



Lake Naivasha Basin Ecosystem Based Management

Review CEO Endorsement and Make a recommendation

Basic project information

GEF ID

10589

Countries

Kenya

Project Name

Lake Naivasha Basin Ecosystem Based Management

Agencies

WWF-US

Date received by PM

1/5/2023

Review completed by PM

3/8/2023

Program Manager

Jurgis Sapijanskas

Focal Area

Multi Focal Area

Project Type

PIF CEO Endorsement

Part I ? Project Information

Focal area elements

1. Does the project remain aligned with the relevant GEF focal area elements as presented in PIF (as indicated in table A)?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared. Thank you for the revisions and responses throughout this review sheet.

JS 1/10/2023

1- Please correct the expected completion date:

Expected Completion Date
6/30/2023

The rest is cleared.

Agency Response

02/22/23

The date has been corrected to 6/30/2027.

Project description summary

2. Is the project structure/design appropriate to achieve the expected outcomes and outputs as in Table B and described in the project document?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/10/2023

1- Please correct the typo on the output numbering in the portal entry:

3. Improved land management in upper Lake Naivasha Basin	Investment	3.1. Improved capacity of LNB smallholder farmers for the transition towards sustainable and biodiversity-friendly agricultural practices	1.1.1. Agricultural training manual and curriculum targeting smallholder farmers developed with key state agencies and stakeholders 1.1.2. Roll out of gender-inclusive curriculum training to 2,700 LNB smallholder farmers through ward agricultural officers (group facilitators) and field days with demonstrations for technical backstopping 1.1.3. Tools and materials for implementation of	GET	962,165.00
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2- Some reformulated outputs are unclear:

2a- The reformulated output 1.1.2 is unclear. What does "Mainstreaming of priority intervention areas" mean and what do "intervention areas" refer to? Please revise output formulation to convey what the output will deliver in concrete terms.

2b- It is unclear in the reformulated output 2.2.1 what "Market access points" mean. Please revise output formulation to convey what the output will deliver in concrete terms.

3- Forests management has been removed from table B. It was included in outcome 3.2 and output 3.2.3 (Participatory Forest Management Plans) at PIF stage. Please correct, as this seems to be a typo, or explain.

Agency Response

02/22/23

1- The output numbering has been corrected in the portal entry.

2a- This output was rephrased to 'Annual position papers on priority areas of action (as identified in the LNBIMP) to be integrated into the County Development Plans prepared and submitted to County Governments.' This consultation process will be led by Imarisha who will submit the position paper on behalf of the stakeholders. Further clarification was provided in the strategy section.

2b- The term 'market access points' was changed to 'market outlets' and provided a clarification in the description to clarify that this refers to shops, retailers, export agents, hotels and conference facilities, catering companies etc.

3- The omission of 'forest management' was an oversight. The outcome has been revised to reflect the focus on forest land management and restoration as follows: Outcome 3.2. Priority forest land management and restoration interventions implemented in the Lake Naivasha upper catchment area for enhanced water and biodiversity protection. In addition, the output on forest management and restoration was split into two separate outputs: Output 3.2.3 refers now to the updated PFMPs as output, while a new output 3.2.4 refers to the forest landscape restoration work.

3. If this is a non-grant instrument, has a reflow calendar been presented in Annex D?

Secretariat Comment at CEO Endorsement Request NA

Agency Response

Co-financing

4. Are the confirmed expected amounts, sources and types of co-financing adequately documented, with supporting evidence and a description on how the breakdown of co-financing was identified and meets the definition of investment mobilized, and a description of any major changes from PIF, consistent with the requirements of the Co-Financing Policy and Guidelines?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - All Cleared.

JS 1/10/2023

1- While total co-finance is similar to that expected at PIF stage, investment mobilized has decreased from \$7.5 million to \$4.2 million. In particular less than 3% of NETFUND's anticipated grant funding has materialized when NETFUND is the main EA. Please explain and justify that the project is still viable with the new co-financing structure if the announced \$6,500,000 AfDB loan does not materialize.

2- Please provide the co-financing letter from WWF Kenya.

3- NETFUND & ENSDA: Please switch the "Grant" and "in-kind" tags with each other:

Recipient Country Government	NETFUND	Grant	Recurrent expenditures	640,215.00	
Recipient Country Government	NETFUND	In-kind	Investment mobilized	178,533.00	
Recipient Country Government	Ewaso Ng'iro South Development Authority (ENSDA)	Grant	Recurrent expenditures	1,470,000.00	
Recipient Country Government	Ewaso Ng'iro South Development Authority (ENSDA)	In-kind	Investment mobilized	3,750,000.00	

4- Rhino Ark Kenya \$35,267 in-kind: Please select ?Recurrent expenditures?.

