



# Terminal Evaluation Final Report

for the project:

Strengthening National Institutions in Kenya to Meet the Transparency Requirements of the Paris Agreement and Supporting the Coordination of National, Regional and Global Transparency-related Activities in Kenya

(CBIT Kenya)

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## Project Information

<b>Project name</b>	Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Supporting the Coordination of National, Regional and Global Transparency-related Activities in Kenya (CBIT Kenya)
<b>GEF Project ID</b>	9674
<b>GEF financing</b>	1,000,000
<b>Planned co-financing:</b> <b>Materialized co-financing:</b>	\$1,100,000 \$510,029
<b>Project Objective</b>	To enhance the SLEEK system in Kenya to ensure Compliance with the Paris Agreement Transparency Requirements.
<b>Key Outcomes</b>	<ol style="list-style-type: none"> <li>1. Strengthened institutional arrangement for Green House Gas (GHG) data collection and sharing</li> <li>2. Government departments in the 6 IPCC sectors have increased technical capacity to collect, document and archive GHG data</li> <li>3. Government has a functional GHGI and MRV System at the Climate Change Directorate (CCD)</li> <li>4. A functional coordination platform for transparency activities is in place</li> </ol>
<b>GEF Agency</b>	Conservation International
<b>Project countries</b>	Kenya
<b>Key dates</b>	Project start: January 15, 2018 Project completion: October 31, 2019
<b>Project Executing Agency</b>	Ministry of Environment and Natural Resources (the Climate Change Directorate - CCD)  Project Partners: SLEEK Secretariat, Vital Signs Programme, and The Green House Gas Management Institute (GHGMI).
<b>Duration</b>	22 Months

<b>FUNDING SOURCE</b>	<b>AMOUNT (USD)</b>
<b>GEF PROJECT FUNDING</b>	1,000,000
<b>PPG FUNDING</b>	48,659
<b>TOTAL GEF GRANT</b>	1,048,659
<b>CO-FINANCING 1: CONSERVATION INTERNATIONAL</b>	50,000
<b>CO-FINANCING 2: GOVERNMENT OF KENYA (GOK) - CCD</b>	1,000,000
<b>CO-FINANCING 3: THE GREENHOUSE GAS MANAGEMENT INSTITUTE (GHGMI)</b>	50,000
<b>TOTAL CO-FINANCING</b>	1,100,000
<b>TOTAL PROJECT COST</b>	2,154,500



## Acronyms and Abbreviations

<b>AFOLU</b>	Agriculture, Forestry and Other Land Use
<b>BAU</b>	Business-As-Usual
<b>BUR</b>	Biennial Update Report
<b>CBIT</b>	Capacity Building Initiative for Transparency
<b>CCD</b>	Climate Change Directorate
<b>CI</b>	Conservation International
<b>EWG</b>	Element Working Group
<b>FLInT</b>	Full Lands Integration Tool
<b>GEF</b>	Global Environment Facility
<b>GHG</b>	Greenhouse Gas
<b>GHGMI</b>	Greenhouse Gas Management Institute
<b>GoK</b>	Government of Kenya
<b>INC</b>	Initial National Communication
<b>IPCC</b>	Intergovernmental Panel on Climate Change
<b>KPIs</b>	Key Performance Indicators
<b>LULUCF</b>	Land Use, Land Use Change and Forestry
<b>MENR</b>	Ministry of Environment and Natural Resources
<b>MoU</b>	Memorandum of Understanding
<b>MTP</b>	Medium Term Plan
<b>NCCAP</b>	National Climate Change Action Plan
<b>NDC</b>	Nationally Determined Contribution
<b>R-PP</b>	REDD+ Readiness Preparation Plan
<b>REDD+</b>	Reduce Emissions from Deforestation and forest Degradation and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks.
<b>SLEEK</b>	System for Land-Based Emissions Estimation in Kenya
<b>SNC</b>	Second National Communication
<b>StARCK+</b>	Strengthening Adaptation and Resilience to Climate Change in Kenya Plus
<b>TNT</b>	The National Treasury
<b>UNEP</b>	United Nations Environment Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>VS</b>	Vital Signs



## 1. Introduction: Project Overview

1. The project titled '*Strengthening National Institutions in Kenya to Meet the Transparency Requirements of the Paris Agreement and Supporting the Coordination of National, Regional and Global Transparency-related Activities in Kenya*' is a medium-size project that was proposed by Conservation International (CI) and the Government of Kenya (GoK). The project was implemented over twenty-two-month period (22), inclusive of an initial 19-month period and a 3 month no cost extension, by CI as the Implementing Agency. The Project was executed by the Ministry of Environment and Natural Resources (MENR) through the Climate Change Directorate (CCD), the System for Land-Based Emissions Estimation in Kenya (SLEEK) program, Vital Signs (VS) and the Greenhouse Gas Management Institute (GHGMI).
2. Implementation phase ran from January 15, 2018 to October 31, 2019. A kick-off workshop was held in March 29, 2018. This project falls under the GEF's climate change focal area. The project had GEF funding of One Million United States dollars (USD 1 Million) and planned co-financing of \$1.1 million hence the total project cost was \$2.1 million.
3. As stated in the Project Document, the project's objective is: "to build Kenya's institutional and technical capacities to meet the requirements of the transparency framework under the Paris Agreement on Climate Change". The project was structured in three components as follows:

**Component 1: Strengthening national institutions and capacities in Kenya to enhance MRV transparency in line with Kenya's national priorities.** This component aimed to achieve the following:

- *Outcome 1:* Institutional arrangements for data collection and sharing, quality control and assurance, analysis and archiving will be strengthened in all the 6 IPCC sectors and 47 counties.
- *Outcome 2:* Through targeted training, capacity of stakeholders (in 6 sectors and 47 counties) will be built on data collection and processing protocols and tools for GHG inventory preparation, forecasting, and management.
- *Outcome 3:* A functional GHG inventory and MRV system for NDC tracking and reporting will be in place, with climate data and two climate action registries, with the objective of integration into policy making.
- *Outcome 4:* Public climate expenditure will be included in the MRV system for NDC tracking.

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<sup>1</sup> USD are used throughout, unless otherwise noted.



**Component 2: Supporting enhancements to SLEEK to assist with improvement of transparency over time.** This component aimed to achieve the following outcomes:

- *Outcome 1:* Enhance the existing institutions and arrangements among SLEEK data-contributing organisations for land sector data exchange and coordination, including the REDD+ activities, with CCD.
- *Outcome 2:* Support the institutional and technical capacity enhancement of the various organisations involved in collection and reporting of activity data for the land sector. Some non-sector specific capacity building training for the land sector players will be carried out under Component 1 while the land-sector and SLEEK specific aspects will be carried under Component 2.
- *Outcome 3:* Streamline the QA/QC processes used in the data collection and data preparation

**Component 3: Supporting the enhancement of the coordination between national, regional, and global transparency related activities in Kenya.** This component aimed to achieve the following outcomes:

- *Outcome 1:* Set up a coordination platform that will be a combination of web-based information, newsletters, in person meetings, and coordinated events to share ideas across the GoK ministries, departments, and professionals.
  - *Outcome 2:* Coordinate the multiple on-going initiatives that continue to be initiated from various development partners
  - *Outcome 3:* Support the Climate Change Directorate to put in place a monitoring and review process to provide the guidance necessary to shift capacity-building efforts toward sustained and long-term capacity results being built at the institutional and systemic levels
4. The project results framework is provided in the Project document (Prodoc). The project results framework represents the primary foundational element for assessing results (progress toward the expected outcomes and objective) and effectiveness.
5. According to GEF and CI-GEF evaluation policies and procedures, terminal evaluations (TE) are required for all GEF funded projects, and the terminal evaluation was a planned activity in the monitoring and evaluation (M&E) plan of the CBIT project. The terminal evaluation reviews the actual performance and progress toward results of the project against the planned project activities and outputs, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation assesses progress toward project results based on the expected objective and outcomes, as well as any unanticipated results. The evaluation identifies relevant lessons for similar projects and provides recommendations as necessary and appropriate. The evaluation methodology was based on a participatory approach, which included three main elements: a) a virtual inception workshop with the project executing agency, b) desk review of project documentation and other relevant documents; and b) stakeholder consultation using semi-structured interviews and Key Informant interviews.



6. The evaluation is based on evaluative evidence from the project implementation phase through October 31, 2019. The evaluation commenced January 6th, 2020 with the signing of the evaluation contract. The desk study was conducted from January 6 to February 11, 2020. A one-week field mission was carried out from February 10<sup>th</sup> - 14<sup>th</sup> 2020 with the project evaluator visiting Nairobi, Kenya.

## 2. Summary of Findings and Recommendations

7. The project evaluation implemented the agreed methodology (see Annex A) consistent with the GEF framework requirements. Evaluation investigation focused on assessing the extent the project achieved the target output and outcomes provided in the results framework. Evaluators assessed these project results through the lens of outcome-based results, progress to impact, and theory of change. Specifically, the evaluation aimed to answer the following questions: did the project achieve its target objectives and outcomes?; did project activities achieve progress to target impact?; and did such progress manifest the project's theory of change?. In summary, the evaluators assessed whether project activities increased capacity for monitoring climate change, improved GHG data for climate change monitoring and evaluation, and enhanced national and regional coordination to respond to the requirements set forth in the Paris Agreement on Climate Change.

### 2.1. Outcome Ratings (Overall achievement of outcomes)

8. The overall rating of project outcomes is based on performance of the following:
  - a. Relevance
  - b. Effectiveness
  - c. Efficiency
9. Section 2 provides a summary of the terminal evaluation. Subsequent sections provide the further explanation for the ratings, as well as recommendations for consolidating progress. Annex E describes the ratings criteria.
10. The overall project outcome rating is: ***Moderately Satisfactory***. The project was relevant to GEF objectives and satisfactorily managed. However, the evaluation research and interviews yielded evidence that the project fell short of achieving some of its intended outcomes. Furthermore, sustainability of the project investment and resulting outcomes are significantly at risk. The following sections discuss the specific GEF rating criteria areas of relevance, efficiency and effectiveness:



### 2.1.1. Relevance

Project relevance is considered **Highly Satisfactory**. The project was specifically requested by the GEF and clearly supported GEF priorities and strategies as well as national priorities. The project conforms with GEF climate change strategies and directly supports national and international climate change strategic priorities and targets consistent with the Biennial Update Reports (BURs), Nationally Determined Contributions (NDCs) and with the overall Paris Agreement on climate change. The project's strategy focuses on building capacity of the country to generate GHG data that will enable the country to meet its international reporting commitment whilst facilitating national and regional coordination of transparency activities.

### 2.1.2. Efficiency

11. Project efficiency is rated as **Satisfactory**. The project's internal coordination, financial management, adaptive management, and partnership approach are key evaluation factors for project efficiency. The project's M&E approach could have been strengthened as discussed in more detail later in this report. The project faced delays during implementation, which affected the project's secondary results in terms of outreach and uptake of modelling results. Project financial management also could have been strengthened. For instance, project participants reported that procurement and contracting took longer than expected and negatively impacted stakeholder participation and engagement in key project activities such as workshop and training events.

### 2.1.3. Effectiveness

12. Project effectiveness is rated as **Moderately Unsatisfactory**. The project aimed to improve institutional capacity for transparency, build in-country capacity to enhance the quality of GHG data collected going forward and improve national and regional coordination of climate transparency activities. Through the evaluation investigation, including in-country visits, improvement to institutional capacity was found to be limited. Data intended to be enhanced through the project remained inaccessible and, by the account of project participants, flawed in terms of data quality and, therefore, reducing its usefulness for decision making. Improvements to national coordination were identified and evidenced by established data sharing protocols and enhanced inter-agency coordination to enable transparency for climate change monitoring.



## 2.2.Sustainability Rating

13. There are significant risks to sustainability of the project results and overall **sustainability** is considered ***Moderately Unlikely***. At the time of the evaluation the project activities appeared to have mostly stopped. Project participants and key stakeholders were unable to access key data resources intended to be developed through the project. Equipment procured through the project was only partly in use after the end of the project. Participants who received training through the project's activities were no longer engaged in related activities to further the project objectives as they had left their employment or been moved to other roles focused on different objectives. Key stakeholders, including Government participants, stated that the project activities would not proceed further without additional external financial support.

## 2.3.Environmental and Social Safeguards Rating

14. Project safeguards were considered ***Highly Satisfactory***. There were no significant issues noted related to the planning and implementation of environmental and social safeguards.

## 2.4.Monitoring & Evaluation Systems Rating

15. Monitoring & Evaluation was considered ***Moderately Satisfactory***. The project M&E overall follows the GEF requirements and incorporates sound best practices. A lack of an explicit Theory of Change was an identified shortcoming, making M&E against project objectives difficult.

## 2.5.Implementation and Execution Rating

16. Implementation and execution were considered ***Moderately Satisfactory***. The project exhibited sufficient internal communication and coordination, work planning, adaptive management, financial management, and reporting.

## 2.6.Progress to Impact Rating

17. Progress to impact was considered ***Moderately Unsatisfactory***. The project achieved a less than expected impact toward its stated intentions to enhance MRV capacity, improve MRV systems, and strengthen institutional and policy coordination.



## 2.7. Terminal Evaluation Summary Rating Table

18. The overall rating for the project is ***Moderately Unsatisfactory***. It has been noted that the project encountered numerous difficulties throughout implementation relating to coordination with third parties and alignment on project procedures. The project also had an ambitious timeline for a relatively short duration. However, despite these noted challenges the assessment identified significant shortcomings in the effectiveness of delivering outcomes and progress to impact. Importantly, access to data and key outputs such as the inventory were lacking at the end of the project and time of evaluation – thereby also limiting progress and sustainability beyond the project end.

Monitoring & Evaluation	Rating	Implementation & Execution	Rating
M&E Design at Entry	HS	Quality of CI Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	S
Overall Quality of M&E	S	Overall Quality of Implementation / Execution	S
Assessment of Outcomes	Rating	Sustainability	Rating
Relevance	HS	Financial Resources	MU
Effectiveness	MU	Socio-political	ML
Efficiency	S	Institutional Framework and Governance	MU
Overall project outcome rating	MS	Environmental	L
		Overall Likelihood of Sustainability	MU
Impact	Rating	Environmental & Social Safeguards	Rating
Environmental Status Improvement	NA	Design and Implementation of Safeguards	HS
Environmental Stress Reduction	NA		
Progress Toward Stress/Status Change	NA		
<b>Overall project results</b>	MU		



### 3. Evaluation Approach and methodology

#### 3.1. Objective of the Evaluation

19. The **purpose** of the evaluation is to provide an independent external review of the progress toward the project's objective and expected outcomes, and to provide feedback and recommendations to CI and project stakeholders that can help consolidate project results and support the sustainability of the project after completion.
20. The **objective** of the terminal evaluation is to:
- Assess progress toward achievement of expected project objective and outcomes.
  - Identify and assess current risks to the success of the project.
  - Identify potential project design issues.
  - Identify and document lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of CI and GEF programming.
  - Make recommendations for any necessary measures to consolidate the results and support sustainability of the project.
21. The **scope** of the evaluation is outlined in the inception report and detailed methodology (see Annex A) covers the following aspects, integrating the GEF's Operational Principles, as appropriate. The scope integrates GEF's operating principles and key focal areas of the project evaluation framework as follows:
- Project Theory-of-Change and Strategy
    - Project design
    - Results Framework/Logframe
    - Progress Towards Results
    - Progress Towards Outcomes Analysis
    - Impact and Global Environmental Benefits
    - Catalytic role: Replication and up-scaling
  - Project Implementation and Adaptive Management
    - Management Arrangements
    - Work Planning
    - Finance and co-finance
    - Project-level Monitoring and Evaluation Systems
    - Stakeholder Engagement and Partnership Approach
    - Reporting
    - Communications
  - Sustainability
    - Risks to durability of project impact including capacity building
    - Financial risks to sustainability



22. The **scope** of the evaluation is as outlined in the inception report for the evaluation and defined in the following table consistent with the GEF Evaluation Criteria of relevance, effectiveness, and efficiency (see Annex E).

**Table: GEF Main Evaluation Criteria for GEF Projects**

<b>Relevance</b>
<ul style="list-style-type: none"> <li>• The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.</li> <li>• The extent to which the project is in line with the GEF Operational Programs or strategic priorities under which the project was funded.</li> <li>• Note: retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.</li> </ul>
<b>Effectiveness</b>
<ul style="list-style-type: none"> <li>• The extent to which an objective has been achieved or how likely it will be achieved.</li> </ul>
<b>Efficiency</b>
<ul style="list-style-type: none"> <li>• The extent to which results have been delivered with the least costly resources possible, also called: cost-effectiveness or efficacy.</li> </ul>
<b>Results</b>
<ul style="list-style-type: none"> <li>• The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention(s).</li> <li>• In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer-term impact including global environmental benefits, replication effects, and other local effects.</li> </ul>
<b>Sustainability</b>
<ul style="list-style-type: none"> <li>• The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion, considering financial risks, socio-political risks, institutional framework and governance risks, environmental risks</li> <li>• Projects need to be environmentally, as well as financially and socially sustainable.</li> </ul>

### 3.2.Principles for Design and Execution of the Evaluation

23. The evaluation was conducted in accordance with the GEF M&E Policy, which includes the following principles for evaluation: Credibility, Utility, Impartiality, Transparency, Disclosure, and Participation. The evaluators implemented an analytically rigorous methodology and thorough investigation into project design, management, and impact. The resulting evaluation provides evidence-based information that is credible,



reliable, and useful. The evaluation followed a participatory and consultative approach ensuring close engagement with the project team.

