



## United Nations Development Programme

### Project Document for nationally implemented projects financed by the GEF Trust Fund

<b>Project title:</b> Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach		
<b>Country:</b> Kenya	<b>Implementing Partner:</b> Ministry of Environment, Water and Natural Resources	<b>Management Arrangements:</b> National Implementation Modality (NIM)
<b>UNDAF/Country Programme Outcome:</b> <i>Draft UNDAF 2018-22 (dated November 2017): Economic Pillar <u>Outcome 3</u>:</i> By 2022, a progressive and resilient green economy is underpinned by robust evidence based pro-poor policies and strategies contributing to sustainable economic growth. <i><u>Draft indicative Output 3.2.:</u></i> Improved institutional (public and private) and communities’ capacities to ensure pro-poor, sustainable, effective and efficient natural resource management.		
<b>UNDP Strategic Plan 2018-2021 Output:</b> <b>Output 1.4.1:</b> Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains <b>Indicator:</b> Natural resources that are managed under a sustainable use, conservation, access and benefit-sharing regime: Area of land and marine habitat under protection (hectares), Area of existing protected area under improved management (hectares)		
<b>UNDP Social and Environmental Screening Category:</b>  Moderate		<b>UNDP Gender Marker:</b> 2
<b>Atlas Project ID (formerly Award ID):</b> 00108255		<b>Atlas Output ID (formerly Project ID):</b> 00108406
<b>UNDP-GEF PIMS ID number:</b> 5468		<b>GEF ID number:</b> 9659
<b>Planned start date:</b> July 2018		<b>Planned end date:</b> June 2023
<b>PAC meeting date:</b> February 2018.		

**Brief project description:** Poaching and illegal wildlife trade are two important contributing factors to the loss of wildlife in Kenya and the East African Region (EAC) at large. While Kenya has made progress in combatting poaching, especially of large game, illegal trade in wildlife remains a threat.

This project focuses on wildlife law enforcement through community involvement in two project areas, the Maasai Mara and Tsavo ecosystems, through a highly coordinated approach within and between wildlife management and law enforcement authorities, as well as Wildlife Conservancies established by local communities in the project areas. The proposed National Strategy to Combat Poaching and Illegal Wildlife Trade will guide the law enforcement efforts at national and project area levels. At the ecosystem level, multi-agency responses to poaching and illegal trade in wildlife will be coordinated, and law enforcement teams supported through relevant training, equipment and infrastructure. An existing community-scout system will be strengthened as part of enhanced relationships with, and involvement of, local communities in conservation. Wildlife and other natural resources will increasingly be managed locally through the creation of new Community Conservancies (with a total additional area of more than 23,000 ha), with benefits accruing directly to rural communities.

The project's **Objective** is to combat poaching and illegal wildlife trafficking in Kenya through an integrated approach. To address the development challenge and achieve the Objective the project will implement four Strategies/Components: **Component 1.** Strengthening national and local capacity for effective IWT control in Kenya; **Component 2.** Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara ecosystems; **Component 3.** Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara ecosystems; **Component 4.** Knowledge Management, M&E and Gender Mainstreaming. This project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Program "Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development" (9071). Under this programmatic framework, with the coordination through the Project Board, coordinated knowledge management and cross-fertilisation of the individual projects will be assured.

#### FINANCING PLAN

GEF Trust Fund	USD 3,826,605
<b>(1) Total Budget administered by UNDP</b>	<b>USD 3,826,605</b>
<b>PARALLEL CO-FINANCING</b>	
Government (Ministry of Environment and Natural Resources)	USD 8,750,000
County Government of Taita Taveta	USD 960,211
Tsavo Conservation Group	USD 2,460,452
Kenya Wildlife Conservancies Association	USD 275,000
Maasai Mara Conservancy Association	USD 3,120,000
<b>(2) Total co-financing</b>	<b>USD 15,565,663</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 19,392,268</b>

#### SIGNATURES

<b>Signature:</b> print name below	<b>Agreed by Government</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by IP</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by UNDP</b>	<b>Date/Month/Year:</b>

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## List of Abbreviations and Acronyms