5- ? WWF-US \$234,247: Please change ?Other? to ?In-kind?

Agency Response

02/22/13

1- The investment mobilized during the PIF stage included a project worth USD 6.5M that NETFUND had submitted to the AfDB for funding. It was anticipated that this funding would be secured in time. However, the project has not yet been approved. To bridge this gap NETFUND engaged KFS and ENSDA to provide co-financing through projects and programmes that they are implementing within the ecosystem. KFS has since then provided additional co-financing of 2.1 Million dollars (updated letter uploaded to Portal) bringing the total investments mobilized to USD6.3M. With this additional investment, the project is still viable. Additionally, NETFUND will follow up with other key potential partners that can also provide co-financing towards this project. The targets as set in the ProDoc are still achievable.

2- WWF Kenya letter has been uploaded.

3- The tags for NETFUND and ENSDA have been updated.

4- This has been corrected

5- This has been corrected

GEF Resource Availability

5. Is the financing presented in Table D adequate and does the project demonstrate a cost-effective approach to meet the project objectives?

Secretariat Comment at CEO Endorsement Request JS 1/10/2023 - Cleared.

Agency Response
Project Preparation Grant

6. Is the status and utilization of the PPG reported in Annex C in the document?

Secretariat Comment at CEO Endorsement Request JS 1/10/2023 - Cleared.

Agency Response
Core indicators

7. Are there changes/adjustments made in the core indicator targets indicated in Table E? Do they remain realistic?

Secretariat Comment at CEO Endorsement Request
JS 3/8/2023 - Cleared.

JS 1/10/2023

1- Please correct the typo on the duration of accounting for core indicator 6.1. It should be 20 years:

Anticipated start year of accounting	2024
Duration of accounting	3

The rest is cleared.

Agency Response
02/22/23

1- Thank you. The duration of accounting for core indicator 6.1 has been changed to 20.

Part II ? Project Justification

1. Is there a sufficient elaboration on how the global environmental/adaptation problems, including the root causes and barriers, are going to be addressed?

Secretariat Comment at CEO Endorsement Request

JS 1/10/2023 - Cleared.

Agency Response

2. Is there an elaboration on how the baseline scenario or any associated baseline projects were derived?

Secretariat Comment at CEO Endorsement Request

JS 1/10/2023 - Cleared.

Agency Response

3. Is the proposed alternative scenario as described in PIF/PFD sound and adequate? Is there sufficient clarity on the expected outcomes and components of the project and a description on the project is aiming to achieve them?

Secretariat Comment at PIF/Work Program Inclusion

JS 3/8/2023 - All cleared.

JS 1/11/2023

1- Please see comments above on table B and address as needed in the description of the alternative scenario.

2- output 2.1.3: Please confirm in the CEO approval request that the training for farmers on business plans and linkage to micro-finance institutions will be dedicated to farmers that are, or will be, transitioning thanks to project support to sustainable, biodiversity-friendly agricultural practices. Please clarify the anticipated trainer, number of trainees and how this training will be institutionalized and coordinated with the training planned under outcome 3.1.

3- outcome 3.1: Please explain why the anticipated number of farmers trained went from 3,600 at PIF stage to 2,700 at CEO approval stage.

4- output 4.2.2: Please justify the cost and added-value of the annual reflection workshops beyond the already planned project progress report, PSC meetings, technical committee meetings and annual meetings of the LNB Multi-stakeholder Platform.

Agency Response

02/22/23

1- Adjusted.

2- A resource person from the Kenya Bureau of Standards will act as a resource person for hands-on support and advice to interested farmers (on average 2 days per ward and per year), supported by the ward officers and the PMU community outreach officer. The group will cover the cost of travel, accomodation and subsistence only (so no salaries). In addition, group sensitization will be provided as part of output 3.1.2, so targeting the same group of 2700 farmers (so, those that are dedicated to transitioning to sustainable practices). This has been clarified in the text.

3- The reduced number of trained farmers is purely based on budget consideration, and based on detailed budgeting of cost associated with this outcome (see budget notes). As it is, the budget allocated to Outcome 3.1 is USD 695,580 (39% of the budget), which includes developing the training curriculum, the training (both the train the trainers for the ward officers and the actual roll-out to farmers) and the provision of modest supplies and tools of participating farmers for motivation/supporting the implementation of improved practices on their farms. Considering the limited overall budget, this is therefore an informed decision to put a cap on the number of farmers. Having said so, the project team will seek to source additional funding from other sources to scale up the capacity building activities.