### 3.3. Evaluation Approach and Data Collection Methods

24. The evaluation commenced January 6, 2020, with the signing of the evaluation contract. The desk review and data collection portion of the evaluation were completed January to March 2020. A one-week field mission in Nairobi, Kenya was carried out in February 2020 during which the executing agencies and other key stakeholders were interviewed.

25. The evaluative evidence collected was based on two primary methodologies:

- Desk review of relevant documentation (a list of documents reviewed included as Annex F to this report)
- Semi-structured interviews
- Key Informant Interviews

26. As such, the TE process involved five main steps, some of which overlapped:

- Desk review of project documentation
- Organization and completion of key stakeholder interviews
- Analysis of data, follow-up to address any data gaps, and drafting of the evaluation report,
- Circulation of the draft evaluation to participants for additional feedback and input
- Finalization of the evaluation report and follow-up with the project team and stakeholders

### 3.4. Limitations to the Evaluation

27. For the CBIT Kenya project evaluation, we encountered limitations that impacted the evaluation. While all evaluations face constraints due to limited time, access, and resources to collect and analyze evidence, we also found gaining access to key Government stakeholders challenging, even during the in-country field visit. Outreach to these stakeholders to facilitate interviews and data collection prior to the field visit could have been improved by the executing agency by, for example, sending advance requests for interviews, coordinating meeting times, assisting in persuading stakeholders to participate in the evaluation to gain more involvement. Likewise, improving logistical support with accurate directions and timing would allow the evaluation to be more efficient. In terms of document collection and desk research, the CI project team provided all requested information and data for the evaluation data collection process.

28. Wherever possible the evaluation has tried to draw on multiple data sources to triangulate findings.



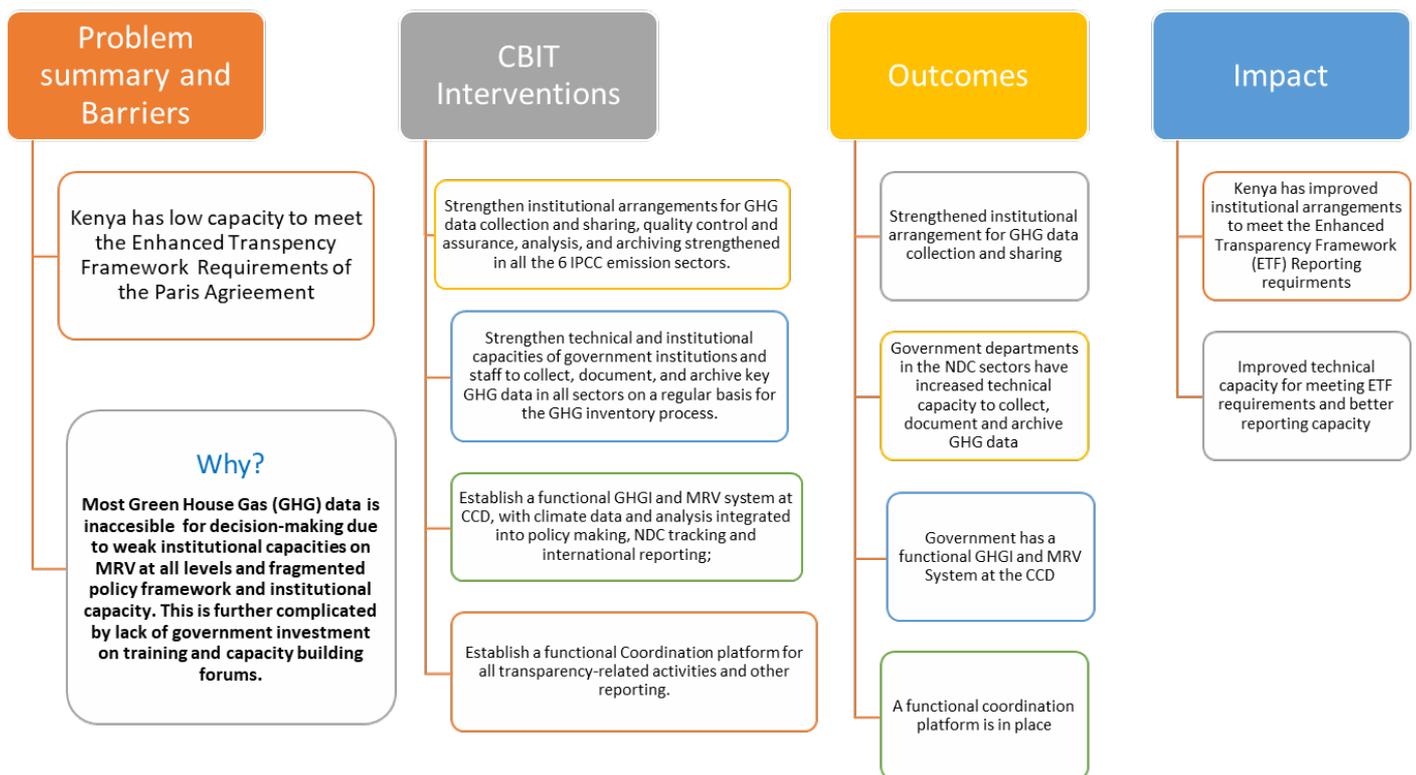
29. Altogether the evaluation challenges were manageable, and the evaluation is believed to represent a fair and accurate assessment of the project.

#### 4. Theory of Change

30. There was no explicit Theory of Change established for the project. The central aim was to build capacity in Kenya to enable transparent and effective reporting consistent with the Paris Climate Change Agreement.

31. For the purposes of the evaluation we established an implicit Theory of Change that *“investment in capacity building, built capacity for GHG data collection and strengthened inter-agency coordination would improve decision making and reporting to meet transparency requirements of the Paris Climate Agreement.”*

32. During terminal evaluation, CI-Kenya team prepared a Theory of Change as follows:



33. The **Objective of the CBIT-Kenya Project** was to enhance the SLEEK institutions in Kenya to ensure Compliance with the Paris Agreement Transparency Requirements. This objective would be achieved through **3 major activities**: (a) Building in-country technical capacity (e.g., trainings) to develop and operate a Green House Gas Inventory (GHGI) and MRV system; (b) Strengthening institutional arrangements for



GHG data sharing amongst key institutions from the primary IPCC GHG sectors through signing of data sharing agreements; (c) Strengthening institutional capacity of the CCD via provision of equipment for the GHGI.

34. It was anticipated that implementation of the activities above would yield the following **outcomes**: (1.1) Strengthened institutional arrangements for GHG data collection and sharing, quality control and assurance, analysis, and archiving strengthened in all the 6 IPCC emission sectors; (1.2) Strengthened technical and institutional capacities of government institutions and staff to collect, document, and archive key GHG data in all sectors on a regular basis for the GHG inventory process; (1.3) Establishment of a functional GHGI and MRV system at CCD, with climate data and analysis integrated into policy making, NDC tracking and international reporting; (2.1) Strengthened institutional arrangements for GHG data collection and sharing, quality control and assurance, analysis, and archiving strengthened for the land-based sector; (3.1) Establishment of a functional Coordination platform for all transparency-related activities and other reporting. Overtime, these outcomes will contribute towards elimination of the following barriers to transparency:

1. **Inaccessibility of key Green House Gas (GHG) data for decision-making:** In assessing national emissions in the various sectors, the GoK relies on data from various institutions including ministries, public and private sector and civil society organizations. This data, however, is either not available, not of the correct quality, incomplete or does not flow systematically because some institutional policies and practices make data sharing difficult.
2. **Weak institutional capacities on MRV at all levels:** The GoK staff at both national and county levels have limited capacities to develop and implement a robust MRV system. The GHG data collection for the AFOLU sector is particularly weak in Kenya.
3. **Fragmented policy framework and institutional capacity:** many sectoral policies and laws governing the environment sector in Kenya are not aligned. These include policies and laws in agriculture, land, water, forests, trade, and industry.
4. **Lack of government investment on training and capacity building forums:** The GoK lacked funds to allocate towards the development of and capacity building on MRV systems. This led to inadequate or poor-quality data in many sectors of the economy, including those that are climate sensitive.

35. The section below describes the link between the CBIT-Kenya project activities, outcomes and how they will contribute towards addressing barriers to transparency in Kenya and achieve the overall Goal of CBIT over-time:

It is anticipated that overtime, Barriers #1 and #2 above will be addressed if the country has built in-county technical capacity to collect quality GHG data, document, and archive key data. Outcomes 1.1, 1.2, 1.3 will ensure continuous collection and availability of up-to-date quality GHG data across all the IPCC emission sectors hence cases of limited or no GHG data will be eradicated. Subsequently, in-country capacity to develop and operationalise the GHGI and MRV system will ensure Kenya



consistently prepares and submits required reports such as NCs and BURs to the UNFCCC. In-addition, in-country technical capacity to consistently collect, analyse and document quality GHG data coupled with strengthened institutional arrangements for GHG data collection and sharing amongst key institutions from the 6 IPCC GHG emission sectors will ensure continued flow and sharing of data. As a result, Kenya will be able to constantly track progress made towards achieving its NDC and will be able to clearly identify additional support required to reach Tier 3 reporting and fulfil the enhanced transparency requirements defined in Article 13 of the Paris Agreement.

Overtime, outcomes of the CBIT project through outcomes 1.1, 1.2, 1.3, 2.1 and 3.1 will address Barrier #3. Improved coordination and strengthened institutional arrangements for GHG data collection, sharing, quality control and assurance, analysis, and archiving amongst key institutions from the 6 IPCC emission sectors will result to alignment of Kenya's environmental legislation and formulation of climate proof policy frameworks in the long-run. Overtime, constant and transparent sharing of GHG data and other relevant information amongst the institutions from the 6 IPCC emission sectors (which are party to the GHG data sharing agreements) will enable them to work together during formulation of policies. Notably, all these institutions will have access to up-to-date reports detailing the status of Kenya's GHG emissions and sinks. The reports will guide these institutions to make informed decisions on national development planning and how best to partner to establish and execute climate sensitive activities and/or policies in-order to transition the country towards a low-carbon pathway. Climate sensitive legislative frameworks create an enabling environment for attracting and accessing climate finance. Access to climate finance will promote implementation of climate transparency initiatives amongst other initiatives hence steer the country towards fulfilling its NDC and fulfil its commitment to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement

Overtime, outcomes 1.1, 1.2, 1.3, 2.1 and 3.1 will address Barriers #3 and #4. Funds allocated to the CBIT Kenya Project will enable Kenya to establish a GHGI and MRV System whilst strengthening institutional and technical capacity of staff to collect, document, and archive key data in all sectors on a regular basis for the GHG inventory. Findings from Kenya's Climate Public Expenditure and Budget Review (CPEBR) show that Kenya can enhance access to climate finance by ensuring climate change considerations are incorporated in budgeting, planning and finance processes at National and County level (UNDP, 2016). The reports generated by compiling the GHGI are a basis for decision makers to justify why climate sensitive activities should be included in national planning and budgeting. In-addition, the GHGI reports can be used to mobilise external funding for climate adaption and mitigation initiatives which will enable the country work towards implementing activities in the NDC and fulfil its commitment to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement.



OBJECTIVE OF THE CBIT KENYA PROJECT	STRATEGIES <i>If we do the following...</i>	EVIDENCE OF IMPROVEMENT <i>...then we will see these changes</i>	INTENDED IMPACTS <i>thereby causing these impacts</i>	
<p>To enhance the SLEEK system in Kenya to ensure Compliance with the Paris Agreement Transparency Requirements.</p>	<p><b>OUTCOMES PER COMPONENT</b></p> <p>1.1 Strengthen institutional arrangements for GHG data collection and sharing, quality control and assurance, analysis, and archiving strengthened in all the 6 IPCC emission sectors.</p> <p>1.2 Strengthen technical and institutional capacities of government institutions and staff to collect, document, and archive key GHG data in all sectors on a regular basis for the GHG inventory process.</p> <p>1.3 Establish a functional GHGI and MRV system at CCD, with climate data and analysis integrated into policy making, NDC tracking and international reporting;</p> <p>2.1 Strengthen institutional arrangements for GHG data collection and sharing, quality control and assurance, analysis, and archiving strengthened for the land-based sector.</p> <p>1.1 Establish a functional Coordination platform for all transparency-</p>	<ol style="list-style-type: none"> <li>1. GHGI developed and operationalized by in-country personnel –</li> <li>2. In-country personnel trained by the CBIT Project have the capacity to develop and operationalise the GHGI and MRV System</li> <li>3. GHG data sharing amongst the institutions from the IPCC emission sectors</li> <li>4. CCD playing an active role in coordinating GHG data sharing amongst the institutions from the IPCC emission sectors</li> <li>5. Kenya using in-country expertise to prepare reports submitted to the UNFCCC e.g., BURs, NCS</li> <li>6. Kenya fulfilling its international reporting obligation e.g., consistent reporting to UNFCCC</li> </ol>	<p><b>LINKAGE WITH THE GEF CBIT GOAL</b></p> <p><b><u>Near Term Impact (&lt;10 years)</u></b></p> <ol style="list-style-type: none"> <li>1. Kenya tracking progress of its NDC – the functional GHGI supporting this process</li> <li>2. Kenya using in-country expertise to prepare reports submitted to the UNFCCC e.g., BURs, NCS</li> <li>3. GHGI reports supporting decision making in Kenya</li> <li>4. GHG data sharing amongst the institutions from the IPCC emission sectors</li> <li>5. CCD playing an active role in coordinating GHG data sharing</li> <li>6. Kenya fulfils its international reporting obligation e.g., consistent reporting to UNFCCC</li> <li>7. Kenya identifies further support required to realize Article 13 of the Paris Agreement</li> </ol> <p><b><u>Long-Term Impact (&gt;10 Years)</u></b></p> <ol style="list-style-type: none"> <li>1. GHGI and MRV system fully functional which enables Kenya to reach Tier 3 reporting</li> <li>2. Quality, updated GHG data accessible to all stakeholders</li> <li>3. Existing in-country technical capacity to collect up-to-date quality GHG data and feed into the GHGI</li> <li>4. Functional Institutional arrangements for GHG data sharing</li> <li>5. Aligned cross sectoral of environmental policy frameworks</li> <li>6. Increased access to climate finance (especially funding for transparency activities)</li> </ol>	<p><b>LINKAGE WITH ARTICLE 13 OF THE PARIS AGREEMENT.</b></p> <p>Strengthened national institutions for transparency-related activities in line with national priorities and improved transparency over time which results to fulfilment of the enhanced transparency requirements defined in Article 13 of the Paris Agreement.</p>



OBJECTIVE OF THE CBIT KENYA PROJECT	STRATEGIES <i>If we do the following...</i>	EVIDENCE OF IMPROVEMENT <i>...then we will see these changes</i>	INTENDED IMPACTS <i>thereby causing these impacts</i>	
	related activities and other reporting.			

36. This Theory of Change, therefore, provides a useful context for the assessment of project results as summarized in the following sections. Each project outcome and component is evaluated in the context of the progress to impact and furtherance of the project Theory of Change.

37. However, it is also recognized that time scales for impact must be taken into consideration. Specifically, institutional capacity building requires a long-term scale with consistent and sustained investment. It can be difficult to fully evaluate the long-term benefits to institutional capacity building resulting from training activities of specific individuals. This evaluation incorporates these considerations to evaluate the effectiveness and efficiency of project activities towards the intended impact and overall Theory of Change.

## 5. Assessment of Project Progress to Impact

38. The GEF Evaluation Office requires a rating on project impact. Overall, the project progress to impact is rated as ***Moderately Unsatisfactory***. Firstly, it is necessary to note that the project was not intended to fully achieve the goal of enabling compliance with the Paris Agreement in the lifetime of the project. The project’s stated intentions were to enhance capacity to enhance MRV capacity, improve MRV systems, and strengthen institutional and policy coordination. However, based on the project implicit Theory of Change and the stated objectives, we can assess how significant project contributions have been or will be toward achieving that goal in the future. Thus, to assess the Progress to Impact we revert to reviewing the questions posed above as follows:

39. **Data accessibility:** Did the project activities contribute significantly to improve access to data?

- At the time of the evaluation, according to multiple stakeholders, data remained inaccessible to various project participants and was not being used for analysis, policy formulation, or decision making. Inaccessibility appears to be a result of institutional licensing arrangements with regard to data and software.

40. **MRV capacity:** Do the stakeholder agencies now have significantly improved capacity to conduct MRV activities?