APR	Annual Project Review	MAUs	Multi-Agency Units
AWF	African Wildlife Foundation	MEA	Multi-Lateral Environment Agreements
CBD	Convention on Biological Diversity	MENR	Ministry of Environment and Natural Resources
CBNRM	Community-based Natural Resources Management	METT	Management Effectiveness Tracking Tool
CBWM	Community-based Wildlife Management (CBNRM)	MMNR	Maasai Mara National Reserve
CDS	Capacity Development Scorecard	MMWCA	Massai Mara Wildlife Conservancy Association
CGTT	County Government of Taita Taveta	MSP	Medium Sized Project
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora	NGO	Non-Governmental Organisation
CMS	Convention on Migratory Species	NIAP	National Ivory Action Plan
CO	Country Office	NIM	National Implementation Modality
CWC	Community Women Committees	NP	National Park
DEFRA	Department of Environment, Food and Rural Affairs	ODPP	Office of the Director of Public Prosecutor
DFID	Department for International Development	OPF	Operational Focal Point
DNA	Deoxyribonucleic Acid	PA	Protected Area
EAC	East African Region	PAP	project affected persons'
EMC	Ecosystem Management Committee	PAPF	Protected Area Planning Framework
EMP	Environmental Management Plan	PD	Project Director
ERC	UNDP Evaluation Resource Center	PIF	Project Identification Form
EU	European Union	PIR	GEF Project Implementation Report
FLOD	First Line on Defence (IUCN)	PM	Project Manager
FSP	Full Sized Project	PMU	Project Management Unit
GALS	Gender Action Learning Systems	POPP	Programme and Operations Policies and Procedures
GDP	Gross Domestic Product	PPG	Project Preparation Grant
GEF	Global Environment Facility	PPG	Project Preparation Grant
GEFSEC	Global Environment Facility Secretariat	RBM	Results-based Management
GRM	Grievance Redress Mechanism	ROAR	Regional Office for Africa Region
GWP	Global Wildlife Program	RP	Responsible Party
HWC	Human Wildlife Conflict	RTA	Regional Technical Advisor
ICCF	International Conservation Caucus Foundation	SC	Steering Committee
ICCW's	International Consortium on Combating Wildlife Crime	SDG	Sustainable Development Goals
ICRW	International Convention on the Regulation of Whaling	SESP	Social and Environmental Safeguards Policy
IEO	Independent Evaluation Office	STAP	GEF Scientific Technical Advisory Panel
IFAW	International Fund for Animal Welfare	TAC	Technical Advisory Committee
IP	Implementing Partner	TCG	Tsavo Conservation Group
IRRF Indicator	Integrated Results and Resources Framework Indicator	TE	Terminal Evaluation
IUCN	International Union for the Conservation of Nature	TFCA	Trans-Frontier Conservation Areas
IUCN ESARO	IUCN Eastern and Southern Africa Regional Office	TOC	Theory of Change
IUCN WCPA	IUCN World Commission on Protected Areas	TTECi	Taita Taveta Environmental Coordination initiative
IWT	Illegal Wildlife Trade	TTWCA	Taita Taveta Wildlife Conservancy Association
JICA	Jomo Kenyatta International Airport	UNDAF	United Nations Development Action Framework
KES	Kenyan Shilling	UNDP	United Nations Development Programme
KFS	Kenya Forest Services	UNDP-GEF	UNDP Global Environmental Finance Unit

KPA	Kenya Port Authority	UNEP	United Nations Environment Programme, now UN Environment
KPS	Kenya/National Police Services	UNODC	United Nations Office on Drugs and Crime
KRA	Kenya Revenue Authority	USAID	United States Agency for International Development
KWCA	Kenya Wildlife Conservancy Association	USD	United States Dollar
KWS	Kenya Wildlife Services	USFWS	US Fish and Wildlife Services
LAMP	Leadership and Management Training	VHF	Very High Frequency WC Wildlife Crime
LE	Law enforcement	WCO	World Customs Organisation
LEA	Law Enforcement Academy	WG	Working Group
LUP	Land Use Plan	WWF	Worldwide Fund for Nature
M&E	Monitoring and Evaluation		

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## II. DEVELOPMENT CHALLENGE

Kenya's biodiversity is amongst the richest and most diversified in Africa, and constitutes a unique natural heritage of great national and global importance. It harbors biological resources of considerable global and national economic value. Specifically, Kenya harbors roughly 25,000 animal species, including 359 species of mammals, 1,100 bird species, 324 species of reptiles; 7,000 plant species and at least 2,000 species of fungi<sup>1</sup>; occupying a wide range of ecosystems, from coral reefs and mangroves, through semi-desert and dry savannahs, saline and freshwater lakes, to moist forests (including coastal forests and Afromontane forests in interior mountain areas), which give way at high altitudes to afroalpine vegetation. The Maasai Mara and Tsavo landscapes (as well as the Greater Amboseli and the Laikipia-Samburu landscapes) are of particular interest for wildlife conservation as they contain large species aggregations, especially of globally significant mammals and birds, which motivated their early inclusion in Kenya's protected area (PA) system, particularly Tsavo East and Tsavo West National Parks, the Maasai Mara and assorted national reserves and conservancies.