4- Annual reflection workshops are a standard adaptive management practice in WWF GEF projects. These meetings allow the PMU and key project partners to review the theory of change with the project progress against indicator targets in the annual workplans and results framework. It is an opportunity for the project team to reflect on what has been working, what hasn't and to make any adaptive measures to improve the project. These measures are then discussed with the WWF GEF Agency for no objection and the PSC for endorsement. Furthermore, these meetings encourage discussions that will inform the project progress reports and subsequent workplans.

4. Is there further elaboration on how the project is aligned with focal area/impact program strategies?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

5. Is the incremental reasoning, contribution from the baseline, and co-financing clearly elaborated?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

6. Is there further and better elaboration on the project's expected contribution to global environmental benefits or adaptation benefits?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

7. Is there further and better elaboration to show that the project is innovative and sustainable including the potential for scaling up?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

Project Map and Coordinates

Is there an accurate and confirmed geo-referenced information where the project intervention will take place?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023

1- The map provided does not highlight the targeted areas of intervention. Please provide a more precise map.

2- Please provide geo-referenced information or at least coordinates as text in the portal entry.

Agency Response

02/22/23

1 y 2- Revised map with details on project intervention areas and georeferenced information included in Annex 1.

Child Project

If this is a child project, is there an adequate reflection of how it contributes to the overall program impact?

Secretariat Comment at CEO Endorsement Request

NA

Agency Response

Stakeholders

Does the project include detailed report on stakeholders engaged during the design phase? Is there an adequate stakeholder engagement plan or equivalent documentation for the implementation phase, with information on Stakeholders who will be engaged, the means of engagement, and dissemination of information?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023

We note the annexed stakeholder engagement plan, which includes a summary of consultations carried out during PPG.

1- Please explain why IPLCs are not tagged or correct what appears to be a typo:

Select the stakeholders that have participated in consultations during the project identification phase:

Civil Society Organizations Yes

Indigenous Peoples and Local Communities

Private Sector Entities Yes

The rest is cleared.

Agency Response

02/22/23

1- Thank you. IPLCs have been tagged.

Gender Equality and Women's Empowerment

Has the gender analysis been completed? Did the gender analysis identify any gender differences, gaps or opportunities linked to project/program objectives and activities? If so, does the

project/program include gender-responsive activities, gender-sensitive indicators and expected results?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 We note the annexed gender action plan and the effective gender mainstreaming in the description of the alternative scenario,

Cleared.

Agency Response

Private Sector Engagement

If there is a private sector engagement, is there an elaboration of its role as a financier and/or as a stakeholder?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

Risks to Achieving Project Objectives

Has the project elaborated on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved? Were there proposed measures that address these risks at the time of project implementation?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023

1- The risk analysis does not seem to have been updated since PIF stage. Please correct:

Table 4 Risk Analysis

Risk Description	Ranking	Preventive Measures
1. Limited uptake of sustainable land management practices by stakeholders	L	Stakeholders will be actively engaged in the development phase of the project through consultations (in person if COVID19 restrictions permit) to ensure project activities are appropriate, secure their buy-in and validation of project activities. Local communities to be engaged have long-standing relationships and on-the-ground experience with executing partners and LNB stakeholders on SLM practices and risk of limited involvement is considered low.
2. Strong climate variability during	H	Current climatic variability (as identified in the climate change risk screen hel

2- The COVID risk and opportunity analysis, which was present PIF stage, is missing. Please provide.

3- Please move the elaboration on "Environmental and Social Safeguards Risks" to the dedicated section in the portal (11. Environmental and Social Safeguard (ESS) Risks).

Agency Response

02/22/23

1- The risks analysis has been updated.

2- The COVID risk and opportunity analysis has been added and updated.

3- Thank you. The GEF7 CEO Endorsement template does not have a dedicated section for this.

Coordination

Is the institutional arrangement for project implementation fully described? Is there an elaboration on possible coordination with relevant GEF-financed projects and other bilateral/multilateral initiatives in the project area?

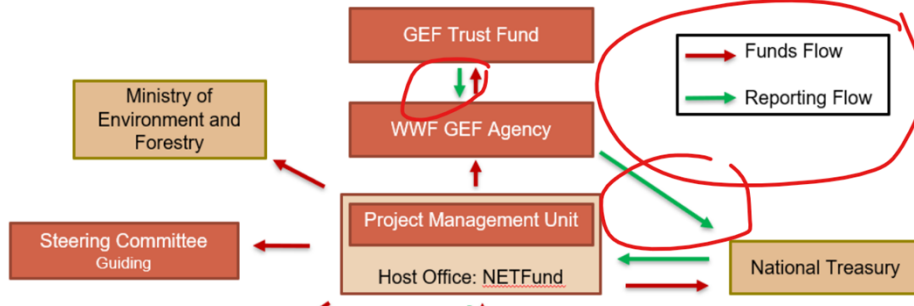
Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023

1- Please correct the legend of Figure 3, "Funds" and "reporting" flows have been inverted.