- At the time of the evaluation, given the inaccessibility of data, it was difficult to assess whether or not stakeholder agencies had retained or were utilising the MRV capacity resulting from the project or that project activities had significantly enhanced this capacity.
41. **Policy framework:** Is the policy framework significantly less fragmented and providing a more cohesive and aligned approach to relevant environmental policies?
- The project did establish important arrangements for data sharing and collaboration, which are critical for any sustained progress toward impact. These accomplishments enable a more cohesive policy framework for MRV and other required activities to comply with the Paris Agreement. Beyond these achievements, it is unclear how the project made significant contributions to enhancing and enabling a more coordinated policy framework. There are other concurrent projects related to the CBIT project's goals so it is difficult assign attribution. At the time of the evaluation, we did not find evidence of the project's tangible contributions to a more cohesive policy framework beyond those mentioned above.
42. **Government investment:** Are government agencies now investing more resources into capacity building and MRV systems?
- The timeframe to answer this question is difficult to determine. It should be recognized that the time scale for the Government to mobilize resources and implement programs to investment in capacity building is likely to be longer than the six months from the end of the project to the time of the evaluation. It may very well be that the Government will increase investment in this area in part due to the CBIT project and this would not be surprising given the high priority of the objective, involvement of various agencies in the project, and the evident need for enhanced capacity. However, at the time of the evaluation we did not find evidence that the Government had mobilized resources to continue progress from the project.
43. Part of the scope of the evaluation included an assessment of the extent to which GEF promoted approaches, technologies, financing instruments, legal frameworks, information systems, etc., that were adopted/implemented without direct support from, or involvement of, the project. At the time of the evaluation, and through consultation with various project participants and stakeholder organizations, we did not find evidence that any such adoption had taken place.
44. We also sought to assess the arrangements in the project design to facilitate follow-up actions related to the projects outputs and intended overall objectives. Our review of the initial project document (Prodoc) did not identify any such arrangements. At the time of the evaluation there were no evident arrangements, nor have actions recently undertaken that would facilitate follow-up.
45. There may indeed be valid alternative interpretations and assessments of the project's progress to impact. We would anticipate that such differing views would be



founded on either a different interpretation of the project’s Theory of Change or, as stated above, a different timescale for assessment. Regarding timescale, as noted above we acknowledge it is difficult to assess the progress to medium or long-term impact at this time. Regarding the Theory of Change, we have anchored the Theory of Change and assessment of the related progress to impact in statements provided by the project management in documentation including the Prodoc and PIR. However, as stated, there was no explicit theory of change for the project, so this remains open to subjective interpretation.

## 6. Assessment of Project Results

46. **Project Objective:** The overall stated project objective was *to enhance the SLEEK system in Kenya to ensure Compliance with the Paris Agreement Transparency Requirements*. Section 6 provides an overview; subsequent section provide further explanation for the various elements.

<b>Overall Rating:</b> (6 point scale; from highly unsatisfactory to highly satisfactory; see Annex E)		
<b>Rating</b>	<b>MS</b>	
The overall rating for the project is <b><i>Moderately Satisfactory</i></b> . Firstly, the evaluation identified evidence that the SLEEK system had been enhanced but the fact that the system was not operational at the end of the project represented a shortcoming. Secondly, the evaluation found that despite conducting trainings with a large number of participants, the investments in capacity building for MRV had limited impact and sustainability, mainly because government staff had been subsequently reassigned to different positions within the civil service. Therefore, progress toward ensuring compliance with the Paris Agreement was limited. Thirdly, however, the project did accomplish several notable improvements to institutional coordination and related policy development - both commendable and critical progress to establishing the foundational environment for effective compliance.		

### Overview:

47. A key part of the project as agreed between CI and Government of Kenya was to focus on the production of the inventory as an output of the project. The Kenya CBIT project built on the earlier work of projects to fully implement the MRV system for the five (5) sectors (Agriculture, Energy, Waste, Forests, and Transport), such as SLEEK and the Low Emission and Climate Resilient Development (LECRD) project, funded by USAID through UNDP. The institutional arrangements, technical capacity, coordination mechanisms and data access, ownership and analysis were identified as barriers to the operationalization of MRV.
48. CBIT looked to address these barriers during project implementation. Interviews with stakeholders indicate that the project achieved its objectives regarding Component 1. CCD as the lead executing agency from the GoK acknowledged the contribution of the CBIT project to the production of the national inventory and MRV reporting. They also recognised the project’s contributions towards calculations of emissions using the



IPCC tools and the movement of some of the sectoral data systems from Tier 1 to Tier 2. There is increased data quality and access, coordination amongst government agencies has been improved, the quality of reporting from the five sectors has improved – the project supported the production of a forest land cover map – and the capacity now exists for the production of an inventory. Before the project, the inventory process had been driven by external consultants with very little Kenyan input or knowledge. This work can now all be done in-country and there is ownership of the process by the GoK.

49. At baseline, there was no usable data for estimation of emission levels, there was very little coordination and sharing of data between government agencies – information management was done in silos. The project had success in increasing coordination among agencies and improving information sharing and coordination. All stakeholders agree that this is one of the greatest outputs of the project. The work of the Greenhouse Gas Management Institute (GHG MI) was greatly appreciated by all stakeholders.
50. Coordination between agencies and sectors is much better and was attributed by the stakeholders to the project–government officials from emission-sector institutions are enthusiastic about the continuation of the project gains, given that the GoK is crafting development plans that will require accurate and reliable emissions data.
51. The system is however operating below optimal levels. It cannot yet meet the transparency requirements required by the Paris agreement due to several factors – networking, institutional arrangements, and management.
52. The fact that the platform is not fully functional has limited the ability of the various bodies involved in GHG inventory – CSOs, GoK agencies, universities, and private sector – to network in terms of data collection, processing, and reporting. CCD acts as the collation agency where data is aggregated but the platform was meant to serve as a mechanism for the sharing and interpretation of data across sectors, acting as a cooperation framework.
53. There is insufficient institutional coordination between CCD and the sector hubs as well as the MRV stakeholders. Much of this can be traced to the fact that the capacity building within the CCD did not achieve its goal of enabling it to coordinate activities across institutions. Staffing of the office and harmonization of the work being undertaken by the various organizations involved in GHG activities will improve transparency.
54. Better understanding and harmonizing of these activities and stakeholders will help avoid duplication and result in improved transparency.
55. Stakeholders all agreed that more still needs to be done to sustain the gains of the project – staff attrition in the government sector means that many beneficiaries of the capacity building activities are either not in place or have transferred to



departments not directly involved in climate change activities, MoUs signed through the project are not necessarily being followed, and sectoral activities are not being coordinated as well as expected.

56. Meetings with stakeholders conducted for this evaluation revealed that the formulation of this project did not happen in “a straight line”. Between the concept of the project, the original Project Identification Form (PIF), and the final project document approved by GEF, the design of the project went through a few iterations. Along these steps, the formulation of the project strategy evolved to end up with a sharper focus on supporting the GoK in the production of a national inventory report.
57. The decision was made to de-emphasise the enhancement of SLEEK in favour of producing the report. This decision was taken with the full participation and agreement of the government agencies involved in the project. It was felt that the SLEEK project had produced outputs which were intangible and there was a desire to see something more concrete emerge as output of this project, as opposed to further capacity building, the results of which are difficult to quantify.
58. In addition, the GoK had recently enacted policies that are dependent on the availability of accurate and reliable data for emissions estimations. This ensured the immediacy of the project’s objectives and further pushed the focus towards the production of emission numbers.
59. All stakeholders and partners interviewed by the evaluation team found that the time and resources were insufficient to achieve the planned outcomes of the project. Likewise, the duration of the project was not realistic. Most stakeholders interviewed estimated a minimum of 3 years of continued work before signs of impact across MRV reporting could be measured. Compounding the issue of the lack of time was the fact that the project started late due to several factors. The project manager was recruited after the project started and there were delays in funds being transferred. This delay appears to have impacted the project timeline and project management processes were not implemented on time. A no-cost extension was provided by CI-GEF in coordination with the Government of Kenya. However, the delays in project activities meant that the objectives could not be fully achieved, especially regarding component 3. The online platform was built with data compiled, however, due to access rights it was not operational at the end of the project or at the time of the evaluation.
60. Project execution was also affected by the composition of the project management team. There was only one person responsible for project management, administration, monitoring and reporting. This created a workload that led to delays and interruptions. The integration of CI’s financial mechanisms with those of the partners and stakeholders also contributed to project delays. There was misunderstanding, especially among government agencies, of the processes required to ensure the timely transfer of funds. CI funding was also restricted and could not be used to pay the allowances requested by stakeholders for government workers who



attended trainings. These allowances had been mandated by the permanent secretary of the Kenyan civil service and was therefore, SOP of GoK. This problem was only resolved when stakeholders developed an agreement to provide payments to the government officials participating in the project. It is doubtful that there would have been any outputs to report on if this issue had not been resolved.

61. According to the government stakeholders, the project contained some design flaws. A major flaw was a misunderstanding of the hiring practices of the government of Kenya. This meant that the CCD could not retain the staff that were hired by CI. The Government also wanted to second people to the project without following CI's procurement process. As a result, most of the people who were being proposed by the Government ended up not meeting the criteria as required by CI. The office is still unoccupied, the interns hired by CI could not be retained as their hiring process did not follow the normal GoK protocols. While this may have been the intent of the project activities, the approach did not yield the overall objective of sustainable capacity building.
62. Given the tangible results of the project, most of the partners interviewed report satisfaction given the activities carried out with available time and resources. They expressed the view that the CBIT project should serve as a preparatory phase of a larger and longer program allowing partners to focus on the gains of the project. They indicated that partners are now better coordinated and have a better understanding of the needs for the preparation of an emissions inventory.
63. The levels of reporting are different across the sectors, but the data quality has moved from Tier 1 to Tier 2. However, partners felt that with the cessation of activities with project closure, most efforts are likely to be lost in the medium term. The evaluation team identified a risk of fulfilling near-term outputs – registry, inventory – due to an unclear strategy for how uptake of the capacity building initiatives will produce a long-term impact and an unclear exit plan. For example, the Government has reduced staffing at the CCD with only 2 people able to work adequately with the data required for MRV reporting. This means that the collation and management of emissions data can be easily compromised.

**Relevance:**

64. Overall, the evaluation found the project relevance to be ***Highly Satisfactory***. Signatories to the Paris Agreement are expected to have submitted Nationally Determined Contributions (NDCs) which represent the national plans and pledges made to meet the universal goal of keeping global temperature increases to below 2°C above pre-industrial levels.
65. A key result of the Paris Agreement negotiations was the establishment of an enhanced transparency framework for tracking and reporting the progress of existing and future country commitments. CBIT was created to help strengthen the institutional and technical capacities of non-Annex I countries to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement.



66. All sources of information (documents and interviews) confirmed that Kenya's ability to fulfil its obligations under the Paris Agreement was limited prior to the CBIT project. The project's objectives were thus fully consistent with international objectives for improving GHG estimations and meeting the obligations of the Paris Agreement.
67. Its timing was excellent; it provided the government with additional resources to strengthen its MRV system. From a timing point of view, the CBIT project was also highly relevant. It was designed during the strategic planning period of the GoK when national development priorities are being determined. With climate change adaptation and the effects on the economy being given priority by the government in their planning period. There are policy decisions that will be dependent on the availability of quality GHG data and information. Thus, all stakeholders considered that the project was necessary both from a technical and political point of view.
68. The project was formulated based on a contextual review which provided the necessary background studies for the formulation of the project. The final project concept emerged from national priorities, which were identified during the consultation stage. The participative process to design and implement the project also contributed to a strong stakeholder ownership and made this project more relevant. The result was the design of a project that was a direct response to national prioritized needs. The government is in the process of applying for development funding from donor agencies. Once such funding secured it is anticipated the limited of mobilization identified in the evaluation will have been addressed.
69. The GoK has been seeking to develop an MRV reporting system. GHG emissions and reporting was an activity that was outsourced to foreign consultants. The capacity of Kenya to produce MRV reporting was limited by two critical barriers: the accessibility and validity of data, and the lack of human capacity and institutional arrangements to ensure the management of the system.
70. The project was designed to address these barriers; hence it is fully relevant for improving the management of the MRV reporting in Kenya.
71. The terminal evaluation of the relevance of each component is provided below.

#### **Effectiveness:**

72. Overall, the evaluation found the project effectiveness ***Moderately Satisfactory***. The CBIT project delivered results across each of the three components. The assessment of project effectiveness (delivery of results at the outcome level) is based on the level of attainment of objectives and planned results by examining the achievement of the outcomes using the logframe (revised) indicators as well as the analysis of the likelihood of impact using the review of outcomes to impact.



73. The terminal evaluation of the effectiveness of each component is provided below.

#### Efficiency:

74. Overall, the evaluation found the project effectiveness ***Moderately Satisfactory***. In reviewing the management and partnership agreements entered by the project, the evaluation team observed that the collaborations entered into with the key stakeholders were arrived at after a participatory process. However, project management and institutional policies clashed between CI and stakeholders. This impacted the effectiveness of the project as there were problems with the integration of management systems which caused some delays in the delivery of project activities. In future projects it is advisable to strengthen communication and agreement of such policies at project inception if not prior.

75. Most of the stakeholders interviewed believed the financial management systems of CI were not conducive for effective work. There were delays in fund transfers, misunderstanding of the systems for disbursement of funds, and the allocation of project resources. While such difficulties are not uncommon for similar projects the prevalence of these difficulties appeared higher than would be expected. As noted in the recommendations this is an area for consideration for future investments.

76. The project implementation started after the signing of the partnership agreements, and the agreements of MOUs and despite difficulties due to factors both within and outside the project's control. The project was not always able to respond to the changing needs of the partners and the management structures did not contribute effectively to project implementation. The main difficulties included: (i) human resources constraint: the project implementation team for a project this size requires more staff to ensure proper management of the project, (ii) time consuming procurement processes; CI internal administrative hurdles, and (iii) GHG data availability and access. Financial information indicated that despite delays in funds transfers, project funds were properly allocated to their expected allotment areas.

The burden of organizing the workshops proved to be even higher than expected. This together with the previously mentioned difficulties required considerable effort to cover the required technical and administrative support with the staff constraints.

77. The terminal evaluation of the efficiency of each component is provided below.



## 6.1. Project Outcomes

**Component 1: Strengthening national institutions and capacities in Kenya to enhance MRV transparency in line with Kenya’s national priorities.**

<b>Overall Rating</b>	<b>MS</b>	
<b>Relevance</b>	<b>S</b>	
<p>The project capacity building outcomes were congruent with the GEF focal areas and operating strategies. The outcomes were also consistent with national strategies and the requirements of the Paris Agreement.</p>		
<b>Effectiveness</b>	<b>MS</b>	
<p>The project investments in institutional arrangements for GHG data sharing were adequate to achieve project outcomes. Training activities for capacity building outcomes, however, were not commensurate with the intended goals and did not make significant progress toward impact as discussed in subsequent section of this report. While many individuals participated in training, these activities appear to have been ineffective in enhancing overall capacity as evidenced by the lack of retained staff and lack of continued progress beyond the end of the project. At the time of the evaluation, the capacity had not been maintained or sustained by stakeholder agencies. In terms of data collection and incorporation, these actions were not commensurate with intended impact. During the evaluation, stakeholders were unable to access significant parts of MRV data and share them with the evaluators due to licensing and technical constraints. Further several stakeholders expressed grave concerns about the data quality and utility for decision making. Lastly, the intended web platform was not operationalized nor was the GHG inventory and MRV system completed by the end of the project, nor was there evidence that such data was being used to inform policy making. With respect to the Theory of Change and intended impact, it is not evident that the project contributed significantly to enhanced MRV capacity.</p>		
<b>Efficiency</b>	<b>MS</b>	
<p>The project was cost effective overall in terms of conducting the planned activities. The project did experience significant delays in the early phases to establish coordination and communication with relevant stakeholder organizations including government agencies (eg LECRD, ICAT). However, this type of delay is relatively common and cannot be attributed solely to any inefficiency of project management. In terms of capacity building, the project did accomplish training activities involving over 300 individuals. However, we would expect commensurate investments to yield more robust and sustained technical capacity in line with other relevant projects. The limited impact appears to have been due to the design of technical training and difficulty organizing large workshops with effective impact, difficulties in gaining participation, or other factors including those beyond the control of project management.</p>		



Outcome	Status
<p><b>Outcome 1.1:</b> Institutional arrangements for data collection and sharing, quality control and assurance, analysis and archiving will be strengthened in all the 6 IPCC sectors and 47 counties.</p> <p><b>Project Target:</b> Established and institutionalized formal arrangements for data collection, sharing, analysis and reporting with a functional national GHG inventory and MRV systems in place. This includes the mitigation and adaptation sectors. The arrangements are to be coordinated by the Climate Change Directorate.</p> <p><b>Project results:</b> Data collection, sharing and analysing mechanisms have been established. The institutionalization of the system, however, remains incomplete at CCD level. Uptake at sector level has been strong.</p>	S
<p><b>Outcome 1.2:</b> Through targeted training, capacity of stakeholders (in 6 sectors and 47 counties) will be built on data collection and processing protocols and tools for GHG inventory preparation, forecasting and management.</p> <p><b>Project Target:</b> 100 field data staff from public and private sectors, and civil society trained on GHG inventory estimation, data collection, forecasting and data management, and the trained staff can apply the knowledge at central and county governments and their own individual institutional levels.</p> <p><b>Project Results:</b> Capacity has been built. Less than a hundred (~75) were trained and there was a high turnover rate of government staff. It is our understanding that the Government is putting in place measures to mitigate this such as career development programs and consideration of salary revisions.</p>	MS
<p><b>Outcome 1.3:</b> A functional GHG inventory and MRV system for NDC tracking and reporting in place, with climate data and two climate action registries, with the objective of integration into policy making as well.</p>	MS



