditions improvement" objective</p> <p>i.d) IINgwesi, Oldonyiro and Leparua conservancy management plans are outdated.</p> <p>(i.e) n/a</p>	<p>(5670 ha Core zone and 45,766 ha Buffer zone around the Core zone).</p> <p>The management plans for Leparua and IINGwesi conservancies developed for improved management of a total area of 43,670 ha.</p> <p>Capacity of Ilmamusi CFA built through constitution review process, election of a new governance structure and representation, training to incorporate the guidance from the new Kenya Forest Act 2016 that guides CFAs and National Forest Reserves. The CFA is the umbrella body uniting four community lands surrounding Mukogodo Forest hence better coordination of affairs related to sustainable management of the forest.</p>		<p>association Wazee Wa Mazingira as the CFA to support application of MK Ecosystem Management Plan;</p> <p>Capacity building of ILMAMUSI CFA is on-going, but in need of income streams to sustain its operations in a large land area</p> <p>Significant threats remain to derail the FLR process: overgrazing, increased settlement in the forest reserves, erosion, inadequate use of indigenous knowledge, increased pressure from the neighbouring communities and drought/fire outbreaks.</p>
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		(i.f) n/a (i.g) Makurian and Kurikuri group ranches have outdated management plans			
	(ii)# of hectares under direct restoration, stratified by land management practices	<p>In project implementation zone, restoration has not been implemented so far.</p> <p>Between the period of 1986 and 2014 the Mt. Kulal Forest lost approximately 20% of its forest cover (Cuni Sanchez 2015).</p> <p>Mukogodo forest covers an area of 30,189 ha. According to Bussmann, 2009, the remaining forest area is much smaller than, 2,700 ha. Surrounding conservancies (rangelands) operated under NRT umbrella cover respectively: i) Lekurruki conservancy: 15,872 ha; ii) Il Ngwesi</p>	<p>2 %</p> <p>7 hectares of forest or forest land was directly restored through growing of 7,031 assorted indigenous trees and 600 fruit trees grown in Mt Kulal core zone</p> <p>6 Ha of land in Kurikuri forest in Mukogodo directly restored through tree growing.</p> <p>Eight tree nurseries established with each having a trained community resource person on establishment and management of nurseries. Two are partly operational. They could not take off because of drought that hit the country during time of establishment.</p> <p>Capacity of the local communities on protection of degraded sites to promote natural regeneration and replanting have been initiated. A total of 3.6 ha in the Mukogodo Ecosystem has also been planted with assorted indigenous trees</p>	8,700 ha	<p><b>MODERATELY UNSATISFACTORY</b></p> <p>Original targets in Prodoc are very ambitious considering the time and resources available and the capacity levels of stakeholders.</p> <p>Majority of FLR activities planned have not been realised to date due to a combination of the COVID-19 pandemic, delays in procurement of nursery materials and grass seeds and prolonged drought</p> <p>Preliminary FLR activities in MKBR have started, but tree nurseries small due to material and water shortages.</p> <p>Reforestation of around 13 ha in the buffer zone of the MKBR core forest is evident. Signs restoration is descending the hill slopes above GATAB village, but livestock entering the core zone due the drought risks some seedlings may be eaten by livestock, especially goats unless surveillance and signage if improved</p>

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		(9,470 ha), iii) Oldonyiro conservancy (52,500 ha), and iv) Leparua conservancy (34,200 ha) and the Makurian group ranch (5,390 ha) and Kurikuri group ranch (3,340 ha).	3700 micro catchment bands, covering an area of 114 acres, have been constructed. This involved digging of semi-circular bands to help reduce surface water runoff and increase the chances of vegetation growth because of the moisture that is retained in the soil. 90 (77M, 13F) community members were trained on establishment of micro catchment and were engaged in digging the bands in two adjacent conservancies. This has resulted in enhanced cohesion between the neighbouring communities leading to mutual restriction of grazing in the worked area (Social fencing) for one to two years.		Restoring of rangelands has started by construction of semi-circular bunds and cutting away of invasive species, but pastoralists have moved into sites after initial rains caused grass to grow in the bunds. No use of stone wall dams to slow rainwater runoff and protect soils.
	(iii)# of ha directly contributing to biodiversity conservation and sustainable use	All project sites have the potential to contribute to biodiversity conservation	65%  Engagement with IUCN and STAR assessment to support identifying biodiversity hot spots. Potential restoration needs linked to threatened species were initiated but it was realized that it was more inclined to fauna biodiversity.  The Mt Kulal management plan envisions biodiversity conservation and wildlife habitat management in the forested area of 5670 ha through	152,661 ha	<b>MODERATELY SATISFACTORY</b>  <b>MKBR strengths:</b>  The local community (363 heads of households) demonstrate strong sense of ownership of the MK Ecosystem management plan as they have selected the nine priority focal areas that recognise the conservation and sustainable use of biodiversity is central to sustaining their livelihoods.

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			<p>minimal impact ecotourism (e.g. walking, bird watching); monitored extraction of resources and maintaining nature trails. Other management options planned for are Protection of plant and fauna through awareness raising, Reintroduction of some wildlife species and temporary ban on grazing in degraded areas.</p> <p>Local ROAM assessments undertaken identifying potential areas for restoration and rehabilitation of degraded forest and rangelands that will contribute to conservation of biodiversity.</p> <p>Management plans for Illngwesi (9,470Ha) and Leparua conservancies (34,200) have been developed as well as Mt Kulal management plan (51,436 ha). These will all contribute to biodiversity conservation and sustainable use</p> <p>Valuation of Ecosystem services to support forest and landscape restoration in terms of financing, decision making and implementation of FLR for both project sites done</p> <p>Resource maps produced showing location and densities of the prioritized NTFPS as well as marking Global</p>	<p>Local community adamant they must be registered as the MKBR CFA to manage land conflicts and protect the core forest area and buffer zones.</p> <p>Elders have established the Elders of the Environment to act as judges over all land uses, NRM issues and land conflicts</p> <p><b>MKBR gaps/shortcomings:</b></p> <p>Over ambitious to protect biodiversity as planned (5,670 ha of core-zone protected and 45,766 ha of buffer zones) due to: (i) lack of strategy to secure funds from the Water Sector to develop water provision in sub-locations forcing pastoralists into core-zone; (ii) Elders confirm youths are increasingly not respecting their decisions and looking to unsustainable development practices; (iii) need for access to business and social services in MKBR; (iv) plan overlooks DRR, especially forest fire management; (v) role of KFS on regulatory matters needs greater clarity; (vi) need for applied research on FLR, its co-benefits and NTFPS.</p> <p><b>Mukogodo strengths:</b></p>
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			<p>Positioning System (GPS) points of NTFPS in the two ecosystems and their estimated densities, ecological data and species diversity</p>	<p>Conservancy plans have a strong focus on conservation and development in the conservancies and group ranches of ILMAMUSI CFA (support reintroduction of wildlife such as the black rhino in Il Ngwesi)</p> <p>All conservancies (including Leparua and Oldonyiro conservancies in Isiolo County) have a focus on (i) wildlife corridors (ii) identification of dry and wet season rangelands for grazing</p> <p>Partnerships emerging with neighbouring private conservancies (especially Lewa and Borana Wildlife Conservancies in areas such as reviewing the plans to enhance areas of common interest such as surveillance.</p> <p><b>Mukogodo shortcomings:</b></p> <p>Lack of communication and collaboration with Samburu County and GEF5 programme (Kirisia Forest and integrated Rangelands Management) is likely to restrict opportunities to apply effective management in times of drought</p> <p>Lack of alignment with the Amaya Triangle Initiative that would enable Isiolo, Laikipia and Samburu Counties</p>
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					to work together on a holistic management plan of landscape pastoralists share.  DRR not adequately integrated into plans
	(iv)# of people directly benefiting from project activities (including capacity building events and trainings) (m/f)	0	40%  Capacity of 18,718 beneficiaries (9,837M, 8,881F) from 3,744 Households strengthened through community awareness/sensitization meetings/trainings, exposure visits to develop conservancy or landscape management plans, review constitutions/by laws among others  The project has considerable activities on policy where most of the activities are not directly targeting the community households but government representatives hence the lower reach in household numbers.	8,120 HH	<b>MODERATELY SATISFACTORY</b>  Overall target of 51,080 (10,868) is too ambitious, but management plans for both sites are still projected to cover 45,548 people (9,935 households).  However, until plans are implemented benefits cannot be determined, but they will be limited in 2022-2023.  <b>MKBR</b> plan to cover directly 6,221 people (1,358 households)  <b>Mukogodo forest:</b> plans to cover directly 39,923 people (8,577 households).