A schematic representation of the proposed institutional arrangements for the project is presented in Figure 3.



The rest is cleared.

Agency Response

02/22/23

1- Thank you. Funds and reporting flows have been corrected in the figure.

Consistency with National Priorities

Has the project described the alignment of the project with identified national strategies and plans or reports and assessments under the relevant conventions?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

Knowledge Management

Is the proposed Knowledge Management Approach for the project adequately elaborated with a timeline and a set of deliverables?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - We note the work plan provided in annex 3 of the ProDoc provides a timeline.

Cleared.

Agency Response

Environmental and Social Safeguard (ESS)

Are environmental and social risks, impacts and management measures adequately documented at this stage and consistent with requirements set out in SD/PL/03?

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023 - We note the Medium risk rating.

1- Please provide the Environmental and Social Management Framework (ESMF) that was prepared according to the portal entry.

Agency Response

02/22/23

1- The ESMF has been uploaded.

Monitoring and Evaluation

Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?

Secretariat Comment at CEO Endorsement Request

JS 4/6/2023 - Cleared, thank you.

JS 3/8/2023 -

1- Thank you. However, the revisions do not explain how the project intends to determine whether a specific area can be considered as "restored" and thus counted under indicator 1. Please revise.

The rest is cleared.

JS 1/11/2023

1- We note the detailed Results Framework provided, which includes some information on the definition, methods, frequency of measurement and responsibilities for each indicator. However, the definition, methods/source and means of verification of several key indicators remain too high level and do not seem, in the absence of a more detailed monitoring plan, implementation-ready. These include in particular objective indicator 1 for which the method provided is limited to "Measuring area of land restored by the project", objective indicator 2

which should include an explanation on how the project intends to measure in concrete terms "improved management that benefits biodiversity" in the context of this specific project.

Please develop further the methods for these indicators to ensure the results framework is implementation-ready on these key aspects.

2- A detailed M&E budget plan including all activities with corresponding amounts (including the Total Cost) is missing in Section 9. "Monitoring and Evaluation". Please include the amounts breakdown and total cost.

Agency Response

04/06/23

For the sake of this project, the area of land restored would be evidenced by an increase in vegetation cover through natural regeneration of at least 25%.

Results Framework has been updated in the portal and in the ProDoc document.

02/22/23

1- The method for objective indicators 1 and 2 were revised as follows: Method statement for objective 1: collection of geo-referenced points for the boundaries of areas restored and enter these into a GIS database.

Method statement for objective 2: collection of geo-reference data on the location of the farms that have adopted improved farming practices, as well as areas covered by the PFMPs, and enter these in a GIS database"

2- A summary table and revised text have been added to Section 9 (M&E) detailing M&E costs.

Benefits

Are the socioeconomic benefits at the national and local levels sufficiently described resulting from the project? Is there an elaboration on how these benefits translate in supporting the achievement of GEBs or adaptation benefits?

Secretariat Comment at CEO Endorsement Request

JS 1/11/2023 - Cleared.

Agency Response

Annexes

Are all the required annexes attached and adequately responded to?

Secretariat Comment at CEO Endorsement Request

JS 4/6/2023 - Cleared, thank you.

JS 3/8/2023 -

1- Thank you for fixing the formatting issues on the budget in the portal entry. However, the budget in Annex E misses the column of M&E and some items included in the M&E Budget do not match those in the general budget table (local travel costs - \$12,691; Monitoring, Evaluation and Learning (MEL) Officer ? Safeguards specialist - \$15,023).

Please add a column dedicated to M&E budget in the general budget, and make sure the general budget and the M&E budget are consistent.

JS 1/11/2023 -

1- Budget:

1a- We note that several PMU staff are also charged to components and not only to PMC. Per Guidelines, the costs associated with the project's execution have to be covered by the GEF portion and the co-financing portion allocated to PMC. We note in this case that GEF portion of PMC is already at 10% of GEF project financing and that adequate terms of reference are provided in annex 5 of the ProDoc to link project staff to specific outputs/deliverables under the respective components on which they are charged, including the project coordinator who will also act as Sustainable Food Systems Specialist. Please confirm that co-financing is already earmarked to other expenses and/or cannot cover the project staff costs currently charged to components.