<p><b>Project Target:</b> Functional GHG and MRV systems established in the CCD with climate data and analysis integrated into policy making, NDC tracking and international reporting.</p> <p><b>Project Results:</b> Moderately satisfactory. The CCD was not functional or operative in its role of coordinating activities beyond the project. CCD collating and analysing data. Functional GHG Inventory and MRV system established at sectoral levels.</p>	
<p>Outcome 4: Public climate expenditure included in the MRV system for NDC tracking.</p>	<p>This activity was removed as it was being implemented by an ongoing project tracking public expenditure.</p>

**78. Component 2: Supporting enhancements to the System for Land-Based Emission Estimation in Kenya (SLEEK) to assist with improvement of transparency over time.**

Overall Rating	MU
<p><b>Relevance</b></p>	<p><b>S</b></p>
<p>The long-term need for the SLEEK system at a national level is considered essential. The project concept emerged from national priorities, such as an alternative institutional framework for managing emissions data. Government of Kenya has been seeking an efficient, effective and accountable institutional framework for the administration and management of GHG and MRV issues and SLEEK is considered a vital component of this framework. Project activities related to GHG data sharing arrangements across agencies for the GHG Inventory and MRV systems were consistent with project goals. However, as explained above, the project objective was changed. The only work done to enhance SLEEK was related to capacity building to manage the system.</p>	
<p><b>Effectiveness</b></p>	<p><b>MU</b></p>
<p>There appears to have been a systemic failure in the project to deliver on this component in a meaningful way. Data identification, quality and accuracy has been improved however not to the level anticipated and several concerns were received from stakeholders during the evaluation. The SLEEK system is housed within the Ministry of Environment however it is not yet fully operational as capacity still needs to be built for data management and analysis. Online platform has not been fully established. There were significant delays in program implementation due to project and financial management as explained in sections 67-69 above. The training conducted in the Netherlands and Australia appear to have contributed relatively little toward the overall intended impact. While broadly consistent with the project goals, it is questionable whether these training activities were the most relevant contributions as they impacted relatively few people and there was difficulty retaining these individuals in ongoing related activities. Given that the goal was to support</p>	



enhancements to the system, the evaluation concluded that progress in data collection and incorporation activities under this component were limited. At the time of the evaluation there was no evidence that significant contributions had been made to enhancing SLEEK. The capacity building investments had occurred, but the individuals involved had not contributed significantly to enhancing SLEEK in terms of data or system improvements and were no longer engaged in these activities due to changes in staffing and human resource constraints. Furthermore, at the time of the evaluation, it was not possible to obtain access to significant parts of the data by either the evaluators or key stakeholders involved in the project. Several project participants complained of the lack of access and availability of data generated by the project. With respect to the Theory of Change and intended impact, it is not evident that data accessibility and MRV have been improved to a level commensurate with the project's original objectives.

<b>Efficiency</b>	<b>MU</b>
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The project, from a procurement standpoint, was efficient in its investments. However, as stated above, these investments yielded limited contribution toward the intended goals and impact. The evaluation also encountered widespread confusion and concern about activities and results related to this project component. Several project stakeholders themselves could not explain the results in terms of enhancements to SLEEK. As compared to other similar projects we could have expected a greater degree of understanding, tangible improvements to the SLEEK data model and analytical system, and greater access to data resources related to and resulting from the project.

<b>Outcome</b>	<b>Status</b>
<p><b>Outcome 2.1 Enhance the existing institutions and arrangements among SLEEK data-contributing organisations for land sector data exchange and coordination, including the REDD+ activities, with CCD.</b></p> <p><b>Project Target:</b> All the 6 EWGs teams established under SLEEK strengthened with formal established arrangements to provide data and information for the land-based GHG emission estimation to CCD for the national GHG inventory and MRV systems in accordance with requirements specified by the CCD.</p> <p><b>Project Results:</b> EWGs were strengthened. Arrangements established. Training on management of SLEEK system provided. However, the inability to access and utilise key data, lack of common understanding of the data and quality concerns by stakeholders, is deeply concerning.</p>	<p>MU</p>



79. Component 3: Supporting the enhancement of the coordination between national, regional, and global transparency related activities in Kenya.

<b>Overall Rating</b>	MS	
<b>Relevance</b>	S	
<p>Project activities related to this component were consistent with the project goals. The activities were also consistent with Government policy and the broader requirements of the Paris Agreement. Specifically, the project’s role in bridging communication across various agencies and facilitating the Government Climate Change Directorate in engaging in multi-stakeholder engagement was highly relevant and was needed to achieve progress.</p>		
<b>Effectiveness</b>	MS	
<p>The project established arrangements for, and conducted specific events and activities that contributed to, enhancing communication and coordination. The project <b>forged partnership with key agencies (eg LECRD, ICAT)</b>. It is noted that certain policies, namely the clash between CI and stakeholders’ policies regarding per diem rates., created a barrier to engagement particularly from government agencies. It is also noted that there was high turnover in government agencies making it challenging to engage effectively. Project management did attempt to adapt these challenges by engaging more mid-level staff, however these changes, while commendable, did not achieve the level of effectiveness to be expected in similar projects. However, overall, in the context of the project’s intended goals and Theory of Change, it was not clear at the time of the evaluation that these activities contributed significantly to addressing the focal objective of improving policy coordination.</p>		
<b>Efficiency</b>	MS	
<p>There were significant delays at the beginning of the project due to the difficulty in coordinating and aligning with key stakeholders, namely government agencies. The partnerships forged with various agencies (e.g., LECRD, ICAT) contributed to enhanced efficiency. While this is not uncommon, these delays impacted the efficiency of the overall project and the ability to make progress toward impact. Given the size of the project and the pre-existing conditions of the Paris Agreement framework, the Climate Change Directorate, and national policy to support these initiatives, it would have been advisable to obtain alignment with these agencies prior to commencing the project. Further, it was noted by several participants, including international consultants, that project events were not well organized in advance and attendance was lower than usually expected, resulting in reduced output from project activities. The complications and grievances relating to per diem allowances and payment timelines also negatively impacted project efficiency.</p>		

<b>Outcome</b>	<b>Status</b>
<p>Set up a coordination platform that will be a combination of web-based information, newsletters, in person meetings and coordinated events to share ideas across the GoK ministries, departments, and professionals.</p>	MS



**Project Target:** A fully functional coordination platform for all transparency-related activities and other reporting at the national, regional and global level established and working. The platform will include a registry and prototype MRV system

**Project Results:** Platform exists but not fully functional. Time was not sufficient to properly establish the platform. Data exists but difficult for project participants and stakeholders to access, which was apparently due to both licensing and technology constraints.

80. The project design profited from a thorough analysis of both country and regional requirements. Although important cause – effect assumptions and potential risks were outlined during project design, the project could have benefited from a more comprehensive logic demonstrating that the projected results were achievable. The three areas of capacity development; individual, institutional and external enabling environment, could have been addressed by a clearly defined theory of change. This lack meant that the design could not clearly articulate the linkages between results and did not develop strategies to address some of the external conditions that would impact on project results, such as integration of administrative mechanisms, financing of involvement of government officials, etc.
81. The main beneficiaries of the project included technicians at the government agencies and the 5 EWGs as well as representatives from private sector and universities. The project design envisaged that the involvement of these groups would maximize the impact of the activities and allow them play a role in the projects desired outcomes and levels of influence. Nonetheless the cause-effect associations between the actors was not clearly mapped out. The main project activities showing connections and complementarity were spelled out in the Prodoc. However, important cause-effect assumptions were not clearly defined. A robust theory of change would have greatly contributed to a more defined logic model for the project. A theory of change approach would have allowed for the examination of unintended results as well as establishing the boundaries of the system and identified the assumptions that needed to be prioritized.
82. The project, particularly through the workshops, contributed to the capacity development of the stakeholders to effectively gather, recognize and analyze data related to GHG emissions and MRV reporting. Stakeholders interviewed highlighted the importance of the workshops and the fact that they provided crucial information needed for their work and also provided tools that were very useful and practical to use.



## 6.2. Project outputs

83. The following tables review the project outputs and assessment at the time of the evaluation.

<b>Outcome 1.1 Institutional arrangements for data collection and sharing, QC/QA, analysis and archiving strengthened in all the 6 IPCC sectors</b>	
<b>Output Indicator 1.1.1:</b> Focal points in institutions in the various 6 IPCC sectors formally established with job descriptions and KPIs, and functioning as hubs of data collection and processing, with not less than 33% of the focal points to be women	Completed: 6 focal points were established of which two were women.
<b>Output Indicator 1.1.2:</b> Data collection and sharing regulations, including linkages between the hubs and the CCD, developed and adopted by participating institutions from the 6 sectors and the 47 counties, and data collection, processing and sharing arrangements formalized and operationalized through data sharing MoUs/Contracts.	Completed: Data collection and sharing arrangements were formalized and operationalized.
<b>Output Indicator 1.1.3:</b> A formal arrangement for inter-ministerial coordination established, and formal cooperation between Climate Change Directorate and other stakeholders for the coordination of data collection activities defined and institutionalized	Completed: Arrangements were operationalized through sectoral and institutional data sharing agreements.

<b>Outcome 1.2 Capacities of government institutions and staff to collect, document, and archive key data in all sectors on a regular basis for the GHG inventory process built</b>	
<b>Output Indicator 1.2.1:</b> One hundred field data staff (33% women), data suppliers, and platform users from the 6 emission sectors and counties (data hubs) trained on GHG inventory data collection, data collection tools, processing and transmission of GHG data, and applying the knowledge	Below target: Identified and trained thirty-four (34) trainees (Female 32% and Male 68 %) from CCD and the 6 GHG sectors.



<p><b>Output Indicator 1.2.2:</b> Fifty selected staff (33% women) from the data hubs and Climate Change Directorate trained in domestic MRV systems, tracking NDCs, enhancement of GHG inventories and emission projections</p>	<p>Below Target: Identified and trained thirty-four (34) trainees (Female 32% and Male 68 %) from CCD and the 6 GHG sectors.</p>
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*Note: output 1.2.3 was removed.*

<p><b>Outcome 1.3 Functional GHG inventory and MRV systems established, with climate data and analysis integrated into policy making, NDC tracking, and international reporting</b></p>	
<p><b>Output Indicator 1.3.2:</b> General guidelines and tools to ensure consistency and comparability of GHG emission projections among sectors are developed</p>	<p>Completed: Guidelines and tools were adopted.</p>
<p><b>Output Indicator 1.3.3:</b> National GHG inventory emissions, by sources and sinks, in place and made publicly available</p>	<p>Below target: The GHGI was developed to a draft level but not fully in place and publicly available.</p>
<p><b>Output Indicator 1.3.4:</b> Metrics, indicators, and methodologies for tracking adaptation adapted from the National Adaptation Plan into the National MRV System</p>	<p>Completed: Metrics, indicators and methodologies were integrated into the MRV platform.</p>
<p><b>Output Indicator 1.3.5:</b> One hundred public institution employees trained on reporting climate finance delivered</p>	<p>Below target: 15 Climate Change Officers were trained</p>
<p><b>Output Indicator 1.3.9:</b> Reliable, accurate, and credible reports generated for UNFCCC reporting under Paris Agreement, and used by stakeholders</p>	<p>Below target: Sector Inventory reports were developed but not finalized.</p>

*Note: outputs 1.3.1, 1.3.6, 1.3.7, and 1.3.8 were removed.*

<p><b>Outcome 2.1 Institutions and arrangements for data collection and sharing, QC/QA, analysis and archiving strengthened for the land-based sector</b></p>	
<p><b>Output Indicator 2.1.1:</b> Institutional and technical capacities of 6 element working groups (EWGs) under SLEEK data</p>	<p>Completed: Focal points and sectoral leads were established.</p>



strengthened for data capture, sharing, processing, and archiving	
<b>Output Indicator 2.1.2:</b> One hundred selected staff (33% women) of the EWGs members trained on land cover, soil, crop, forest, climate modeling and mapping specific to climate action, to provide reliable, accurate, and credible reports for the land sector	Below target: 25 staff from EWGs have been trained. They were responsible for ensuring that data from the EWGs conform to the IPCC requirements.
<b>Output Indicator 2.1.3:</b> Data sharing protocols with streamlined QA/QC processes, coordination mechanisms including linkages between the 6 EWGs and Climate Change Directorate developed and adopted; Data collection, processing and sharing arrangements formalized and operationalized through MoUs	Completed: Data sharing protocols were established and operationalized between the 6 EWGs and CCD.

<b>Outcome 3.1 A fully functional coordination platform for all transparency-related activities and other reporting</b>	
<b>Output Indicator 3.1.1:</b> An annotated web-based platform with descriptions, links, major work activities in Kenya and in the region, with impact or interest to Kenya, and contact information	Below target: The web-based platform was not fully completed or operationalized at the time of the evaluation.
<b>Output Indicator 3.1.2:</b> Quarterly in-person meetings and newsletters, and 6 coordinated events around knowledge sharing and learning conducted	Completed: events, mailings, blogs and support to CCD meetings were implemented.
<b>Output Indicator 3.1.3:</b> Two hundred relevant government institutions trained on the platform and the platform is continuously updated and monitored	Below target: The platform was not fully operationalized, and training did not take place at the level planned.
<b>Output Indicator 3.1.4:</b> Half-yearly sectoral and regional lessons learned monitored, captured, and shared with CBIT Global Coordination Platform to enhance national, regional and global transparency framework	Completed: Lessons learned were documented and shared.



Note: output 3.1.5 was removed.

## 7. Assessment of Project Sustainability

84. Overall, project sustainability is rated as ***Moderately Unlikely***. The project faces numerous risks to sustainability, particularly in the areas of financial and institutional risks. These risks are certainly surmountable, however, with sound, targeted investment and management. However, our assessment indicates that the project results are unlikely to be sustained without significant financial investment and improvements to governance.
85. **Financial.** Financial risks to sustainability relate to the need for continued investment and ongoing support to ensure the uptake the CBIT project's results and incorporation into environmental policy and management. Financial sustainability is considered moderately unlikely due to the evidence that project activities had largely come to a halt at the time of the evaluation. There does not appear to be a significant increase in investment from Government. Thus, we find it highly unlikely that the project results will be utilized, much less sustained or enhanced, without significant additional financial support.
86. **Institutional and Governance.** Institutional and governance risks to sustainability are significant as well. CBIT project results are not yet being institutionalized in national planning agencies to the extent that it is sufficiently operational and sustainable. Government agencies, including project participants, do not have access to data, and the web platform and MRV systems are not operational to a state where they can be utilised or institutionalized. Difficulties appear to remain in project governance and implementation between the executing agency and stakeholder participants. Furthermore, communication and coordination to align participants on project governance, matters such as per diem rates, is highly advisable.
87. **Socio-political.** Socio-economic risks to sustainability are limited. The most significant risk in this area is the ability to retain trained staff beyond the project. Significant staff turnover in Government agencies present a challenge that is not uncommon. Furtherance of the project results remains highly dependent on a small group of individuals. It is advisable, where possible, that future efforts work to build the institutional capacities to support long-term career development. Such efforts should go beyond skill building for short term projects and incorporate training for internal trainers, training processes and procedures, training manuals and systems, mentorship programs and other similar approaches.
88. **Environmental.** Environmental risks to sustainability are also limited, and environmental sustainability is considered highly likely. The project activities predominantly consist of capacity building, institutional coordination, and technology use for data analysis with very limited environmental impact.



89. **Catalytic Role and Up-scaling.** It is too early to fully assess the role the project investment and results will play over the long term in catalysing the capacity needed for Kenya to comply with the Paris Agreement and to enhance national development and decision making. The project has engaged a wide range of individuals and the climate change topic will certainly grow in importance and likely provide opportunities for those individuals to scale up the results from the project. However, it must be noted that the incomplete nature of several aspects of the project including the GHGI itself, the inaccessibility of data enhanced during the project, and the discontinuity from the end of the project with current activities may undermine this catalytic potential.