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<p><b>Outcome 3</b></p> <p>Strengthened institutional capacities and financing arrangements are in place and facilitate large scale restoration and maintenance of critical landscapes</p>	<p>(i) # of capacity building events and # of m/f attending</p>	<p>0</p>	<p>Two TRI Global events held in Kenya and Rome (8 M and 1 F)</p> <p>Training on Biophysical and socioeconomic data collection through open foris collect and collect mobile/Mapathon (13 M and 5 F)</p> <p>1 ROAM training conducted by BBC International Consultants (12 M, 6F)</p> <p>Training of National, County and Community resource persons on planning, implementation, and monitoring of FLR (18 M and 5 F).</p>	<p>4 events, 50 people trained (25 male, 25 female)</p>	<p style="text-align: center;"><b>SATISFACTORY</b></p> <p>Majority of capacity building events are likely to be completed at national and county levels if pandemic and energy crises are kept under control and general elections do not lead to political instability, or low support for FLR.</p> <p>Capacity to apply and use data from ROAM and CEOF has enhanced GIS mapping capacity</p> <p>Training of national and county staff is back up and running and increasing awareness on the benefits of FLR, but fulfilling equipment needs at sub-national level remains unclear (not aided by less co-finance than planned for this).</p>
	<p>(ii) Evidence of increased capacities of community land management committees through scorecards</p>	<p>tbd</p>	<p>60%</p> <p>In collaboration with FAO EU Land Programme, 4 Community land management committees have been established and their capacity strengthened (reaching 2432 persons 1534 Male and 898 female) on their functions and roles such as; Oversight function in land planning allocating land and natural resources to livestock</p>	<p>Increased capacity level evidenced through scorecards</p>	<p style="text-align: center;"><b>MODERATELY SATISFACTORY</b></p> <p>Majority of capacity building events are likely to be completed at community level if pandemic and energy crises are kept under control and general elections do not lead to political instability, or low support for FLR.</p> <p><b>Capacity development in MKBR:</b></p>

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			<p>or agriculture, Housing and public services, how to interface with the public to administer all categories of land and coordinate with the Community Land Boards to resolve disputes between communities.</p> <p>2 Community Group ranches, Ilingwesi and Makurian (Ilingwesi Maiyanat), converted their registration to Community Lands with Title deeds with functional land committees. 4 other group ranches are in the process of registration but have functional land committees. The Ilingwesi conservancy registered as a community land and a title deed issued was the first community in Kenya to receive a communal title deed for their land under the new community land act.</p> <p>Mt.Kulal is also in the process of attaining community land registration through the FAO lands project.</p> <p>Institutional capacity assessment conducted to establish the capacity level of Mt Kulal community forest association and Ilmamusi CFA from Mukogodo which scored 26% and 33% respectively on the capacity scorecard for assessing capacity development among environmental institutions.</p>	<p>KFS committed to fast-tracking registration of CFA in MKBR but support of Land Programme Phase I ended in 2021</p> <p>Training on applying FLR in the field has started, but water supply and delays in procuring materials has slowed down tree nursery development;</p> <p>Role of KFS in the training (especially on surveillance and follow-up) remains unclear, especially as living conditions of KFS rangers also needs to be clarified and improved</p> <p>Long-term presence of NMK in MKBR means it is likely communication with local community on application of the management plans will continue for many years</p> <p><b>Capacity development in Mukogodo landscape:</b></p> <p>Training of board members of all 4 conservancies and group ranches is taking place, including training on the spot to apply FLR activities such as rainwater harvesting and grassing in rangelands</p>
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			<p>A strengthened ILMAMUSI Community Forest Association (CFA) in Mukogodo has a new constitution with an elected inclusive community board and have reached a level of engaging with FAO through an LOA for community led FLR initiatives.</p> <p>Through capacity development of of Mt. Kulal Biosphere Reserve Community Forest Association (KCFA) and Elders Environmental Committee (WWM), the CFA is in the process of registration with the attorney generals office.</p> <p>Sub Catchment Management Plan (SCMP) for Ngare Ndare water resource users association supported conform to the National Water Act 2016 to guide development of water conservation activities within the sub catchment and qualify the WRUA to fundraise from Water Sector Trust Fund (WSTF) and other donors on water projects</p>		<p>Conversion of Kurikuri and Makurian group ranches into conservancy status (and management plans) is in process with support of NRT to ensure ILMAMUSI CFA has four conservancies around Mukogodo forest</p> <p>Long-term presence of NRT in Mukogodo landscape will means it is likely that communication with the local communities will facilitate the application of the management plans</p> <p>Funding of water infrastructure to establish watering points for pastoralists, livestock and wildlife is still unclear, but being reviewed with WSTF. Funding of community equipment to apply FLR effectively remains unclear.</p>
	(iii) # of cross-sectoral coordination mechanisms in place at the national level	While there is a FLR Working Group hosted by KFS, its aim and objectives are limited to project level activities and do not	<p>80 %</p> <p>A restoration monitoring technical working group (Project M&amp;E is part of) has been established and mandated by the principal secretary, ministry of</p>	1 National coordination mechanism in place	<p><b>MODERATELY SATISFACTORY</b></p> <p>FOLAREP has progressed and likely to be adopted by mid-2022 and it has been agreed in principle who will be the members of the NFLRAC,</p>