1b- The budget pasted in the portal entry is not readable because of too small fonts. The budget and budget notes also do not fit within margins. Please revise the budget and budget notes lay out, and notably consider presenting a budget breakdown only at the component level instead of the outcome level in the portal entry to improve font size while staying within margins.

2- Annex B - Please delete the extensive table containing all PIF review comments and responses. This annex is only to include responses to GEF Secretariat comments to be addressed during PPG. As per the PIF review sheet, these comments were:

	Additional recommendations to be considered by Agency at the time of CEO endorsement/approval.
30	To inform the design of the project's interventions on the PES mechanism during PPG, please refer to the related STAP advisory document: http://stapgef.org/sites/default/files/stap/wp-content/uploads/2013/05/Payments-for-Environmental-Services-and-GEF.pdf Likewise, to inform the design of project interventions related to behavior change (which notably includes here by-laws of conduct, PES and financial incentives, knowledge sharing), please refer to related STAP contributions: https://www.stapgef.org/resources/advisory-document-why-behavioral-C73change-matters-gef-and-what-do-about-it

Agency Response

04/06/23

Thank you. The M&E column in the budget in Annex E has been revised and these are now consistent.

02/22/23

1a- The team confirms that co-financing is earmarked to other expenses. However, as the project duration has been set at 4 years, while the GEF budget will only cover 3 years of staff salaries, NETFUND has confirmed that co-financing will be able to cover the costs of project contract extension for a period of 6 month at an estimated total of US\$ 59,148 US\$. Other PMC costs that will be covered by cash co-financing are the cost of vehicle maintenance and operation (US\$ 31,500), a full-time project driver (US\$ 21,000), office rent and operational costs (US\$ 42,000), office furniture and equipment (US\$ 4,885) and communications and promotion (US\$ 20,000).

1b- The budget and budget notes layout have been revised and re-uploaded to portal.

2- The tables have been adjusted, and details regarding the consideration of STAP guidance on PES and behavior change have been included in the lessons learned section of the ProDoc (section 3.7).

Project Results Framework

Secretariat Comment at CEO Endorsement Request JS 1/11/2023 - Cleared.

Agency Response

GEF Secretariat comments

Secretariat Comment at CEO Endorsement Request

Agency Response

Council comments

Secretariat Comment at CEO Endorsement Request

Agency Response

STAP comments

Secretariat Comment at CEO Endorsement Request

Agency Response

Convention Secretariat comments

Secretariat Comment at CEO Endorsement Request

Agency Response

Other Agencies comments

Secretariat Comment at CEO Endorsement Request

Agency Response

CSOs comments

Secretariat Comment at CEO Endorsement Request

Agency Response

Status of PPG utilization

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023 - The sum of amounts spent and committed is \$50,001 while the budgeted amount is \$50,000. Please correct.

Agency Response

02/22/23

1- The figure has been adjusted.

Project maps and coordinates

Secretariat Comment at CEO Endorsement Request

JS 3/8/2023 - Cleared.

JS 1/11/2023 - See comment in identical comment box above.

Agency Response

Does the termsheet in Annex F provide finalized financial terms and conditions? Does the termsheet and financial structure address concerns raised at PIF stage and that were pending to be resolved ahead of CEO endorsement? (For NGI Only)

Secretariat Comment at CEO Endorsement Request

Agency Response

Do the Reflow Table Annex G and the Trustee Excel Sheet for reflows provide accurate reflow expectations of the project submitted? Assumptions for Reflows can be submitted to explain expected reflows. (For NGI Only)

Secretariat Comment at CEO Endorsement Request

Agency Response

Did the agency Annex H provided with information to assess the Agency Capacity to generate and manage reflows? (For NGI Only)

Secretariat Comment at CEO Endorsement Request

Agency Response

GEFSEC DECISION

RECOMMENDATION

Is CEO endorsement recommended? (applies only to projects and child projects)

Secretariat Comment at CEO Endorsement Request

JS 4/6/2023 - Yes, the project is recommended for endorsement.

JS 3/9/2023 - Not at this stage. Please address the two remaining comments (See comment boxes related to monitoring plan and to annexes- budget).

JS 1/11/2023 - Not at this stage. Please address comments of this review sheet and resubmit.

Review Dates

	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
First Review	1/11/2023	
Additional Review (as necessary)	3/9/2023	
Additional Review (as necessary)	4/6/2023	
Additional Review (as necessary)		
Additional Review (as necessary)		

CEO Recommendation

Brief reasoning for CEO Recommendations