## 8. Assessment of Project Monitoring & Evaluation Systems

### 8.1. M&E Design

90. The rating for M&E design is **Satisfactory**. The project M&E overall follows the GEF requirements and incorporates sound best practices. A lack of an explicit Theory of Change was an identified shortcoming, making M&E against project objectives difficult.
91. The CBIT project M&E plan is outlined in the project document describing each of the planned M&E activities, including roles, responsibilities, and timeframe (see Prodoc pages 76-79). The identified M&E activities include inception workshop and report, quarterly and annual progress reporting (i.e. PIR), field visits, the independent external evaluations, and audits. A budget for each of these components was also provided (Prodoc page 78). The M&E plan is summarized in a table in the Prodoc (in multiple locations) showing responsible parties, budget, and timeframe for each of the M&E activities.
92. The M&E plan appears to be standard and consistent with CI-GEF projects. A total of around \$35,000 was explicitly budgeted for M&E activities overall, while additional activities were budgeted in other categories such as project management.
93. The project results framework is a critical component of the project's overall M&E framework. The initial project framework included baseline information, as well as indicators to assess and monitor results.
94. Accountability and responsibility were clearly established in the M&E design at project inception. As stated in the Prodoc (pg 69)
- *“The Project Management Unit on the ground will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support*



*for and cooperation with the independent external evaluation exercises. The project Executing Agency is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner, and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises”*

- *“Key project executing partners are responsible for providing all required information and data necessary for timely and comprehensive project reporting, including results and financial data, as necessary and appropriate.”*

95. There was no logframe developed for the project. The targets and milestones were contained in a results framework that was written as part of the project design phase. While the results framework and workplan spell out targets and annual milestones, the lack of a logframe means that there is no piloting tool that can be used to monitor and evaluate the project’s achievements during the project, over its life cycle. Annex 1 of the ProDoc could have been enhanced as a logframe to clearly define what the project is trying to achieve: given the change in project focus, revising the logframe would have provided a clear indication of the new project goals and targets.
96. Under the timeframe of the project, the M&E plan did not include a component on developing national indicators for MRV and GHG reporting. Not only would such an indicator framework have assisted the M&E process within the project, it would have likely increased the familiarization of robust M&E systems among the stakeholders and assisted with any post-project monitoring.
97. The project document clearly specifies who is responsible for project M&E activities. The various stages of the project (from inception through implementation) and the steps that are needed to ensure success. The design also identified periodic reports including PIRs, quarterly reports, technical reports etc., and provided a summary of the expectations periodic monitoring reports.
98. The financial documents did not contain a complete indicative cost for M&E activities (\$15,000 for evaluations) beyond staff salaries. The evaluation team was unable to secure interviews with the finance management team during the in-country portion of the evaluation and thus, it was not possible to validate what the budget was or how it was utilized.
99. The CBIT project met the expectations of the GEF award, and together with a section that defined the indicators, laid out a clear path for monitoring project progress. The indicators selected by the project were consistent with GEF’s SMART indicators for GHG and MRV reporting. The design specified that the indicators for the project were reviewed during the inception phase.
100. Project indicators were, in general terms, appropriate, and complied with SMART criteria. They included measures of increases in capacity and documentation of project results.



101. This approach applied by the project is a standard one and measuring impact of training can only be done much later following similar work. The project's approach was to combine such training with actual work on the GHG inventory thereby demonstrating effectiveness of training through production of the project output. The Kenya GHG inventory is unique in that it was actually done by Kenyan government staff 'during their training'.
102. At the time of the evaluation the CCD stated it is confident it has the personnel to do a 2<sup>nd</sup> iteration of the inventory. Sector leads and CCD staff had also been carrying out their inventory work without external technical input. However, it must be noted that the inventory had not been completed at the time of the evaluation, so it was difficult to assess this area of technical capacity building.
103. An indicative M&E workplan was included in the project design. The outputs contributed directly to the outcomes. The M&E design – including the performance indicators (23) and tracking tools (2) – are a good basis for capturing and reporting on progress.

## 8.2.M&E Implementation

104. The implementation of the M&E framework was rated *Satisfactory*. Broadly speaking the project operated the M&E plan consistent with the original design and GEF framework.
105. Project progress was reported on a quarterly and yearly basis. There was also a project implementation review (PIR) process, M&E activities, lead responsible parties, and timeframe are clearly identified in the M&E section of the project document.
106. The monitoring instruments of the CBIT project were quarterly technical and financial reports, and a terminal evaluation. Additionally, a range of tools was employed by the project to monitor project progress and achievement – field visits from joint CI/ GEF teams also helped to monitor progress. The project steering committee meetings could also be seen as a monitoring tool. Meetings were held at regular intervals with updates being provided by the project manager. Quarterly reports and site visit reports were produced to show the results being achieved. These reports are comprehensive progress reports providing good monitoring information documenting the project's progress year over year. Finally, the GEF tracking tool can be considered as a monitoring tool. The evaluation team was able to see 2 tracking tools produced in Q4 of 2019 and Q1 of 2020. It would seem that the project used the GEF CBIT tracking tool to its best advantage.



107. Annual reports were produced in a timely fashion.
108. Due to the project's short timeframe, a mid-term management review or evaluation was not planned nor performed. Mid-term assessments allow for adaptive learning and management corrections to sustain momentum and ensure progress achievements of targets. This was not possible under this project.
109. As mentioned earlier, the evaluation team was unable to ascertain the full budgeting requirements for M&E implementation.
110. During the evaluation we identified several instances where the M&E implementation triggered key actions and the project responded to these issues. For example, there were complaints about per diem allowances to Government Employees. Despite some delay, the project did respond to these grievances in a timely and responsible manner.
111. The evaluation also found that the M&E activities were utilized and helpful in guiding project management and responded to any required changes. Specific "SMART" metrics were employed for parts of the M&E and this served as a useful guide and benchmark for the project.

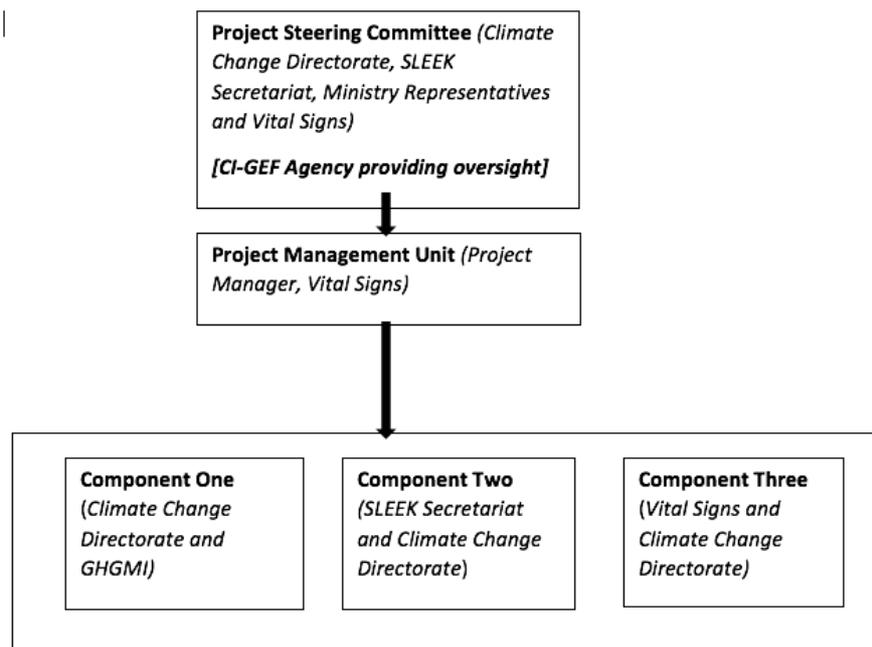
## 9. Assessment of Project Implementation & Execution

112. The project set out clear arrangements for implementation and execution. As stated in the Prodoc (pg 53):
- *"The project will be co-executed over an eighteen-month period by the Government of Kenya (GoK), through its Ministry of Environment and Natural Resources (MENR) with Vital Signs Greenhouse Gas Management Institute (GHGMI) and the SLEEK Secretariat. A Project Steering Committee will be established, composed of MENR, SLEEK Secretariat, Vital Signs and GHGMI.*
  - ***The Ministry of Environment and Natural Resources (MENR)** will have overall management responsibility for implementing all technical aspects of the project. The project will be located within the MENR, under the Climate Change Directorate (CCD), whose Director will be responsible for the overall management of the project and its activities. The Project Management Unit (PMU) will be located at the MENR and will be headed by a Project Manager, who will manage the project and its activities."*
113. Further, the Conservation International GEF Agency was identified in the Prodoc to provide project assurance and support: (Prodoc, pg 74)
- *"The CI-GEF Project Agency will provide project assurance, including supporting project implementation by maintaining oversight of all technical and financial management aspects, and providing other assistance upon request of the Executing Agency. The CI-GEF Project Agency will also monitor*



*the project's implementation and achievement of the project outputs, ensure the proper use of GEF funds, and review and approve any changes in budgets or work plans. The CI-GEF Project Agency will arbitrate and ensure resolution of any execution conflicts.”*

114. The following diagram, also from the Prodoc (pg 75) shows the project execution organizational structure.



## 9.1. Quality of Implementation

115. Project Implementation was rated as **Satisfactory**. CI is the GEF Agency responsible for the project including oversight responsibilities. Overall, CI adequately supported the project providing satisfactory backstopping, adaptive management support, and management support.

116. We reviewed the Trip Report provided to us covering the assessment carried out by CI-GEF in March 2019. The report and assessment appear to have been thorough, well-structured, and thoughtful. We noted that many of the challenges reported here in our assessment were identified in this progress report. For instance, the assessors:

- Noted CCD had not yet started utilizing MRV equipment at that stage
- Raised concerns about how the CBIT Kenya will ensure that capacity building has long-term impact
- Noted “weak coordination technical and OPS team in decision making regarding budgets”



117. The project sufficiently implemented the key GEF project requirements including outcome reporting, financial reporting, operating grievance mechanisms, and implementing safeguards. All of these project activities have been rated satisfactory or higher.
118. Overall, the project faced significant difficulties to implementation due to Government staff turnover and policies regarding engagement in project activities.
119. Indeed, the CI-GEF progress report from the March 2019 site visit stated
- “There is a risk of only fulfilling near-term outputs due to the following reasons:
    - i. Unclear strategy of how up-take of capacity building initiatives will have a long-term impact
    - ii. Unclear project Exit and Sustainability Strategy. “
120. Additionally, changes in priorities and organizational structures relating specifically to SLEEK meant it was difficult to engage constructively and effectively through this framework. These are challenges that were unforeseen fully at project inception.
121. Overall, the evaluation found however, that from an implementation standpoint, the project handled these difficulties in a satisfactory manner given the circumstances.
122. The project’s internal coordination, financial management, and adaptive management are all aspects of implementation. These aspects were all handled consistent with GEF requirements.
123. The project faced some delays during implementation, which slightly affected the project’s secondary results in terms of engagement and accomplishment of key outcomes.

## 9.2. Quality of Execution

124. The day to day management of the CBIT project was rated ***Moderately Satisfactory***. The project exhibited sufficient internal communication and coordination, work planning, adaptive management, financial management, and reporting.
125. It is worth noting that the project was a multi-stakeholder effort involving numerous Government agencies and international organizations. Coordinating and executing such efforts is not a simple task.



126. The management of project activities had strengths. Participants overall reported communication and coordination as good. Initial delays at the beginning of the project made management more difficult, particularly as it relates to expectations and deadlines. The project management appears to have adapted well to this challenge.
127. On the other hand, the project also had weaknesses. The rigorous nature of financial requirements, specifically those relating to per-diem payments and transport reimbursements, created a significant challenge to project execution. On one hand, some participants felt that communication was good, and the expectations of what was required from them was very clear, which allowed them to go off and do their work and produce the outputs expected of them. At the same time, some participants felt that the management of the project workflow was too flexible, without adequately set deadlines and targets, which resulted in a lot of “slippage” in the timing of project outputs, and which “resulted in a lot of stress on us” (see additional discussion on timing of project activities and results in Section V.C below).
128. An additional issue raised by several participants is that the CI procurement and contracting procedures required more time than project participants expected. This often-caused delays and disruption to travel planning and project events, such as workshops. More care could have been taken to raise awareness of these rigorous procedures and proactively manage them to mitigate disruption.
129. Support for the evaluation from project management was limited and could have been improved.
- Notices to participants to seek their involvement in the evaluation were sent out late.
  - Assistance to the in-country evaluation was poorly coordinated by CI-Kenya, from a logistical and scheduling standpoint.
  - The in-country evaluator was sent to the wrong address in different parts of the city on more than one occasion.
  - Ground transport was not arranged, and minimal assistance was provided.
  - Project management staff were difficult to track down and schedule for meetings.
130. The limited support for the evaluation from CI, the executing agency, unfortunately may have meant that appropriate information and context was not provided. This is difficult to determine given the short period of the evaluation. The evaluation team went to great lengths to secure time with CI management staff and support coordination with stakeholders. For future evaluations, this process should be managed more proactively and effectively to ensure the most efficient and thorough evaluation possible.



### 9.3. Financial Management

131. Project financial management was also *Satisfactory* consistent with the overall Implementation and Execution ratings.

132. Financial reporting appears to have happened in a timely and accurate way. Reporting was consistent with GEF guidelines and requirements. Additionally, detailed procurement guidelines were followed throughout the project with commensurate reporting.

133. The following table summarizes the budget provided at project inception in the Prodoc (pg 81). As shown, the vast majority of project spend was planned for year 1 with no spend in years 3 and 4.

Proposed Budget					Total budget
	Year 1	Year 2	Year 3	Year 4	
<i>Personnel Salaries and benefits</i>	\$145,044	\$77,664			\$222,708
<i>Professional services</i>	\$172,314	\$14,900			\$187,214
<i>Travels and accommodations</i>	\$202,220	\$34,734			\$236,954
<i>Meetings and workshops</i>	\$110,720	\$34,608			\$145,328
<i>Grants &amp; Agreements</i>	\$160,000				\$160,000
<i>Equipment</i>	\$15,000				\$15,000
<i>Other Direct Costs</i>	\$21,458	\$11,338			\$32,796
<b>TOTAL GEF FUNDED PROJECT</b>	\$826,756	\$173,244			\$1,000,000

134. The Final Budget report provided for the evaluation summarizes actual expenditure by year as follows:

Actual spending	Y1	Y2	Y3	
<b>Grand Total</b>	<b>\$48,615.60</b>	<b>\$597,015.37</b>	<b>\$354,369.03</b>	<b>\$1,000,000.00</b>

- In fact, actual spending shows significant variance from the proposed. From an evaluation standpoint, this is not problematic in terms of overall financial or project management and effectiveness. Thus, this has not played a role in the overall rating.



- However, it is worth noting that this budget variance appears to be symptomatic of some of the other underlying challenges faced by the project. These include initial delays at the beginning of the project and incomplete components at the end of the project. It would appear that had execution in the earlier stages of the project gone more smoothly without delays then the risk of not achieving goals would have been diminished.

135. Furthermore, project funding by component was planned as follows (Prodoc, pg 80)

	Proposed project budget by component (in USD)				
	Component 1	Component 2	Component 3	PMC	Total budget
<i>Personnel Salaries and benefits</i>	\$31,377	\$31,377	\$77,218	\$82,900	\$222,872
<i>Professional Services</i>	\$64,430	\$29,584	\$91,000	\$2,000	\$187,014
<i>Travels and accommodations</i>	\$144,408	\$81,776	\$10,770	-	\$236,954
<i>Meetings and workshops</i>	\$41,512	\$94,576	\$9,240		\$145,328
<i>Grants &amp; Agreements</i>	\$160,000				\$160,000
<i>Equipment</i>	\$15,000				\$15,000
<i>Other Direct Costs</i>	\$6,814	\$6,814	\$13,195	\$6,009	\$32,832
<b>TOTAL GEF FUNDED PROJECT</b>	<b>\$463,541</b>	<b>\$244,127.00</b>	<b>\$201,423</b>	<b>\$90,909</b>	<b>\$1,000,000</b>

136. The Final Budget report provided for the evaluation summarizes actual expenditure as follows:

Actual spending	C1	C2	C3	PMC	Total
<b>Grand Total</b>	<b>\$567,158.40</b>	<b>\$149,665.62</b>	<b>\$180,340.59</b>	<b>\$102,835.39</b>	<b>\$1,000,000.00</b>

- As shown, there is a significant variance in the planned vs actual budget in components 1 and 2:
  - Component 1 received 22% more funding than planned.
  - Component 2 received 39% less funding than planned.



- Again, as noted above, from an evaluation standpoint this is not necessarily viewed as problematic in terms of overall financial or project management and effectiveness. Thus, this has not played a role in the rating here for implementation and financial management.
- However, also as above, it is worth noting that this budget variance appears to be symptomatic of some of the other underlying challenges faced by the project relating to Component 2 specifically. It remains unclear whether the project performance area was a result of budget allocations or whether budget allocations were a result of adaptive management. Thus, we it is inconclusive whether the variance is a deficiency in project implementation or execution.
- Regardless, it is consistent that the project did not fund Component 2 to the level planned and the project, as per the evaluation section above, did not achieve its goals in this area.

## 10. Assessment of Project Environmental & Social Safeguards

### 10.1. Environmental Safeguards Rating

137. Environmental safeguards are rated as **Satisfactory**. Overall, the risks related to this project are inherently low. The major environmental risk from the project is the extent to which the data used for the project are accurate.

138. It should be noted that some stakeholders and participants expressed concerns about the accuracy of the data and models produced / enhanced through the project. Such faults in data could lead to inappropriate policy and environmental management.

139. The project safeguards in this area could have been improved at the design stage by including an external quality assurance review of the data related outputs.