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		<p>focus on policy and institutional coordination aspects</p>	<p>environment and forestry to oversee the design and implementation of a monitoring framework that will guide the country in tracking and reporting its commitments of restoring 5.1M Ha under the AFR100/ Bonn challenge.</p> <p>The following coordination structures are to be established under Forest and landscape restoration action plan 2022-2026(FOLAREP):</p> <ol style="list-style-type: none"> <li>1. Natl FLR Advisory committee</li> <li>2. Nat FLR steering committee</li> <li>3. County Environ. Committees</li> <li>4. Nat FLR technical committee</li> <li>5. Nat Restoration monitoring technical working group</li> <li>6. Ward dev. committees at landscape/county level</li> </ol>	<p>NFLRSC and NFLRTC, but MTR team found it lacks adequate representation from (i) academia (to support applied research and training on FLR/NTFPS with KEFRI/KFS; (ii) public sector qualified and responsible for enterprise development (such as Ministry of Industrialization, Trade and Enterprise Development) (iii) private sector to develop business services and from private sector (such as Chambers of Commerce);</p> <p>FOLAREP has not assessed scope to promote wider inter-county rangeland management in the ASALs, such as through the Amaya Triangle Initiative to ensure an inclusive approach to FLR (in particular representation of Samburu County government).</p> <p>Establishment of County Environment Committees accepted by County governments, but it remains unclear how they will work with Ward Environment and Development Committees where there are political differences</p> <p>Nat Restoration monitoring technical working group has been provisionally identified</p>
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					thanks to the capacity building on CEOF/ROAM GIS mapping and planning
	(iv) # of investment tools developed /improved to support FLR initiatives (i.e bankable projects, credit lines to bio enterprises, functional FMCTF)	A Forest Conservation and Management Trust Fund (FCMTF) is being established but is not operational yet  Counties allocate annual; budget to support restoration activities in the project areas	40%  Partnership meetings held with CIFOR-ICRAF UK-PACT funded project call for Nature Based Solutions seeking to fund projects that will strengthen regulation, coordination and financing of forest conservation and restoration activities.  CIFOR-ICRAF UKPACT also supported the forest and landscape restoration implementation action plan, that has a financial plan to ensure financial resources are mobilized to deliver proposed interventions on the ground.  A learning guide for forestry and farm producer organizations and SMEs on developing viable and bankable business plans has been developed by FAO Farm Forest Facility and will be tested to enhance access to finance by local beneficiaries to support FLR activities.  2 organizations, Horizon Ventures working in production and marketing of Essential Oils and Nailepo Beekeepers in Honey Value chains trained through TRI's Restoration	At least 3 investment tools are developed or improved	<b>MODERATELY UNSATISFACTORY</b>  Establishing the FCMTF has been slow  Firm commitments on investing a guaranteed percentage of County funds on FLR to meet GoKE's national and international commitments to biodiversity conservation and climate change are not evident  Establishing business and financial services (including a Green Code of Conduct to encourage investment in bio-enterprises) has not materialised so far to meet the needs of new bio-enterprises (especially business incubation services and sub-national solutions on access to finance for bio-enterprises (county and ward levels)  A lot of focus on developing national and international markets for NTFPS, but not on developing rural products for markets, or identifying carbon

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			<p>Factory to develop bankable business cases.</p> <p>From the local ROAM assessment undertaken a number of financing mechanisms and sources that are crucial in the implementation of FLR interventions were identified including but not limited to Global Environment Facility (GEF), Green Climate Fund; Adaptation Fund; Bio carbon Fund; Forest Carbon Partnership Facility; Readiness Fund (RF) for Reducing Emissions from Deforestation and Forest Degradation (REDD+); World Wide Fund for Nature (WWF); and Multi-lateral and bilateral funding agencies such as Japan International Cooperation Agency (JICA), Swiss Agency for Development and Cooperation (SDC), Swedish International Development Cooperation Agency (Sida), United States Agency for International Development (USAID), Norwegian Agency for Development Cooperation (NORAD) among others</p>		<p>trading schemes and other PES-related initiatives so far</p> <p>Identifying financing mechanisms has concentrated too heavily on international donors and climate funds, which is high risk (especially climate funds that apply high levels of conditionality, such as GEF).</p> <p>Unclear if a highly specialised team will be employed to tackle the high level of conditionality of donors before they release grants and loans (EU and GEF need years to approve funding)</p> <p>Meanwhile tapping the private sector for investment through Chambers of Commerce, Trade Fairs, communications and campaigns, has been restricted to two joint ventures identified so far, but demonstrates investors can be found.</p>
	(v) Value of resources flowing into restoration	0	<p>20%</p> <p>Based on consultations with the National Treasury on funding of FLR activities in the country, the following</p>		<p><b>MODERATELY UNSATISFACTORY</b></p> <p>FAO review of FLR in Africa (2021) confirms (i) private sector funding for FLR remains low, despite interest and</p>

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			<p>potential sources of finances for restoration related activities exist in the country and discussions on synergies and collaboration with them is planned: Green bonds, Green Climate Fund, Financing locally led Climate actions, REDD+ financing, National Adaptation Fund, Presidential directive (10% CSR for 10% tree cover), NAP readiness fund coordinated by FAO, GIZ-landscape funds, WWF Consortium, GZ-ADB, Care International, GCF supported Pan African Justice Alliance (PACJA) and GCF supported TWENDE.</p> <p>County environmental committee (CEC) meetings held to identify and quantify the resources flowing into restoration at the county level</p>	<p>funding going to tree planting projects. (ii) public investment on climate finance to small-scale farming communities stands at just 2 per cent of total lending (Win, 2020).</p> <p>Insufficient use of existing funds to leverage long-term and innovative funding in Kenya even though the ASAL Project’s assessment on resource flows shows this could be done through synergies between MEF/TRI and: (i) National Tree Planting Campaign (KES 170 million / USD 1.5 m.); (ii) Green Zone Support Development Project (KES 5.5 billion / USD 47.8 m.); (iii) Forest Irrigation, Climate and Green Energy Project (KES 30 m. / USD 0.26 m.) (iv) Restoring forest landscapes in Africa funded by the German Government (BMU) 2020-2025.</p> <p>Focus of capturing funding from climate funds such as GEF is high risk due to the high conditionality associated with their grants and loans and long lag times before funds arrive</p> <p>Lack of specialised government agency and representatives from the</p>
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					private sector in the PSC of the ASAL Project is reducing scope to identify investors and unknown funding from other government departments
<p><b>Outcome (4)</b></p> <p>Improved FLR monitoring, reporting and knowledge dissemination at national level (including for the NCP)</p>	(i) # of operational FLR information systems established	Currently there is no harmonized FLR information system.	<p>20%</p> <p>Mapping of Existing Knowledge, Initiatives and Platforms Linked to FLR in Kenya, A SWOT Analysis of identified Knowledge Sharing Portals, 11 Institutions Identified and being engaged to form the National FLR KM Committee which will discuss the roadmap, design and content of FLR KM System.</p>	A national FLR Knowledge Management system is developed and implemented	<p><b>MODERATELY UNSATISFACTORY</b></p> <p>Roadmap still not agreed on design and content of NFLRMS</p> <p>MTR Team question whether NFLRMS is needed when it could be developed as a module in existing databases in KEFRI and KFS</p> <p>Unknown if academia will have a role in the NFLRMS to support research and training</p> <p>An exchange to view an existing NFLRMS has not been identified by the MTR team</p>
	(ii) # of Participation in TRI Annual Knowledge Sharing events, Biennial Restoration Finance events, and TRI-sponsored South-South exchanges that address restoration	0	<p>35%</p> <p>4 staff (2 from FAO and 2 from KEFRI) participated in Annual TRI workshop held in Kenya in February 2019</p> <p>4 staff (3 from FAO and 1 from KEFRI) participated in 2nd Annual TRI workshop held in Rome in October 2019</p> <p>Online Knowledge Sharing through webinars on FLR and best</p>	Participation in 8 events	<p><b>MODERATELY SATISFACTORY</b></p> <p>Participation was satisfactory until the pandemic in 2020. Since then it has been restricted to online knowledge sharing, which has limitations (especially in terms of who follows up after the webinars)</p>