140. However, for the purposes of this evaluation:

- The likely risk of data-related errors directly or significantly contributing to negative environmental impacts is low.
- It is beyond the scope of the evaluation to conduct a detailed data quality review.

### 10.2. Gender

141. The project's Gender Safeguards were is rated as **Highly Satisfactory**. The CBIT project did include attention to and some awareness of gender-related aspects. The Prodoc included a brief discussion on gender mainstreaming, stating



- *“To ensure that the project meets CI-GEF Project Agency’s Gender Mainstreaming Policy, the project will develop a Gender Mainstreaming Plan that will ensure the mainstreaming of gender issues throughout the project.*
  - *“The mainstreaming of gender is necessary because the Government of Kenya has made a pledge through its INDC and other policies to ensure gender mainstreaming, with a priority adaptation action which aims to “Strengthen the adaptive capacity of the most vulnerable groups and communities through social safety nets and insurance schemes”.*
  - *“The project will mainstream gender and empower women more because women are more negatively impacted by forest protection projects; e.g., having to go further for firewood due to shortage and by increasing farm forestry, they will have access to firewood easily which in turn frees up their time for other activities. They will also be included in decision making in the relation to management of land uses and planning.”*
  - The Prodoc also provided further detailed safeguard plans. (Prodoc Appendix VI)
142. The project also set specific targets as noted in the PIR document outlining efforts including:
- i. Conducting training on gender mainstreaming
  - ii. Specifically outreach to women for involvement in training programs
  - iii. Have at least 30% of project participants be female
  - iv. Train equal numbers of men and women in data capture
  - v. Establish gender focal points in relevant organizations
  - vi. Achieve representation of women in decision making and leadership roles
143. The project undertook deliberate efforts to implement its gender mainstreaming plan and achieved the above targets in most areas. There were several notable areas where performance did not exceed or match targets:
- In terms of training, of the 305 participants in training, 121 were female, representing 40%. While this is below the stated overall training target of 50:50, it is still a commendable level, particularly given that women working in GHG activities are relatively few compared to men.
  - The project did not establish the intended focal points; however, sectoral focal points were established, of which two were women.
144. Overall, however, the project surpassed its stated goal of at least 30% female participation in the project. Thus, it is the view of the evaluators that the project:
- Designed and implemented an effective gender mainstreaming plan
  - Achieved most targets and surpassed expectations in several areas
  - Dealt with challenges quickly and effectively



### 10.3. Stakeholder engagement

145. The project's Stakeholder Engagement Safeguard is rated as **Satisfactory**. The project achieved participation from a reasonably diverse group of stakeholders.
146. The project identified key performance indicators in this area as noted in the Prodoc as follows:
- *“Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis*
  - *Number persons (sex-disaggregated) that have been involved in the project implementation phase (on an annual basis)*
  - *Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (on an annual basis)*
  - *Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are taken into account by the project.”*
147. The project did not establish specific targets for stakeholder engagement related to these performance indicators. Thus, it is difficult to evaluate project implementation against the initial project plan. The project design could have been improved with the inclusion of more specific targets in the area of stakeholder engagement.
148. Through various consultations with stakeholders and project participants, we found, in summary, the feedback was positive:
- The project engaged a wide range of Government agencies
  - The project engaged a diversity of Government and non-government organizations
  - The project activities were inclusive of various population segments such as gender and geography.
  - The project offered multiple touch points for engagement with this range of stakeholders
149. Constraints on project participation overall, as noted in other parts of this evaluation relating to policies and procedures, contributed to lower levels of participation in project events and trainings. However, it is commendable that despite such constraints, the project was able to maintain viable stakeholder engagement.

### 10.4. Accountability and Grievance Mechanism

150. The project's Accountability and Grievance Mechanism Safeguard is rated as **Satisfactory**. Overall, we found the Grievance Mechanism to be both well designed and implemented throughout the project.



151. The Grievance Mechanism was designed as part of the initial Prodoc is consistent with GEF requirements and best practices. As stated in the Prodoc
- *“Accountability and Grievance Mechanism Policy, the project will develop Accountability and Grievance Mechanism plan that will ensure people affected by the project are able to bring their grievances for consideration and redress. The mechanism will be in place before the start of project activities and will be disclosed to all stakeholders in English and Kiswahili and all grievances received will be disclosed by the project to CI and GEF.*
  - *The grievances will be received through, telephone, email or written submissions and procedures will be in place to receive and record them after which they will be addressed by relevant persons.”*
152. The project undertook efforts to make stakeholders aware of the Grievance Mechanism. Through the evaluation, we found awareness of the Grievance Mechanism was wide-spread and regarded as sufficient.
153. The Grievance Mechanism was triggered two times during the project. As noted in the PIR document, grievances were received regarding:
- Low per-diem rate, and
  - Delayed payment of per-diem and transport reimbursements.
154. It is not the scope of this evaluation to assess the validity of these grievances nor the viability of any arguments nor evidence provided.
155. The evaluation, including interviews with project participants and stakeholders, found that the Grievance Mechanism when triggered was managed in both a timely and effective manner. The project successfully resolved these conflicts in a reasonable time frame and was able to mitigate, to a reasonable degree given the circumstances, any negative impact such grievances may have had on the project.

## 11. Additional Assessment Areas

### 11.1. Materialization of co-financing

156. The project anticipated co-financing totalling \$1.1M (Prodoc, pg. 2) as follows:

CO-FINANCING 1: CONSERVATION INTERNATIONAL	\$50,000
CO-FINANCING 2: GOVERNMENT OF KENYA (GOK )	\$1,000,000
CO-FINANCING 3: THE GREENHOUSE GAS MANAGEMENT INSTITUTE (GHGMI)	\$50,000



157. The PIR reported that the co-financing realized as of June 30, 2019 was \$510,029, or approximately 50% of total planned co-financing remained outstanding with three months remaining before the project end.
158. During the evaluation, we were unable to obtain a comprehensive accounting of co-financing at the end of the project. The final financial report does not include an explicit or clear accounting of co-financing from any of the planned sources. However, given the level of co-financing confirmed through June 30, 2019, it is unlikely that the remaining 50% of all co-financing was secured (let alone spent) in the final 3 months of the project.
159. A clear accounting of project co-financing broken down by source, timing and component would improve overall project reporting and facilitate any further evaluation.

### 11.2. Need for follow-up

160. We recommend follow-up to aid further progress to impact:
- **Data access:** As noted, several data sources related to the project remained inaccessible. Ensuring access for all participants and from all relevant parties should be a priority.
  - **Data quality assurance:** Following on from the above point, an independent assessment of data quality is advisable. This would help ensure a strong foundation for future work that may build upon the project's accomplishments.
  - **Co-financing:** As stated above ensuring a transparent accounting of total co-financing is advisable.

### 11.3. Lessons and Recommendations

161. The terminal evaluation has identified a summary of lessons from the experience of the CBIT project. CI should aggregate these lessons and apply them to similar projects now and in the future.
162. **Lesson 1:** Coordinating projects with Government agencies with regard to financial policies and restrictions can be complex and present significant risk to project performance.
163. **Recommendation 1:** As much as possible, policies and implementation protocols should be agreed prior to project initiation so that Government agencies understand and comply with financial policies/restrictions. The GEF and CI should reconsider policies and potential exceptions to per diem and travel reimbursements for in-country participants. Should this not be possible the GEF and CI should ensure such policies are clearly communicated to potential project participants prior to project launch.



164. **Lesson 2:** Staff turnover can significantly impact the viability and effectiveness of training programs and should be taken into consideration at the design and planning stage.
165. **Recommendation 2:** Anticipating high staff turnover, project management should identify ways to maintain institutional memory: in collaboration with Government agencies, the project should produce training manuals; protocols should include training new staff before project-trained staff move to new positions. The GEF and CI should consider alternative approaches to capacity building such as online training and more frequent and sustained engagement over a longer period of time. These types of approaches may ensure higher levels of participation while potentially reducing travel costs to a significant degree. **There are multiple methods ranging from enrolled courses to mentorships. The evaluators have had direct experience with such approaches. However, it is beyond the scope of the evaluation to provide detailed guidance on training program methods**
166. **Lesson 3:** Project delays early in the project timeline can present significant challenges to achieving intended outcomes.
167. **Recommendation 3:** All projects face the challenge of unforeseen delays, and so all projects should include regular M&E and flexibility to respond as needed, as soon as possible. The GEF and CI should ensure financial planning and procurement are aligned with project timelines to mitigate risk and delays to project performance.
168. **Additional Recommendations:** The GEF and CI should commission a data quality assessment and review to validate the current state of data and MRV systems for climate change reporting. Such a study would provide an independent and verified understanding of the data and its viability for use in follow on projects. The results of such an assessment should be transparently and openly shared with all project participants.



## Annex A: Evaluation Methodology

# GEF Terminal Evaluation Methodology

Regarding Project Titled:

*“Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Supporting the Coordination of National, Regional and Global Transparency-related Activities in Kenya “*



Natural  
Capital  
Advisors, LLC

### Overview

We will conduct an analytically rigorous and systematic approach to evaluate project design, execution, and overall impact. Through our extensive experience in projects focused on natural resource governance we have developed a thorough understanding of the standards, methods, and best practices for fostering transparency and accountability. Our approach will yield lessons from this project and our hope is to also provide insights that assist GEF with similar evaluations across its portfolio.

We are independent of all GEF-funded projects, nonetheless we are familiar with the GEF programs and strategies, as well as relevant GEF policies such as those on project cycle, M&E, co-financing, fiduciary standards, gender, environmental and social safeguards. Moreover, we will abide by the GEF Evaluation Office Ethical Guidelines.

#### **11.3.1. Methodology**

We base our methodology on the principles of good governance, especially an inclusive approach to relevant stakeholder participation. Our methods are based on three key values:

- Transparency: We will gather information on project performance and results from multiple sources including the project M&E system, tracking tools, field visits, stakeholder interviews, project documents, and other independent sources, to facilitate triangulation. We ensure all information is organised, accessible and traceable.



- **Analytical Rigour:** We seek the necessary contextual information to assess the significance and relevance of observed performance and results. Our analyses are developed with rigor and transparently provided to stakeholders for review. Further, as independent evaluators, our analytical approach requires that we are impartial and will present a balanced account consistent with the evidence.
- **Communication:** We conduct our work and analysis as an open book and seek to engage stakeholders in frequent, open and clear communication. Where practicable we employ various project management collaboration tools to ensure all parties are on the same page throughout the project. Further, we provide clear, concise final products that are easy to understand and useful for our clients.

We will utilize a ratings system to ensure we establish the sound basis of evidence, understanding, and methodology for making the assessment.

### **11.3.2. Technical Approach**

Our technical approach will be fully consistent with the Scope of Work and will be driven by four key areas of focus:

- **Definition:** Ensure all parties are clear and in agreement with the purpose, scope, and methodology of the evaluation. Clear expectations will ensure successful delivery.
- **Project Due Diligence:** Conduct a thorough review of documentation such as initial project documents, budgets, standards, reports, workplans, and relevant GEF policies. We will interview key stakeholders, including those in project-site countries to gain a comprehensive view of project activities, execution, and impact.
- **Analytical Rating:** Develop a rigorous, data-driven analytical approach to support and justify ratings for the project. This analytical approach will be grounded in the definition and due diligence outputs, explained above.

We have extensive experience managing and evaluating conservation projects in Africa. Further, we have specific experience and knowledge of both the legal frameworks, natural environment, and socio-political-cultural context of conservation planning and management in East Africa. We will incorporate this knowledge to deepen the project due diligence element of our approach related to the project components as follows:

#### **Component 1: Strengthening national institutions and capacities in Kenya to enhance MRV transparency in line with Kenya's national priorities**

- We will leverage our experience in capacity building in Africa to develop a robust assessment of the component. Specifically, Mr. Christie led one of the most comprehensive natural resource capacity building program in Africa. Dr. Blundell has led numerous capacity building initiatives and workshops throughout Africa, Latin America and Asia. Our experience and deep familiarity with best practices and supporting methodologies enables us to quickly apply this lens to the context in Kenya. We are also familiar with all of the relevant agencies and national programs involved in the Paris Agreement so can readily assess these project activities and outcomes.

#### **Component 2: Supporting enhancements to the System for Land-Based Emission Estimation in Kenya (SLEEK) to assist with improvement of transparency over time**



- Through our many years of experience working in land planning and management as well as carbon emissions we have developed and evaluated similar programs and therefore have a strong basis upon which to rapidly evaluate this component. Further, we are intimately familiar with the key methodologies and best practices required for land-based emissions estimations, standards for transparency, and the capacity required to achieve accurate results. In particular, Dr. Blundell's leadership of several transparency initiatives combined with Mr. Christie's extensive knowledge of emissions estimation methods make us readily capable to execute this component of the evaluation.

### **Component 3: Supporting the enhancement of the coordination between national, regional and global transparency related activities in Kenya.**

- As noted above our team poses extensive experience coordinating land management programs and transparency initiatives across nation, regional and global agencies ranging from country level environmental and forest ministries to multi-lateral organizations including the United Nations. Indeed Dr. Blundell was an expert advisor and Chairman of the Panel of Experts reporting to the United Nations Security Council on several transparency programs. We have an intimate and practical knowledge of how such coordination works best and the activities and outcomes required for success.

#### **Workshop Engagement and Key Interviews**

This experience explained above ensures we will provide a comprehensive, detailed, and analytically rigorous evaluation that is both integrative of the Kenyan context, Paris Agreement requirements, and supported by international best practice of land-based emissions measurements and transparency.. This robust approach will be further complemented by the workshop we will hold to engage stakeholders and ensure clarity of the evaluation objectives and methods. As noted above our extensive experience in Africa affords us the ability to quickly and effectively engage with all stakeholders in both workshop settings and direct interviews.

Our technical approach will also directly address the key elements of the final evaluation report as follows:

#### **11.3.3. Theory of Change**

If appropriate, and after consultations with the project stakeholders, NCA, as evaluator, may refine each project's theory of change. Where an explicit theory of change is not provided in the project documents, NCA will develop one based on information provided in the project documents and through consultations with the project stakeholders.

#### **11.3.4. Assessment of Project Results**

The Terminal Evaluation report will assess and rate the extent to which the project objectives – as stated in the documents submitted at the CEO Endorsement stage – have been achieved. The Terminal Evaluation report will also indicate if there were any changes in project design and/or expected results after the start of implementation. If the project did



not establish a baseline, then, where feasible, NCA will estimate the baseline conditions so that change can be determined, in particular those attributable to the project. Where applicable, the Terminal Evaluation report will include an assessment of the level of achievement of the GEF corporate results targets to which the project contributes and will also incorporate data from the focal area tracking tool.

- Outputs: The Terminal Evaluation report will rate the extent to which the expected output[s] were delivered and identify and assess any factors that affected delivery.
- Outcomes: The Terminal Evaluation report will rate the extent to which the expected outcome[s] were achieved and the extent to which their achievement was dependent on delivery of project outputs, as well as assessing the factors that affected outcome achievement (e.g., project design, project's linkages with other activities, extent and materialization of co-financing, stakeholder involvement, etc.). As appropriate, the Terminal Evaluation report will also evaluate the extent the project contributed to the program outcomes.
- Criteria for Outcome Ratings: Outcome ratings (6-point scale; highly satisfactory to highly unsatisfactory) will incorporate project achievements against expected targets. Project outcomes will be rated on three dimensions:
  - Relevance: Congruence with the GEF strategies, country priorities, and Agency mandates; was the project design appropriate for delivering the expected outcomes?)
  - Effectiveness: Were outcomes commensurate with expectations?
  - Efficiency: Cost-effective, both time and financial. We will also compare efficiency performance against similar projects within our experience.

### **11.3.5. Sustainability Rating**

Using a 4-point scale (likely to unlikely) we will identify, weigh, and explain key risks (i.e., likelihood & magnitude of impacts) to the continuation of benefits from the project after the GEF project ends. The analysis will cover financial, socio-political, institutional, and environmental risks.

### **11.3.6. Progress to Impact**

The Terminal Evaluation report will assess the extent to which the progress towards long-term impact may be attributed to the project (i.e., the counterfactual: if the project had not been implemented, then what would have been different) and to other actors and factors. Where relevant, we will assess the merits of rival explanations for the observed impact and give reasons for accepting or rejecting them.

We will report the available qualitative and quantitative evidence on environmental stress reduction (e.g. GHG emission reduction, reduction of waste discharge, etc.) and environmental status change (e.g. change in the population of endangered species, forest stock, water retention in degraded lands, etc.), noting the source of the information and clarifying the scale/s at which the described environmental stress reduction is being achieved.



In addition to on-the-ground change in the physical environment, the Terminal Evaluation report will evaluate the project's contribution to change in socioeconomic status (income, health, well-being, etc.). We will also evaluate the likelihood for further change, based on the project's contributions to changes in policy/ legal/regulatory frameworks. This includes observed changes to institutions in their capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc.).

Where the environmental and social changes are being achieved at scales beyond the immediate area of intervention, the Terminal Evaluation report will provide an account of the processes such as sustaining, mainstreaming, replication, scaling up, and market change, through which these changes have taken place. Furthermore, we will determine if there are arrangements to facilitate follow-up actions and we will document instances where the GEF promoted approaches, technologies, financing instruments, legal frameworks, information systems, etc., were adopted/implemented without direct support from, or involvement of, the project.

Further, the Terminal Evaluation report will identify, where applicable, the barriers and other risks that may prevent further progress towards long- term impacts, and document unintended impacts – both positive and negative impacts – of the project and assess the overall scope and implications of these impacts. Where these impacts are undesirable from environmental and socio-economic perspectives, the evaluation will suggest corrective actions.

### **11.3.7. Assessment of Monitoring & Evaluation Systems**

In addition, the Terminal Evaluation report will assess the Monitoring & Evaluation plan and implementation in particular (6-point scale; Highly Satisfactory to Highly Unsatisfactory) to identify strengths and weaknesses, as well as lessons learned. Our assessment will address the following:

- Design: Assess whether the original plan was well-prepared and included sufficient baseline data for monitoring. Assess whether the plan provided clear and appropriate targets across key indicator areas while providing a practical and sufficient plan for M&E implementation.
- Implementation: Compare actual implementation versus the original plan and identify and understand discrepancies. Assess whether data was gathered, organised and analyzed following an appropriate methodology. Assess to what effect M&E was supported and how it guided project management and results.

Specifically, we will address the following key questions:

1. Was the M&E plan at the point of CEO Endorsement practical and sufficient?
2. Did it include baseline data?
3. Did the M&E plan:



- Specify clear targets and appropriate (SMART) indicators to track environmental, gender, and socio-economic results; a proper methodological approach;
- Specify practical organization and logistics of the M&E activities including schedule and responsibilities for data collection; and,
- Provide an adequate budget?

Regarding implementation:

1. Did the M&E system operate as per the M&E plan?
2. Where necessary, was the M&E plan revised in a timely manner?
3. Was information gathered in a systematic manner?
4. Was the analysis of M&E data appropriate?
5. Were the resources for M&E sufficient?
6. How was the information from the M&E system used during the project implementation?

### **11.3.8. Assessment of Implementation and Execution**

As mentioned above, the Terminal Evaluation report will include an assessment (6-point scale; Highly Satisfactory to Highly Unsatisfactory) of the overall implementation and execution of GEF full-size projects, taking into account the performance of the GEF Implementing Agencies and project Executing Agency(ies) (EAs) in discharging their expected roles and responsibilities.

- Quality of Implementation: With focus on elements that were controllable from the given GEF Agency's perspective, their performance will be evaluated on how effectively they delivered on activities related to, *inter alia*, a project's identification, concept preparation, appraisal, preparation of the detailed proposal, approval, and start-up, oversight, supervision, completion, and evaluation. NCA will assess how well risks were identified and managed by the GEF Agency.
- Quality of Execution: EA performance will be assessed on how effectively they discharged their oversight role and responsibilities related to, *inter alia*, the management and administration of the project's day-to-day activities, the appropriate use of funds, and procurement and contracting of goods and services to the GEF Agency.
- Assessment of the Environmental and Social Safeguards: The Terminal Evaluation report will assess whether appropriate environmental and social safeguards were addressed in the project's design and implementation, including mitigation. NCA will assess the screening/categorization of the project along with the implementation of the safeguard plans that were approved by the GEF Agency.
- Gender: The Terminal Evaluation report will determine the extent to which the gender considerations were taken into account in designing and implementing the project (e.g., was a gender analysis conducted; how did the project ensure gender equitable participation and benefits; and, did the project gather gender disaggregated data and report on beneficiaries); the report will also document the extent to which relevant gender-related concerns were tracked through project M&E, and if possible, address whether gender considerations contributed to the success [or failure] of the



project. In case the given GEF project disadvantages or may disadvantage women or men, then this will be documented and reported.

- Stakeholder Engagement: The Terminal Evaluation report will review, where applicable, and assess the Stakeholder Engagement Plan and project-specific aspects such as involvement of civil society, indigenous population, the private sector, etc. The evaluator should also indicate the percentage of stakeholders interviewed who rate as satisfactory, the level at which their views and concerns are taken into account by the project.
- Accountability and Grievance Mechanism: The Terminal Evaluation report will review and assess the project's Grievance Mechanism, including document whether project stakeholders were aware of the grievance mechanism and whether the mechanism was effective in addressing grievances.

### **11.3.9. Other Assessments**

The Terminal Evaluation report will assess the following topics, (ratings will not be provided):

- Need for follow-up: Recommend any need for follow-up on the evaluation findings.
- Materialization of co-financing: Report on the extent to which proposed co-financing was secured and administered by the project management. We will also identify how any shortfall in co-financing or materialization of greater than expected co-financing affected project results, etc.
- Lessons and Recommendations: Provide key lessons from good practices across project design, implementation, stakeholder engagement and overall impact. Given our in-depth experience with such projects, we will be able to understand and identify the reasons behind project success and setback. Based on these lessons, we will make specific recommendations on how to scale up (from local, regional and national levels) the methods for assessing and monitoring land degradation at multiple scales. We will provide targeted recommendations to the GEF both for further actions with this project and portfolio-wide.



## Annex B: Stakeholders Consulted

NAME	INSTITUTION	ROLE	DATE
1. Mr. David Adegu	CCD	GHG Expert	Feb-20-2020
2. Mr. Peter Omeny	CCD	Director	Feb-17-2020
3. Dr. Free de Koning	CI-GEF Agency	Sr. Director P roject Development & Implementation, CI-GEF Project Agency	Feb-20-2020
4. Ms. Charity Nalyanya	CI-GEF Agency	Manager Africa, CIGEF	Feb-17-2020
5. Mr. Victor Esendi	Vital Signs	Senior Technical Manager	Feb-17-2020
6. Mr. Mike Olendo	Vital Signs	CBIT Kenya Project Manager	Feb-24-2020
7. Dr. Peter Alele	Vital Signs	Senior Director, Conservation Science, CI-Vital Signs	Feb-19-2020
8. Mr. Ali Mwanzei	SLEEK	Project coordinator	Feb-18-2020
9. Mr. Mike Bess	GHGMI	Project lead (CBIT Kenya)	Feb-25-2020
10. Mrs. Esther Gachanja	Ministry of Transport	Sector Lead -Transport	Feb-19-2020
11. Mrs. Merceline Ojwala	Department of Resource Surveys and Remote Sensing	Sector Lead - LUCUCF	Feb-18-2020
12. Mr. Peter Maneno	Ministry of Energy	Sector Lead - Energy	Feb-20-2020
13. Mr. Charles Situma	Department of Resource Surveys and Remote Sensing	Sector Lead - Land Cover	Feb-18-2020
14. Mr. Olaf Veerman	Devseed	Project manager <i>(Preparation of a web annotated platform for data integration)</i>	Feb-19-2020



## Annex C: Evaluation Terms of Reference

### General Background:

All Global Environment Facility (GEF) funded projects are required to complete a Terminal Evaluation. The Terminal Evaluation (TE) is designed to provide a comprehensive and systematic account of the performance of a completed project by assessing its design, implementation, and achievement of objectives. The evaluation is expected to: promote accountability and transparency; and facilitate synthesis of lessons. Also, the TE will provide feedback to allow the GEF Independent Evaluation Office (IEO) to identify recurring issues across the GEF portfolio; and, contribute to GEF IEO databases for aggregation and analysis.

### Guidelines for the Evaluator(s):

- Evaluators will be independent from project design, approval, implementation and execution. Evaluators will familiarize themselves with the GEF programs and strategies, and with relevant GEF policies such as those on project cycle, M&E, co-financing, fiduciary standards, gender, and environmental and social safeguards.
- Evaluators will take perspectives of all relevant stakeholders (including the GEF Operational Focal Point[s]) into account. They will gather information on project performance and results from multiple sources including the project M&E system, tracking tools, field visits, stakeholder interviews, project documents, and other independent sources, to facilitate triangulation. They will seek the necessary contextual information to assess the significance and relevance of observed performance and results.
- Evaluators will be impartial and will present a balanced account consistent with evidence.
- Evaluators will apply the rating scales provided in these guidelines in Annex 2.
- Evaluators will abide by the GEF Evaluation Office Ethical Guidelines.

### Project Background:

The evaluator will review the documents and deliver a terminal evaluation report on the following project:

- **Project Title:** Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Supporting the Coordination of National, Regional and Global Transparency-related Activities in Kenya
- **Project Objective:** To enhance the SLEEK system in Kenya to ensure Compliance with the Paris Agreement Transparency Requirements

The project is organized into the following components:

### Component 1: Strengthening national institutions and capacities in Kenya to enhance MRV transparency in line with Kenya's national priorities

Kenya's Second National Communication to the UNFCCC notes that the country needs to strengthen the coordination, networks and information flows between ministries, different levels of government, civil society, academia and the private sector to have a more efficient



integration of climate change variables into poverty reduction and development strategies. Component 1 addresses this gap and takes the bulk of the project resources.

### **Component 2: Supporting enhancements to the System for Land-Based Emission Estimation in Kenya (SLEEK) to assist with improvement of transparency over time**

The SLEEK system which is driven by five data pillars (climate, soils, forest, crops and land use change) is a strong model in Kenya on addressing land-based issues, including emissions. The SLEEK system, together with its generic FLInT design, aims to enable Kenya to generate landbased carbon dioxide emission estimations at tier 3 and come up with tailored MRV system for the land sector that is country-specific.

### **Component 3: Supporting the enhancement of the coordination between national, regional and global transparency related activities in Kenya.**

This component will strengthen coordination of national, regional and global transparencyrelated initiatives in Kenya by setting up a coordination platform. The platform will be a combination of web-based information, newsletters, in person meetings and coordinated events to share ideas across the GoK ministries, departments, and professionals. The platform will coordinate the multiple on-going initiatives that continue to be initiated from various development partners. This will support the Government to ensure that this work is coordinated, reduce costs and highlight which areas need support. It will also ensure coherence and coordination among the relevant departments, ministries, initiatives, and funding entities working toward this goal. In addition, the component will support the Climate Change Directorate to put in place a monitoring and review process to provide the guidance necessary to shift capacity-building efforts toward sustained and long-term capacity results being built at the institutional and systemic levels. The following two key areas of focus will be at the heart of this component:

More information on the project can be found here:

<https://www.thegef.org/project/strengthening-national-capacity-kenya-meet-transparency-requirements-paris-agreement-and>

Project Location: Kenya

#### **Key Tasks of the Evaluator(s):**

1. Based on an approved work plan, the evaluator will conduct a desk review of project documents (i.e. PIF, Project Document, plans related to the Environmental and Social Safeguards [including Gender and Stakeholder Engagement], Work plans, Budgets, Project Inception Report, Quarterly Reports, PIRs, documents with project results, Finalized GEF Focal Area Tracking Tools, policies and guidelines used by the Executing Agency, CI-GEF Evaluation Policy, GEF Evaluation Policy, Project Operational Guidelines, Manuals and Systems, etc.).
2. The evaluator will host a workshop (in person/virtual) with the Executing Agencies to clarify understanding of the objectives and methods of the Terminal Evaluation.
3. The conclusion of the workshop will be summarized in a Terminal Evaluation Zero Report with the following information:
  - a) Identification of the subject of the review, and relevant context



- b) Purpose of the evaluation: why is the evaluation being conducted at this time, who needs the information and why?
  - c) Objectives of the evaluation: What the evaluation aims to achieve (e.g. assessment of the results of the project, etc.)
  - d) Scope: What aspects of the project will be covered, and not covered, by the evaluation
  - e) Identification and description of the evaluation criteria (including relevance, effectiveness, results, efficiency, and sustainability)
  - f) Key evaluation questions
  - g) Methodology including approach for data collection and analysis, and stakeholder engagement
  - h) Rationale for selection of the methods, and selection of data sources (i.e. sites to be visited, stakeholders to be interviewed)
  - i) System for data management and maintenance of records
  - j) Intended products and reporting procedures
  - k) Potential limitations of the evaluation
4. The evaluator will undertake the evaluation of the project, including any interviews and in- country site visits.
  5. Based on the document review and the in-country interviews/site visits, the evaluator will prepare a draft evaluation report following the outline in Annex 1. The report will be shared with the Executing Agencies and the CI-GEF Agency. Each party can provide a management response, documenting questions or comments on the draft evaluation report.
  6. The evaluator will incorporate comments and will prepare the final evaluation report. The evaluator will submit a final evaluation report in word and PDF and will include a separate document highlighting where/how comments were incorporated.

**Deliverables:**

The successful offeror shall deliver to CI the final Terminal Evaluation Report, in accordance with the outline in Annex 1.

**Deliverables Schedule:**

Number	Activity	Responsible	Deliverable	Due Date
1	Establish work plan	Consultant	Approved work plan	To be determined
2	Desk review of all relevant project documents	Consultant	Consultants understands project and can deliver a Evaluation Inception Workshop as outlined in Deliverable #3.	To be completed before Evaluation Inception Workshop



3	Host Evaluation Inception workshop with Executing Agencies (virtual/in person)	Consultant	Terminal Evaluation Zero Report	To be determined
4	Evaluation of the project via interviews and site visits	Consultant	Draft evaluation report based on outline in Annex 1	To be determined
5	Review draft evaluation report	Executing agencies and CI-GEF Agency	Provide comments or questions	To be determined
6	Incorporate comments into evaluation report	Consultant	Final Terminal Evaluation Report (word and PDF), including document showing how comments/questions were incorporated	To be determined



## Annex D: Outline for Draft and Terminal Evaluation Reports

The draft and final evaluation reports should at the minimum contain the information below:

### General Information

The Terminal Evaluation report will provide general information on the project and conduct of the Terminal Evaluation. This includes information such as:

- GEF Project ID
- Project name
- GEF financing
- Planned and materialized co-financing
- Key objectives
- GEF Agency
- Project countries
- Key dates: Date of project start, Date of project completion
- Name of the Project Executing Agency(ies)

The Terminal Evaluation report will also provide information on when the evaluation took place, places visited, who was involved, the methodology, and the limitations of the evaluation. The report will also include, as annexes to the main report, the evaluation team's terms of reference, its composition and expertise.

Where feasible and appropriate, the Terminal Evaluation reports should include georeferenced maps and/or coordinates that demarcate the planned and actual area covered by the project. To facilitate tracking and verification, where feasible, the Terminal Evaluations should include geo-referenced pictures of the sites where GEF supported interventions were undertaken.

### Project Theory of Change

The Terminal Evaluation report will include a description of the project's theory of change including description of the outputs, outcomes, intermediate states, and intended long-term environmental impacts of the project; the causal pathways for the long-term impacts; and, implicit and explicit assumptions.

The project's objective(s) should also be included within the theory of change. Some of the projects may already have an explicit theory of change. Where appropriate, after consultations with the project stakeholders, the evaluators may refine this theory of change. Where an explicit theory of change is not provided in the project documents, the evaluators should develop it based on information provided in the project documents and through consultations with the project stakeholders.



## **Assessment of Project Results**

The TE must assess achievement of project outputs and outcomes, and report on these. While assessing a project's results, evaluators will determine and rate the extent to which the project objectives – as stated in the documents submitted at the CEO Endorsement stage – have been achieved. The evaluator(s) should also indicate if there were any changes in project design and/or expected results after start of implementation. If the project did not establish a baseline (initial conditions), where feasible, the evaluator should estimate the baseline conditions so that results can be determined. Where applicable, the Terminal Evaluation report will include an assessment of the level of achievement of the GEF corporate results targets to which the project contributes and will also incorporate data from the focal area tracking tool.

### **Outputs**

The evaluator should rate the extent to which the expected outputs were actually delivered. An identification and assessment of the factors that affected delivery of outputs should also be included.

### **Outcomes**

The evaluator should rate the extent to which the expected outcomes were achieved and the extent to which its achievement was dependent on delivery of project outputs. They should also assess the factors that affected outcome achievement, e.g. project design, project's linkages with other activities, extent and materialization of co-financing, stakeholder involvement, etc. Where the project was developed within the framework of a program, the assessment should also report on the extent the project contributed to the program outcomes.

### **Criteria for Outcome Ratings**

Outcome ratings will take into account the outcome achievements of the projects against its expected targets. Project outcomes will be rated on three dimensions: a. Relevance: Were the project outcomes congruent with the GEF focal areas/operational program strategies, country priorities, and mandates of the Agencies? Was the project design appropriate for delivering the expected outcomes? b. Effectiveness: Were the project's actual outcomes commensurate with the expected outcomes? c. Efficiency: Was the project cost-effective? How does the project cost/time versus output/outcomes equation compare to that of similar projects? Rating Scale for Outcomes: An overall outcome rating will be provided on a six-point scale (highly satisfactory to highly unsatisfactory) after taking into account outcome relevance, effectiveness, and efficiency (See Annex 2).

### **Sustainability**

The assessment of sustainability will weigh risks to continuation of benefits from the project. The assessment should identify key risks and explain how these risks may affect continuation of benefits after the GEF project ends. The analysis should cover financial, socio-political, institutional, and environmental risks. The overall sustainability of project outcomes will be



rated on a four-point scale (Likely to Unlikely) based on an assessment of the likelihood and magnitude of the risks to sustainability. Higher levels of risks and magnitudes of effect, imply lower likelihood of sustainability. Annex 2 describes the rating scale for sustainability.