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			practices/case studies and the D-groups where participants from various countries access and share information/challenges and solutions with counterparts from other countries		
	(iii) # of TRI-Kenya knowledge products developed, disseminated and accessed through relevant knowledge platforms	1. knowledge products	<p>55%</p> <p>Video production on sustainable management of Mukogodo forest landscape.</p> <p>Mt Kulal ROAM assessment report</p> <p>Mukogodo landscape ROAM assessment report.</p> <p>TRI quarterly Newsletter on 5-year (2021-2025) ecosystem management plan</p> <p>A project fact/information sheet detailing the project sites, objectives, the partners and bio enterprises was developed and used in sensitization meetings with the community and local/county leadership</p> <p>Project banners and roll ups have also been prepared and used to give the project visibility during various functions.</p> <p>•Total Economic Valuation of Mt Kulal ecosystem</p>	10 knowledge products	<p><b>SATISFACTORY</b></p> <p>The project has produced an array of studies, assessments, publications, promotional material and visibility products</p> <p>Exposure of TRI on mass media evident</p> <p>Case studies on FLR from the ASAL Project to be presented at the 15<sup>th</sup> World Forestry Congress in Seoul, Korea in May 2022</p> <p>Opportunities to develop shared knowledge products with TRI's Tana project is possible as Kenya gains control over the COVID-19 pandemic in 2022</p> <p>Some high-quality knowledge products such as the TEV study in MKBR have not been show cased so far.</p>

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			<ul style="list-style-type: none"> <li>•Characterization of ecosystem services in Mukogodo ecosystem</li> <li>•Mt. Kulal Biosphere Reserve Forest Management Plan (KFMP) 2021 – 2025</li> <li>•Ilngwesi Community Conservancy Management and Community Development Plan (2021-2026)</li> </ul> <p>NTFP resource and assessment and mapping</p> <ul style="list-style-type: none"> <li>•Three abstracts have been submitted and approved for the World Forestry Congress in Korea in 2022.</li> <li>• 1 poster on PIP (Policy influencing plan) for domestication of forest and landscape restoration in Kenya</li> </ul> <p>2 PPR and 2PIRs reports uploaded in FPMIS</p> <p>Published three articles in FLRM Newsletter i.e making satellite imagery in land use assessment more accessible,value chain analysis for ASAL products prioritizing NTFPS</p>		
	(iv) # of lessons learned on forest landscape restoration shared and accessed by stakeholders	0	<p>40 %</p> <p>FLR Monitoring through collect earth has been shared with FLR sector players e.g. CIFOR-ICRAF, WRI, EU, KFS, KEFRI, and decision makers from Ministry of environment and forestry,</p>	10	<p><b>MODERATELY SATISFACTORY</b></p> <p>Consultation process linked to the approval of the FOLAREP and FLR management plans in MKBR and Mukogodo forest landscape has enabled stakeholders to review</p>



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			<p>ministry of agriculture and the council of governors (Counties) during FLR monitoring webinar where FAO was a key speaker</p> <p>Through Exchange meetings with FLR stakeholders such as the Kenya National Landscape Restoration Scaling Conference, challenges identified such as how to undertake tracking and monitoring of FLR activities have been addressed by formation of an FLR monitoring technical working group.</p> <p>NTFPS harvesting and marketing is a very sensitive issue and caution needs to be applied especially when engaging with sector players who may have a negative history with the communities</p> <p>The importance of planning and review meetings, the project has embarked on this and has brought a lot of synergies and understanding of partner/stakeholder approaches and reduced duplication of efforts.</p>	<p>lessons on previous reforestation and restoration actions, identify good practices and prioritise needs going forward</p> <p>Conferences, workshops and seminars have enabled stakeholders to voice lessons learned and good practices on past experiences of reforestation and restoration, land use planning, natural resources management, adaptation needs, etc. This has helped reinforce the ASAL project promote native varieties of trees and grasses</p> <p>Training and capacity building exercises have enabled stakeholders to learn about new technologies and GIS software that avoids license lock-ins and access to high resolution images at little or no cost</p> <p>Partnerships with institutions such as NRT, LWF, NMK and WV have enabled stakeholders to capture their knowledge, lessons and views on FLR</p> <p>Emphasis on FPIC has enabled stakeholders to learn from indigenous peoples on their local knowledge and technologies and on</p>
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					<p>their internal structures managed by Elders.</p> <p>Lessons are captured in the PIRs and PPRs to support project implementation, but more could be done to develop them into short stories to be filtered to GCP/TRI to promote learning</p> <p>Cancellation of international conferences planned by TRI have restricted sharing of challenges, experiences, lessons and good practices on FLR</p> <p>Learning is let down by the lack of synergies with academia and insufficient learning specifically on NTFPS and business-related issues</p>
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Source: PM; \*Achievement ratings: HS: highly satisfactory; S: satisfactory; MS: moderately satisfactory; MU: moderately unsatisfactory; U: Unsatisfactory; HU: highly unsatisfactory.

\*\* Physical progress not requested due to the intangible nature of the outputs foreseen (e.g. linked to knowledge development and communication).

**Indicator assessment key**

HS	S	MS	MU	U	HU
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## Appendix 7. Co-financing table (in USD to 28 February 2022)

Sources of co-financing <sup>29</sup>	Name of co-financer	Type of co-finance <sup>30</sup>	Amount confirmed at CEO approval <sup>31</sup>		Actual amount materialized (28 February 2022)		Actual amount materialized at mid-term (31 Jan. 2021)#	Expected total accumulated disbursement to 31 Jul. 2023
			Cash	In kind	Cash	In kind		
National Gov. (KEFRI)	WaTER Towers project:	In-kind	-	500,000	-	n/a	n/a	2,545,455
National Gov. (KEFRI)	CADEP-SFM project	In-kind	-	4,000,000	-	n/a	327,273	327,273
National Gov. (KEFRI)	Integrated program to build resilience to CC and adaptive capacity of vulnerable communities in Kenya	In-kind	-	2,000,000	-	n/a	518,181	518,181
FAO	FAO Land Program	Cash	4,000,000	-	n/a	-	3,776,012	4,000,000
FAO	FAO RAELOC	Cash	2,000,000	-	n/a	-	1,076,049	1,076,049
<b>TOTAL (ALL CO-FINANCIERS)</b>		Cash/in-kind	<b>6,000,000</b>	<b>6,500,000</b>	<b>n/a</b>	<b>n/a</b>	<b>5,697,515</b>	<b>8,466,958</b>

<sup>29</sup> Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

<sup>30</sup> Grants, loans, equity participation by beneficiaries (individuals) in the form of cash, guarantees, in kind or material contributions and other (please explain).

<sup>31</sup> The type of co-financing whether cash or in-kind should be indicated separately

## Appendix 8. GEF evaluation criteria rating table and rating scheme

GEF criteria/sub-criteria	Rating <sup>32</sup>	Summary comments <sup>33</sup>
<b>A. STRATEGIC RELEVANCE</b>		
A1. Overall strategic relevance	S	Strategic relevance is high at all levels of government. At the national level it is directly supporting 10% tree cover and the big 4 agenda on food security and manufacturing and 3% of the government's pledge to AFRI100/Bonn Challenge (5.1 million ha). At the sub-national level it directly supports the county governments develop capacity and awareness on the role of the FLR process in CCA and its funding through updating of the CEAPs and Integrated Development Plans. At the community level it directly supports local communities protect their livelihoods and build resilience. It is also relevant to the international community because the forest landscapes of MKBR and Mukogodo are estimated to sequester over 24 million tCO <sub>2</sub> eq. Nevertheless, relevance is compromised by some shortcomings in the project's design, in particular the absence of supporting inter-county mechanisms already in place in the Mukogodo landscape and funding gaps for urgent rural infrastructure.
A1.1. Alignment with GEF and FAO strategic priorities	HS	The project remains strongly aligned to GEF6 Focal Areas BD-4-P9, CC-2-P4, LS-2-P3, LD-3-P4, and SFM-3, FAO's SO-2
A1.2. Relevance to national, regional and global priorities and beneficiary needs	S	The project supports achievement of SDGs 1 (Target 1.4), 2 (Target 2.4) 13 (Target 13b) and 15 (Targets 15.1 and 15.5) and is fully coherent with national priorities established in the Constitution (2010), Vision 2030 and the National Climate Change Strategy through the implementation of NCCAPs and the NAP. For this reason, the PSC chose to drop the development of the National FLR Strategy in favour of implementing an Action Plan (FOLAREP) to push the FLR agenda forward in the field. Beneficiaries confirm the project has applied FPIC and responds to their needs, in particular gaining communal rights to manage and own the forest landscapes they depend on for their livelihoods, well-being and cultural identity.
A1.3. Complementarity with existing interventions	MU	The Project is not benefiting from an adequate national coordination mechanism establish close cooperation and coordination between GEF-funded projects. For example, despite

<sup>32</sup> See rating scheme at the end of the document.

<sup>33</sup> Include reference to the relevant sections in the report.

**Assumptions:** → political and community willingness and capacity to invest in upscaling FLR; Cross-sector and cross-county coordination is valued and effective; private sector apply inclusive value chains; tools and methods of FLR/SLM adapted to local needs; SMEs reinvest profits to expand NTFPS; national/local laws on FLR/SLM/NTFPS are enforced; M&E supports informed decision-making.

**Risks:** → effective management and mitigation of effects of climate change (long droughts, shorter rainfall periods); political instability/staff rotation/divergent government priorities; socio-cultural reluctance to participate at local level; COVID-19 restrictions.

**Cross-cutting priorities:** → women and youths increase access to services; rights-based approach recognising local knowledge is applied.

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		some meetings taking place with the GEF5 project in neighbouring Samburu County (supporting restoration of the Kirisia forest and rangelands landscape and the TRI Tana project), formal synergies and regular information exchange on lessons, good practices and networking is not currently taking place on a regular basis. As such, the ASAL project has not been supporting the Amaya Triangle Initiative develop an integrated approach to managing the Mukogodo forest and rangeland landscape that covers the counties of Laikipia, Isiolo and Samburu and which is the subject of tree cover monitoring by KEFRI. Similarly, contact with the German-funded AREECA programme supporting FLR in Kenya since 2020, has not yet been fully established with the implementing partner WWF, despite having been consulted on the FOLAREP.
<b>B. EFFECTIVENESS</b>		
B1. Overall assessment of project results	MS	The project is making progress in meeting its objectives, but external factors such as the pandemic, a drought of over two years and administrative challenges have caused delays of around 12 months. As such the project is not on track to deliver its expected results by July 2023 and will need a time extension.
B1.1 Delivery of project outputs	MS	The project has applied a large number of LoAs to support the implementation of the long list of activities established in the Prodoc. This has enabled the project to carry out the preliminary and preparatory activities needed to guide and support the implementation of FLR activities on the ground, but also encouraged a fragmented approach to delivering each output. This has restricted interaction between partners and stakeholders engaged in different LoAs on seeking out integrated approaches on FLR management, FLR activities and development of services for bio-enterprises promoting sustainable commercialization of NTFPS. Overall, many of the project's outputs have been delayed by several external factors and will need a project time extension.
B1.2 Progress towards outcomes <sup>34</sup> and project objectives	MS	The project has made progress in achieving all four outcomes, but delays in operations amounting of almost 12 months linked to several factors largely beyond the PMU's control such as the pandemic, a growing energy crisis, and heavy FAO bureaucracy coupled with over-ambitious direct and indirect FLR targets provide suggest it is unlikely the project will meet its expected outcomes (especially 2 and 4) by July 2023.
- Outcome 1	S	The project has made good progress strengthening the national and county policy framework for FLR through the development of the FOLAREP, which has precipitated a national consultation process on its adoption, which has raised awareness on the role and benefits of FLR. Meanwhile, the development of a similar

<sup>34</sup> Assessment and ratings by individual outcomes may be undertaken if there is added value.

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		policy for NTFPS is still in process of development and it appears unlikely the policy will be adopted before 2023.
- Outcome 2	MS	The project is on track to establishing 202,397 ha under improved management. This is well above the 152,661 ha planned in the Prodoc and is due to the decision to apply the MKEMP over a wider area of the MKBR (51,436 ha compared to 1,700 ha planned). The application of FLR practices has been slower than planned (949 ha) due to the pandemic, prolonged drought and slow procurement of materials and tools to support activities such as removal of invasive species and grass seeding planned indicating it is highly unlikely the target of 8,700 ha can be reached by July 2023.
- Outcome 3	MS	Institutional strengthening (Outcome 3) is progressing as planned on applying CEOF/ROAM/FLR, but institutional building to apply the national strategy for NTFPS is unlikely to start in 2022. Moreover, its implementation will face major challenges, because the county governments do not have a policy framework, capacity, or resources in place to support bio-enterprises development.
- Outcome 4	MS	Achievement of Outcome 4 is behind schedule in most areas, although progress in producing quality knowledge products has been observed. The TEV study for MKBR is noteworthy for the data it provides on carbon sequestration, which indicates significant potential to explore carbon trading agreements, especially as they have already been developed by NRT in Oldonyiro conservancy in Isiolo County. The development the knowledge management system for FLR is progressing under a national committee, but the MTR team has doubts on the need to establish a separate KM for FLR, when one already exists in KEFRI and in KFS. Participation in TRI events and South-South exchanges has been curtailed by all events being replaced by online webinars and training courses, among others, which have less impact because there are no follow-up activities in the field.
- Overall rating of progress towards achieving objectives/ outcomes	MS	Achievement of the project and development objectives is unlikely, unless more time is available and gaps in the project design are addressed and solutions agreed and implemented. Achievement of the development objective is particularly challenging because these gaps include a general lack of engagement of specialists in bio-enterprise development in the PSC. For example, the exclusion of representatives from the Ministry of Industrialization, Trade and Enterprise Development such as from KIBT, or the Field Services Department, in the PSC means the project lacks adequate guidance and support in key areas such as networking and marketing to establish inclusive value chains in the most profitable NTFPS.
B1.3 Likelihood of impact	UA	Not rated in MTRs
<b>C. EFFICIENCY</b>		