### **Progress to Impact**

The evaluators should also assess the extent to which the progress towards long-term impact may be attributed to the project. The evaluators should report the available qualitative and quantitative evidence on environmental stress reduction (e.g. GHG emission reduction, reduction of waste discharge, etc.) and environmental status change (e.g. change in population of endangered species, forest stock, water retention in degraded lands, etc.). When reporting such evidence, the evaluator should note the information source and clarify the scale/s at which the described environmental stress reduction is being achieved.

The evaluators should cover the project's contributions to changes in policy/ legal/regulatory frameworks. This would include observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc.). Contribution to change in socioeconomic status (income, health, well-being, etc.) should also be documented.

Where the environmental and social changes are being achieved at scales beyond the immediate area of intervention, the evaluators should provide an account of the processes such as sustaining, mainstreaming, replication, scaling up and market change, through which these changes have taken place. The evaluators should discuss whether there are arrangements in the project design to facilitate follow-up actions, and should document instances where the GEF promoted approaches, technologies, financing instruments, legal frameworks, information systems, etc., were adopted/implemented without direct support from, or involvement of, the project. Evidence on incidence of these processes should be discussed to assess progress towards impact. When assessing contributions of GEF project to the observed change, the evaluators should also assess the contributions of other actors and factors.

The evaluators should assess merits of rival explanations for the observed impact and give reasons for accepting or rejecting them. Where applicable, the evaluators are encouraged to identify and describe the barriers and other risks that may prevent further progress towards long-term impacts.

The evaluators should document the unintended impacts – both positive and negative impacts – of the project and assess the overall scope and implications of these impacts. Where these impacts are undesirable from environmental and socio-economic perspectives, the evaluation should suggest corrective actions.

### **Assessment of Monitoring & Evaluation Systems**

The evaluators will include an assessment of the strengths and weaknesses of the project M&E plan and its implementation.

M&E Design. To assess the quality of the M&E plan, the evaluators will assess:



- a. Was the M&E plan at the point of CEO Endorsement practical and sufficient?
- b. Did it include baseline data?
- c. Did it: specify clear targets and appropriate (SMART) indicators to track environmental, gender, and socio-economic results; a proper methodological approach; specify practical organization and logistics of the M&E activities including schedule and responsibilities for data collection; and, budget adequate funds for M&E activities?

M&E Implementation. The evaluators should assess:

- a. Whether the M&E system operated as per the M&E plan?
- b. Where necessary, whether the M&E plan was revised in a timely manner?
- c. Was information on specified indicators and relevant GEF focal area tracking tools gathered in a systematic manner?
- d. Whether appropriate methodological approaches have been used to analyze data?
- e. Were resources for M&E sufficient? How was the information from the M&E system used during the project implementation?

Project M&E systems will be rated on the quality of M&E design and quality of M&E implementation using a six-point scale (Highly Satisfactory to Highly Unsatisfactory). Annex 2 provides more details on the scale.

### **Assessment of Implementation and Execution**

The assessment of the implementation and execution of GEF full size projects will take into account the performance of the GEF Implementing Agencies and project Executing Agency(ies) (EAs) in discharging their expected roles and responsibilities. The performance of these agencies will be rated using a six-point scale (Highly Satisfactory to Highly Unsatisfactory). See Annex 2 for more information on the scale.

**Quality of Implementation:** Within the GEF partnership, GEF Implementing Agencies are involved in activities related to a project's identification, concept preparation, appraisal, preparation of detailed proposal, approval and start-up, oversight, supervision, completion, and evaluation. To assess performance of the GEF Agencies, the evaluators will assess the extent to which the agency delivered effectively on these counts, with focus on elements that were controllable from the given GEF Agency's perspective. The evaluator will assess how well risks were identified and managed by the GEF Agency.

**Quality of Execution:** Within the GEF partnership, the EAs are involved in the management and administration of the project's day-to-day activities under the overall oversight and supervision of the GEF Agencies. The EAs are responsible for the appropriate use of funds, and procurement and contracting of goods and services to the GEF Agency. To assess EA performance, the evaluators will assess the extent to which it effectively discharged its role and responsibilities.

### **Assessment of the Environmental and Social Safeguards**

The evaluator will assess whether appropriate environmental and social safeguards were addressed in the project's design and implementation (See Annex 2 for more details on the



rating scale). It is expected that a GEF project will not cause any harm to environment or to any stakeholder and, where applicable, it will take measures to prevent and/or mitigate adverse effects. The evaluator should assess the screening/categorization of the project along with the implementation of the safeguard plans that were approved by the GEF Agency.

**Gender:** The evaluator will determine the extent to which the gender considerations were taken into account in designing and implementing the project. The evaluator should report whether a gender analysis was conducted, the extent to which the project was implemented in a manner that ensures gender equitable participation and benefits, and whether gender disaggregated data was gathered and reported on beneficiaries. In case the given GEF project disadvantages or may disadvantage women or men, then this should be documented and reported. The evaluator should also determine the extent to which relevant gender related concerns were tracked through project M&E, and if possible, addressing whether gender considerations contributed to the success of the project.

**Stakeholder Engagement:** The evaluator should, where applicable, review and assess the Stakeholder Engagement Plan and project specific aspects such as involvement of civil society, indigenous population, private sector, etc. The evaluator should also indicate the percentage of stakeholders who rate as satisfactory, the level at which their views and concerns are taken into account by the project.

**Accountability and Grievance Mechanism:** The evaluator should review and assess the project's Grievance Mechanism. The evaluator should analyze and assess whether project stakeholders were aware of the grievance mechanism and whether the mechanism was effective in addressing grievances.

The evaluator should also review and assess any other safeguard plans that were triggered.

### **Other Assessments**

The Terminal Evaluations should assess the following topics, for which ratings are not required:

- a. Need for follow-up: Where applicable, the evaluators will indicate if there is any need to follow up on the evaluation findings, e.g. instances financial mismanagement, unintended negative impacts or risks, etc.
- b. Materialization of co-financing: the evaluators will provide information on the extent to which expected co-financing materialized, whether co-financing is cash or in-kind, whether it is in form of grant or loan or equity, whether co-financing was administered by the project management or by some other organization, how shortfall in co-financing or materialization of greater than expected co-financing affected project results, etc.
- c. Lessons and Recommendations: Evaluators should provide a few well-formulated lessons that are based on the project experience and applicable to the type of project at hand, to the GEF's overall portfolio, and/or to GEF systems and processes. Wherever possible, Terminal Evaluation reports should include examples of good practices in project design and implementation that have led to effective stakeholder



engagement, successful broader adoption of GEF initiatives by stakeholders, and large-scale environmental impacts. The evaluators should describe aspects of the project performance that worked well along with reasons for it. They should discuss where these good practices may or may not be replicated. Recommendations should be well formulated and targeted. The recommendations should discuss the need for action, the recommended action along with its likely consequences vis-à-vis status quo and other courses of action, the specific actor/actors that need to take the action, and time frame for it.

## **Annex 2: Rating Scale**

The main dimensions of project performance on which ratings are first provided in the terminal evaluation are: outcomes, sustainability, quality of monitoring and evaluation, quality of implementation, and quality of execution. The CI-GEF Agency also includes ratings for environmental and social safeguards.

### **Outcome Ratings:**

The overall ratings on the outcomes of the project will be based on performance on the following criteria:

- a. Relevance
- b. Effectiveness
- c. Efficiency

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

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

The calculation of the overall outcomes rating of projects will consider all the three criteria, of which relevance and effectiveness are critical. The rating on relevance will determine whether the overall outcome rating will be in the unsatisfactory range (MU to HU = unsatisfactory range). If the relevance rating is in the unsatisfactory range, then the overall outcome will be in the unsatisfactory range as well. However, where the relevance rating is in



the satisfactory range (HS to MS), the overall outcome rating could, depending on its effectiveness and efficiency rating, be either in the satisfactory range or in the unsatisfactory range.

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

### **Sustainability Ratings:**

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

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

### **Project M&E Ratings:**

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

- Design
- Implementation

Quality of M&E on these two dimensions will be assessed on a six-point scale:

- Highly satisfactory (HS): There were no short comings and quality of M&E design / implementation exceeded expectations.
- Satisfactory (S): There were no or minor short comings and quality of M&E design / implementation meets expectations.
- Moderately Satisfactory (MS): There were some short comings and quality of M&E design/implementation more or less meets expectations.
- Moderately Unsatisfactory (MU): There were significant shortcomings and quality of M&E design/implementation somewhat lower than expected.
- Unsatisfactory (U): There were major short comings and quality of M&E design/implementation substantially lower than expected.
- Highly Unsatisfactory (HU): There were severe short comings in M&E design/ implementation.



- Unable to Assess (UA): The available information does not allow an assessment of the quality of M&E design/implementation.

### **Implementation and Execution Rating:**

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

- Highly satisfactory (HS): There were no short comings and quality of environmental and social safeguard plans design/implementation exceeded expectations.
- Satisfactory (S): There were no or minor short comings and quality of environmental and social safeguard plans design/execution met expectations.
- Moderately Satisfactory (MS): There were some short comings and quality of environmental and social safeguard plans design/implementation more or less met expectations.
- Moderately Unsatisfactory (MU): There were significant shortcomings and quality of environmental and social safeguard plans design/implementation somewhat lower than expected.
- Unsatisfactory (U): There were major short comings and quality of environmental and social safeguard plans design/implementation substantially lower than expected.
- Highly Unsatisfactory (HU): There were severe short comings in quality of environmental and social safeguard plans design/implementation
- Unable to Assess (UA): The available information does not allow an assessment of the quality of environmental and social safeguard plans design/implementation

### **Environmental and Social Safeguards:**

The approved environmental and social safeguard plans will be rated according to the following scale.

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



## Annex E: Evaluation Team Biographies

### **Arthur Blundell PhD, Founder and partner at Natural Capital Advisor.**

Art has over 25 years experience in natural resource management with a focus on project design and evaluation working with USAID, multi-laterals, and foundations. Art was a AAAS Science-Diplomacy Fellow with both USAID and the US-EPA. For Conservation International, his team prepared the business plan for the Mt Mantalingahan Protected Landscape, Philippines. Art conducted the final evaluation for the USAID *Responsible Asia Forest & Trade* (RAFT) Initiative. He is the former chair of the Panel of Experts on Liberia monitoring sanctions for the Security Council. He has served as an advisor to the Indonesian Corruption Eradication Commission (KPK), and is currently a consultant to the Washington-based NGO Forest Trends. Art has worked with DfID (UK), the European Commission, the African Development Bank, the Extractive Industries Transparency Initiative, FAO, and with Transparency International. Previously, Art served as a Fulbright scholar in Indonesia, when he received his PhD from Dartmouth College.

### **Tyler Christie MBA, Founder and Partner and Natural Capital Advisors.**

Tyler has extensive experience managing technology projects, capacity building programs, and evaluating project performance in Africa having led the Conservation International office in Liberia. During this time he helped design the national protected area network, build capacity in its institutions, and strengthen governance to manage natural resources.

Tyler was also CEO of AMEE, a data analytics company that helped many of the world's largest organization accurately calculate and report their carbon emissions footprint. AMEE ran the largest ever carbon footprinting project for the UK Government.

He is a trained geographic information systems and remote sensing technology analyst with in depth, hands on experience conducting and evaluating and land-use and protected area planning projects. He has also worked extensively in Africa having managed a variety of projects providing thorough understanding of standards, safeguards, methodologies, and strategies. During his time managing Conservation International's Liberia Office he led several GEF projects as well as other donor funded projects with the World Bank, European Commission and CEPF establishing extensive project management experience in Africa similar to the project being evaluated here. Tyler holds a BS in Geography from Middlebury College with a specialisation in geographic information systems. Tyler received an MBA from The Wharton School.

### **Ikemefuna Eronini, M.Sc Chemistry and M&E Specialist Consultant**

Ikemefuna is a monitoring and evaluation specialist with 14 years' experience in designing M&E systems, leading – and building the capacity of – M&E teams and working on evaluation procedures. He brings extensive knowledge and experience in a wide range of designs and approaches; randomized control trials, quasi-experimental evaluation; qualitative research; balanced scorecard, indicator design, data profiling and monitoring systems development. He has both developed, managed, and evaluated a wide range of M&E programs in Liberia therefore enabling NCA to provide a highly in depth and accurate evaluation of the project.



## Annex F: Standard GEF Ratings Scale

Rating Criteria	■ Rating Scale
Relevance	■ Relevant * ■ Not-relevant (NR)
Effectiveness, Efficiency, Results, GEF principles, other lower-level ratings criteria, etc.	■ <b>Highly satisfactory (HS):</b> There were no shortcomings in the achievement of objectives in terms of effectiveness or efficiency ■ <b>Satisfactory (S):</b> There were minor shortcomings in the achievement of objectives in terms of effectiveness or efficiency ■ <b>Moderately satisfactory (MS):</b> There were moderate shortcomings in the achievement of objectives in terms of effectiveness or efficiency ■ <b>Moderately unsatisfactory (MU):</b> There were significant shortcomings in the achievement of objectives in terms of effectiveness or efficiency ■ <b>Unsatisfactory (U):</b> There were major shortcomings in the achievement of objectives in terms of effectiveness or efficiency ■ <b>Highly unsatisfactory (HU):</b> There were severe shortcomings in the achievement of objectives in terms of effectiveness or efficiency
Sustainability	■ <b>Likely (L):</b> Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future ■ <b>Moderately Likely (ML):</b> Moderate risks, but expectations that at least some outcomes will be sustained ■ <b>Moderately Unlikely (MU):</b> Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on ■ <b>Unlikely (U):</b> Severe risk that project outcomes as well as key outputs will not be sustained
■ Impact	■ <b>Significant (S):</b> The project contributed to impact level results (changes in ecosystem status, etc.) at the scale of global benefits (e.g. ecosystem wide, significant species populations, etc.) ■ <b>Minimal (M):</b> The project contributed to impact level results at the site-level or other sub-global benefit scale ■ <b>Negligible (N):</b> Impact level results have not (yet) been catalyzed as a result of project efforts
■ Other	■ Not applicable (N/A) ■ Unable to assess (U/A) ■ Not specified (N/S)



## Annex G: References

The following documents were reviewed as part of the Desk Research portion of the evaluation.:

1. CBIT Kenya Project Document
  - File: 20171215 GEF ID 9674 CIGEF CBIT Kenya Project Document
2. Project Implementation Report
  - File: 20200127\_PIR for CBIT Kenya OS edits-nbo-14-B5-CF
3. Consultant Reports
  - File: CBIT Kenya Grant Progress Report 5\_GHGMI 2019-10-31
  - File: GHG\_Sectoral\_Nomiations\_1
  - File: GHG\_Training\_Report\_Long\_Version – Naivasha
  - File: Needs\_and\_Gap\_Assessment\_Report\_Kenya\_MRV\_Energy\_Transport\_ICAT
4. Annual workplan
  - File: Q3\_Q4 CBIT\_Kenya\_CI-GEF\_Project\_Workplan\_14082018
5. CBIT Global Coordination Platform
  - File: 23102019\_CBIT Kenya\_Webinar\_23\_October\_Conservation International\_SK
  - File: Link to CBIT Global Coordination Platform
6. CIGEF monitoring site visit report
  - File: 20190412\_Trip Report- CBIT Kenya
  - File: CIGEF Site Visit\_Agenda
7. Final Financial Report
  - File: Copy of 22-7-2019 FINAL CBIT KENYA BUDGET-1001110 NCE n Procurement Plan (1)
8. Inception report workshop
  - File: 9674-cbit-kenya-inception-workshop-report
9. Safeguards:
  - File: CBIT Kenya Gender Mainstreaming Plan APPROVED 20171102
  - File: CBIT Kenya Grievance Plan APPROVED 20171102
  - File: CBIT Kenya Stakeholder Engagement Plan APPROVED 20171102
  - File: 20161215 CBIT Kenya Safeguard Screening Form
  - File: 20170131 CBIT Kenya Safeguard Screening Analysis Results
10. Stakeholder contact list
  - File: 20190116\_CBIT Kenya\_Contacts\_Stakeholders\_2
11. Technical Quarter Reports
  - File: Q3\_Q4 CBIT\_Kenya\_CI-GEF\_Project\_Workplan\_14082018
  - File: 20181214FY 19 Q1 CBIT Kenya CI-GEF
  - File: 20190403\_FY19\_Q2\_CBIT\_Kenya\_CI-GEF\_Quarterly\_Report Revised 3rd April
  - File: 20190620\_FY19\_Q3\_CBIT Kenya workplan\_for NCE
  - File: Revised\_Budget\_Wk\_Plan\_Balance\_CBIT Kenya-19-06-2019
  - File: 190619 Revised Kenya budget for NCE.docx
  - File: 20191007 FY19 Q4\_CBIT Kenya\_Workplan
  - File: 20191206\_FY20 Q1\_CBIT Kenya\_Workplan – Approved
12. Tracking Tool
  - File: GEF ID 9674 GEF6\_CBIT Kenya Tracking Tool\_October 9th 2017