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C1. Efficiency <sup>35</sup>	MS	Physical progress is moderately satisfactory at 43 percent to 28/02/2022 and is largely matched by accumulated expenditure of GEF funds amounting to 41% of total funds to 31/12/2021 (USD 1.717,976). The total number of direct beneficiaries who have participated in capacity development amounts is 21,259 to 28/02/2022, indicating the project is spending on average USD 80.8 on each beneficiary, which compares favourably to other TRI projects reviewed in STP and Pakistan. Co-funding (in cash and in-kind) was reported to be 2,840,000 to 30 June 2021, which is low (22.7% of planned co-finance). For every one US Dollar of GEF funds, the project is managing to leverage on average USD 1.65 from co-financing sources. However, because all projects providing co-finance have ended, the ASAL project faces major challenges in delivering some key outputs, especially where support in securing communal land rights are crucial to implementing FLR plans (such as in Makurian group ranch and in the MKBR).
<b>D. SUSTAINABILITY OF PROJECT OUTCOMES</b>		
D1. Overall likelihood of risks affecting sustainability	L	Sustainability of the FLR process instigated by the project is moderately likely, but this if an extension of around 18 months is authorised to support the application of the FOLAREP, the MKEMP and conservancy management plans in the core and buffer-zones of the Mukogodo forest and rangeland ecosystem. However, the sustainable management of both sites would be strengthened considerably if: (i) an ETS agreement is in place through the voluntary carbon trading market to generate an income to aid local communities restore the MKBR core and buffer zones; (ii) a move to an inter-county management approach under the Amaya Initiative is agreed to manage social conflict and identify a strategic approach to restoring and sustaining the wider Mukogodo landscape; (iii) urgent water infrastructure (bore holes) is established at both sites to provide water for human and livestock consumption and separate ones in wildlife corridors (to support eco-tourism). Sustainability of bio-enterprises is unlikely even if a NTFPs policy framework is established, because there is a lack of business services in the participating counties and linkages with NTFPs value chains and investment from the private sector remains very low. The concentration of resources on developing two NTFPs (gums and resins and hay/grass seed and medicinal plant production) plus ecotourism is likely to be more sustainable and ensure a focus on urban and rural markets respectively.
D1.1. Likelihood of financial risks affecting sustainability	L	Financial risks are moderate, but likely to become substantial because: (i) the project has had no access to co-finance since the last of the co-funding programmes (the Land Programme) ended in mid-2021; (ii) the COVID-19 pandemic and global energy crisis

<sup>35</sup> Includes cost efficiency and timeliness.

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		<p>exacerbated by the Russian invasion of Ukraine is causing a rise in prices that are projected to affect the ASAL region heavily; (iii) a lack of synergies with other projects has reduced the scope to reduce training and other costs through joint approaches; (iv) the project has largely overlooked the importance of developing income streams from carbon trading and other PES schemes to support FLR, which should be a central theme in the FOLAREP, MKEMP and in Mukogodo; (v) the identification of future investment in FLR/NTFPS has mainly focused on identifying funding from the climate funds and donors, rather than through government sources (such as fiscal incentives or environmental levies) and the private sector (through, for example, a Green Code of Conduct for the banking sector). This approach is not sustainable and high risk due to their heavy conditionality and slow approval process of donors such as GEF who need several years before funds can be disbursed. FAO also lacks an agile bureaucracy, which means it is not able to respond quickly and effectively to the climate and ecological emergency.</p>
D1.2. Likelihood of socio-political risks affecting sustainability	L	<p>Socio-political risks have increased from “moderate” in the PIRs to “substantial” over the last year. The financial risks associated with the pandemic and energy crisis are increasing social and political tensions on how to respond to social deprivation. Political manifestos of political parties have climate change and loss of biodiversity low on their agendas in the run up to general elections in August 2022. Failure of rains so far (16 April 2022) for a third year in the ASALs is likely to create further social tensions on entering the MKBR and Mukogodo forests. Moreover, these risks are not adequately reflected in the PIP and may need updating.</p>
D1.3. Likelihood of institutional and governance risks affecting sustainability	ML	<p>Institutional risks have increased from “low” in the PIRs to moderate because: (i) KEFRI is a centralised institution which makes it difficult to participate in devolved decision-making at the county government level. Also, despite having a new Research Centre in Laikipia, direct linkages with the ASAL Project have not been agreed upon so far; (ii) institutional overlaps with KFS and KWS remain, especially on the management of government managed forests where there is wildlife; (iii) insufficient emphasis given to inter-county mechanisms that are already in place to support conflict resolution and promote coordinated landscape management approaches (in particular ATI); (iv) inadequate levels of coordination has been established between GEF-funded projects and from other donors, such as AREECA, that are supporting institutional capacity building and governance of natural resources in Kenya</p>
D1.4. Likelihood of environmental risks affecting sustainability	MU	<p>Environmental risks are low, but, the lack of qualitative monitoring (such as the environmental health index) has reduced the scope to review key aspects of the ESS (especially relevant criteria under Safeguard 2), which are needed to support learning on the quality of the FLR achieved.</p>



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D2. Likelihood of catalysis and replication	ML	The adoption of CEOF/ROAM is likely to catalyse improved forest monitoring, which will be able to support informed decision-making on applying effective forest governance. The securing of communal land rights under the CLA and registration of CFAs is likely to encourage the wider community to adopt and apply FLR good practices. Generation of grass seed, hay and medicinal plants is proving to be highly popular among rural communities and there is already replication of grass seed production in Leparua conservancy, Isiolo County. Replication of improved charcoal production techniques is not evident and alternatives such as briquettes are needed. Replication of gums and resin production is not evident so far, but there is potential for replication due to the attractive market conditions for such products.
<b>E. FACTORS AFFECTING PERFORMANCE</b>		
E1. Project design and readiness <sup>36</sup>	MU	The project's design has gaps that are affecting performance and need to be urgently addressed by main stakeholders: (i) the lack of representatives from MITED and the private sector to guide the project's bio-enterprise development (focusing on three NTFPS); (ii) the lack of congruence between the project's intervention area in the Mukogodo landscape and KEFRI's landcover monitoring of the Mukogodo landscape which corresponds to the ATI; (iii) the lack of co-finance since July 2021; (iv) the long lists of activities to achieve outputs has encouraged a fragmented approach to achieving outcomes 2 and 3, rather than an integrated one; (v) there are many targets that are over-ambitious, unrealistic or no longer relevant that are likely to stretch resources and affect the degree to which the project achieves its objectives.
E2. Quality of project implementation	S	Overall, the quality of the PMU team's technical and administrative inputs has been satisfactory, especially taking into account the PMU has had to endure several challenges such as the restrictions on travel and group meetings due to the pandemic, severe drought conditions in the ASAL region and a lack of field staff in either MKBR, or Mukogodo landscapes. Interviewees also confirmed the quality of the consultation process for the FOLAREP, review of the CEAP and production of the MKEMP has been satisfactory, with a strong emphasis on participatory techniques and awareness raising on the benefits of FLR, which have encouraged county governments such as Isiolo trainings to view FLR as a valid approach to enhancing CCA to develop resilience to the growing effects of climate change.
E2.1 Quality of project implementation by FAO (BH, LTO, CTA, etc.)	MS	The quality of FAO's technical support has been satisfactory. Although no field visits have been conducted by the BH, LTO, or CTA since 2020, the pandemic has resulted in more virtual meetings with the PMU. Quality of support from FAO-KE was

<sup>36</sup> 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.

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		found to be moderately satisfactory. Overall, interviewees agree the pandemic has restricted FAO staff to travel to the sites, but signs that the pandemic is under control indicate more will need to be done to support synergies, especially with the TRI Tana Project, GEF projects of mutual interest and in facilitating dialogue with WWF on the management of the AREECA. FAO bureaucracy has slowed down some operations, especially LoAs and procurement of equipment and materials for tree nurseries and hay/grass seed production.
E2.1 Project oversight (PSC, project working group, etc.)	S	The PSC has met at least once a year and has been instrumental in successfully converting some planned outputs into current needs. These include switching from a national FLR strategy to the FOLAREP and focusing on the development of regulations for equitable benefit sharing of ecosystem goods and services rather than a new policy on access to natural resources and benefits sharing. However, more needs to be done to encourage an clustering approach to realising activities to achieve an integrated approach to FLR planning and management and bio-enterprise developments. The lack of representation of qualified expertise in bio-enterprise development is also a major drawback for the project.
E3. Quality of project execution	MS	The quality of the project's execution is mixed. Generally, stakeholders are satisfied with the resource assessments conducted, training provided to develop ROAM, the FOLAREP, MKEMP, communal land titling under the CTA, among others. The quality of the FLR activities in the field has been hindered by the lack adequate equipment, ensuring water provision to tree nurseries, providing nursery materials and seeds, acquiring processing equipment, among others. In addition, the FLR approach has paid insufficient attention to applying the enclosure approach to protect key sites from grazing livestock. The quality of training on the development of bio-enterprises has been affected by the drought and is pursuing unrealistic targets.
E3.1 Project execution and management (PMU and executing partner performance, administration, staffing, etc.)	MS	KEFRI has provided significant support as main executing agency and presided over the production of a number of assessments, some of which were found to be of very high quality, such as the TEV for MKBR. However, KEFRI should be encouraging the use of these assessments in a more proactive manner so that they feed into the development of the FOLAREP and MKEMP. There is a need for a more robust coordination mechanism between KEFRI, KFS and KWS on forestry management issues and MITED on development of services for bio-enterprises through its Research Centre and with the county governments. The implementation of the project through DEX has subjected the PMU to FAO's internal rules and regulations, which are not well understood and which causes high transaction costs and delays in operations.
E4. Financial management and co-financing	MU	The MTR team found financial management and co-financing appear to be a problem shared by all TRI projects. The MTR team has found the PMUs struggle to report on clearly on co-finance

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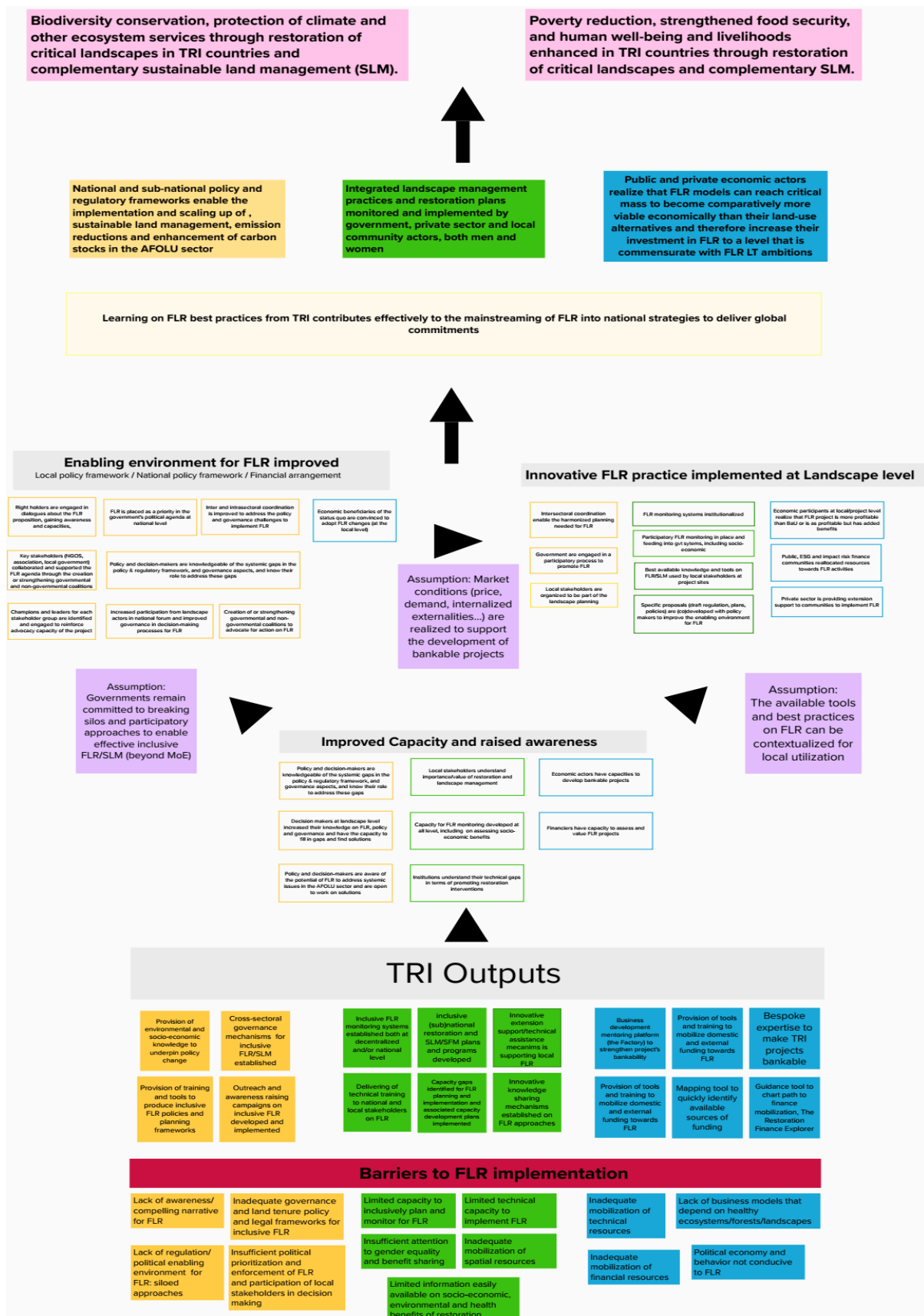
		expenditure, which appears to start from the Prodoc, where insufficient breakdown of the allocation of co-finance is provided. In addition, co-finance expenditure is reported in a very simplified manner in the PIRs. Overall, FAO is not providing adequate guidance on this, nor is it sufficiently proactive to step in and address co-finance shortfalls.
E5. Project partnerships and stakeholder engagement	MS	Partnerships with key players in the ASAL region, such as NRT, LWF, NMK and ICRAF through LoAs have secured access to their in-depth knowledge and experience, as well as a number of alliances already established with the end beneficiaries through other projects. However, engagement of other government institutions such as KIBT and DFS in MITED, or the private sector linked to the 14 NTFPS identified by the ASAL Project is low. Partnerships with the GEF Focal Point, IUCN, UNEP/Nature Kenya and WWF/AREECA were either not evident, or informal.
E6. Communication, knowledge management and knowledge products	MS	The project is producing a number of knowledge products and diffusing them via the internet, press releases, in newsletters and annual reviews produced by GCP, among others. In addition, an online webinar has facilitated an exchange on lessons learned and good practices. However, this does not appear to have been used to support the development of a robust communication strategy dedicated to advocating the role and importance of FLR in climate change adaptation policies for rural areas such as the ASAL region, nor on the ecosystem goods and services it restores to support payment for ecosystem services and the conservation of biodiversity and habitats. The decision to establish a new KM platform for FLR is important, but the MTR found this can be accommodated in KEFRI and KFS already existing KM platforms, rather than creating a new platform for FLR.
E7. Overall quality of M&E	MS	The quality of the M&E system is satisfactory from the point of view of tracking outputs linked to TRI's nine core indicators, but unsatisfactory to support learning, because it has no qualitative indicators or risk monitoring to stimulate understanding and informed dialogue on why knowledge, attitudes and practices are/are not changing at all levels, but especially in rural areas.
E7.1 M&E design	MS	The M&E system is designed to respond to the reporting needs of the PIRs and PPRs. Moreover, it defines which indicators under components 1-4 relate to the GCP's nine core indicators. As a result, the PMU is required to micro-manage all actions and outputs as they progress, which is costly and only partially supports informed decision-making because it lacks the qualitative aspects mentioned above.
E7.2 M&E plan implementation (including financial and human resources)	MS	The M&E plan has been updated in 2021 with the support of the GCP (through webinars). The M&E consultant in the PMU has not reported any major difficulties in implementing the M&E plan in terms of funding and human resources to support the formulation of the progress reports.

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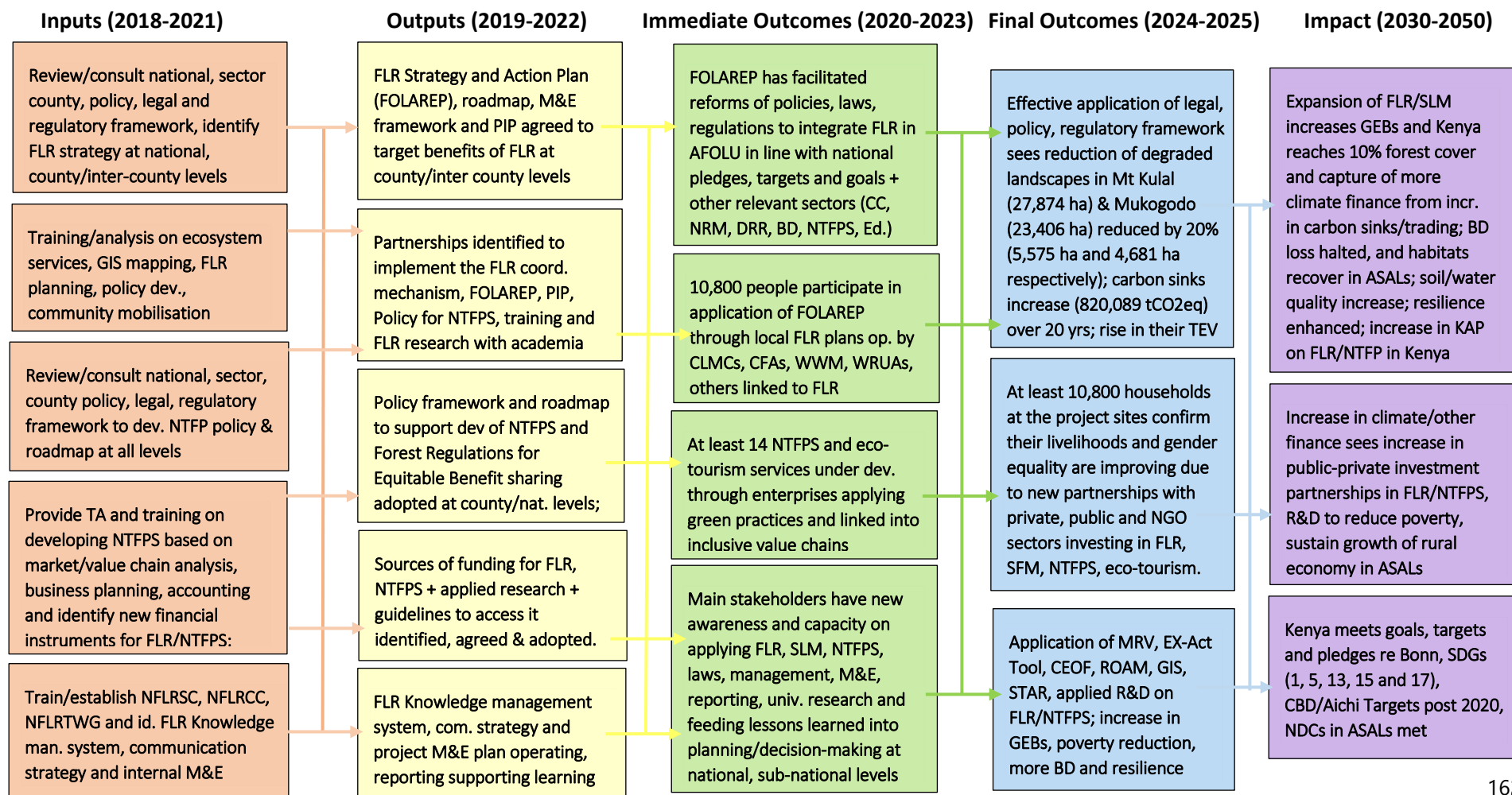
E8. Overall assessment of factors affecting performance	MS	Unless the gaps in the Prodoc are fully addressed and resolved/mitigated, the MTR believes they will continue to affect the project's ability to achieve its objectives.
<b>F. CROSS-CUTTING CONCERNS</b>		
F1. Gender and other equity dimensions	MS	The project is mainly concentrating on measuring women's participation rates in the project's main activities. Although the overall participation rate is satisfactory at 41.3% (under component 2 it reaches 50%) this does not constitute a gender strategy. In particular there is a need for additional monitoring of other vulnerable groups such as youths aged 15-25 years old and how far women and youths are participating in empowering roles (i.e. decision-making roles), or on securing the rights of indigenous peoples.
F2. Human rights issues	S	The MTR found evidence the project is applying a rights-based approach to forest management thanks to support from the Land Programme, which successfully supported the IING'wesi community gain communal land titles in 2020, although the programme closed in 2021, before Makurian ranch could achieve their land rights. The application of FPIC has ensured indigenous tribes in the project sites have given their priori approval to activities such as the development of the MKEMP.
F2. Environmental and social safeguards	HS	There is satisfactory compliance with the ESS standards, although none of the safeguards are included in the M&E Plan. For example, Safeguards 2.4, 3.2.2 and 4.7 have not been addressed, but are considered highly pertinent. They should, therefore, be addressed in the next PIR and considered for monitoring (especially Safeguard 2) as this would support qualitative monitoring relating to the application of the EHI.
<b>Overall project rating</b>	<b>MS</b>	

Ratings: *Highly satisfactory (HS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MU), Unsatisfactory (U) Highly unsatisfactory (HU) Unable to assess (UA). Additional ratings for Section E: Likely (L),*

## Appendix 9a Theory of change for The Restoration Initiative (2018)



## Appendix 9b. Theory of change for the ASAL Project (March 2022)



**Assumptions:** → political and community willingness and capacity to invest in upscaling FLR; Cross-sector and cross-county coordination is valued and effective; private sector apply inclusive value chains; tools and methods of FLR/SLM adapted to local needs; SMEs reinvest profits to expand NTFPS; national/local laws on FLR/SLM/NTFPS are enforced; M&E supports informed decision-making.

**Risks:** → effective management and mitigation of effects of climate change (long droughts, shorter rainfall periods); political instability/staff rotation/divergent government priorities; socio-cultural reluctance to participate at local level; COVID-19 restrictions. **Cross-cutting priorities:** → women and youths increase access to services; rights-based approach recognising local knowledge is applied.