Today Kenya's Protected Area (PA) system includes National Parks, National Reserves, local sanctuaries, private sanctuaries, Forest Reserves, County Council forests and National Monuments managed primarily by the Kenya Wildlife Service (KWS) or respective County Governments. The PA estate consists of more than 50 National Parks and National or Forest Reserves covering both terrestrial and marine environments and spanning roughly 11% of the country's land area (or approximately 44,000 km<sup>2</sup>). The majority of Kenya's National Parks and National reserves are located within rangeland ecosystems. In Kenya, PAs constitute the primary biodiversity conservation reserves; however, they are not entirely representative of the country's biodiversity endowment, thus a great deal of the country's biodiversity is located outside the PAs. Kenya undertakes wildlife conservation in private, state and trust lands (lands held in trust for the benefit of resident communities by the local government) that harbour more than 70% of the wildlife outside PAs. For the communities that live in these ecosystems, agriculture, livestock and forest products account for most of their subsistence and cash economy, employment and export earnings. Following 20 years of experimentation by communities and landowners, conservancies have become the preferred avenue for securing land rights, settling resource use conflicts, pasture management, and managing droughts. Conservancies also constitute institutions that support benefit sharing and enterprise development. The movement has grown from 4 conservancies in the early 1990s to 161 today, covering 65,000 km<sup>2</sup> (approx. 16% of the country's land) and are spread in 28 out of 47 counties<sup>2</sup>. These include both privately owned land and communal trust lands. Community conservancies, in which local communities take the lead in protecting and conserving wildlife, have also been recognized by the Government of Kenya as a highly successful model for protecting Kenya's natural resources outside of formal PAs<sup>3</sup>. Conservancies in Kenya currently cover 90% of the global population of Grevy's Zebra, as well as 45% and 72% respectively of the Black and White Rhino populations<sup>4</sup>.

### The challenge and its magnitude

Poaching and illegal wildlife trade are two among an array of threats and contributing factors to the loss of wildlife in Kenya and the East African Region (EAC) at large. The EAC 2017 report<sup>5</sup> identified the key threats to be land subdivision and fencing, poaching and illegal wildlife trade, wildlife retaliatory killings, urban and peri-urban expansion, resource conflicts, blockage of dry season wildlife and livestock refuges, and upstream water abstraction. Many of the drivers of declining wildlife populations in Kenya can be attributed to human activities, including an

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<sup>1</sup> NBU 1992. The costs, benefits and unmet needs of biological diversity conservation in Kenya. A study prepared for the Government of Kenya and the United Nations Environment Programme. Nairobi: National Biodiversity Unit.

<sup>2</sup> KWCA 2017. Status of Conservancies 2016.

<sup>3</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

<sup>4</sup> KWCA 2017. Status of Conservancies 2016.

<sup>5</sup> See for initial EALA input report reference: <http://www.eala.org/media/view/assembly-passes-key-report-on-poaching-urges-governments-to-reform-laws-get>

exponential human population growth, as well as policy, institutional and market failures<sup>6</sup>. Natural drivers such as climate change are also increasing the threats reducing the resilience of wildlife<sup>7</sup>.

The Kenyan government declared a ban on game and trophy hunting in 1977 and major successes have been achieved in establishing an anti-poaching response, but illegal trade in wildlife has continued underground, abetted by corruption within government and security lapses at border points, airports, and Kilindini Port in Mombasa<sup>8</sup>. Despite the commendable efforts, Kenya has lost more than half of its wildlife resources over the last three decades. The number of elephants has decreased from several hundred thousand in 1970 to 32,500 in 2016 while the Kenyan Black Rhino population has declined to only 650 individuals. Sharp decreases in populations of lions, cheetahs, leopards, pangolins and other species have been documented as well<sup>9</sup>. While Kenya has established one of the best-trained, best-equipped and most well-funded wildlife authorities in Africa, the systematic poaching of elephants and rhino and the subsequent trafficking of wildlife products continue. Although wildlife authorities report that poaching incidents and the number of lost large game species have been decreasing over the last two years, significant threats remain. The elephant poaching trend peaked at 384 poached elephants in 2012, but declined to 164 in 2014, and while at least 59 rhinos were killed in Kenya in 2013, that number was reduced to 35 in 2014<sup>10</sup>.

One of the main drivers behind the poaching is the increasing global demand for wildlife products. As of 2011, the value of global illegal trade in wildlife (excluding fisheries and timber) was calculated to be between US\$ 7.8 billion and US\$ 10 billion per year<sup>11</sup>. Kenya is also a key transit country for wildlife contraband, mainly sourced from Tanzania, Mozambique, the Democratic Republic of Congo, Uganda, Zambia and South Sudan with Kilindini Port in Mombasa and Jomo Kenyatta International Airport (JKIA) in Nairobi as the main exit points<sup>12</sup>. In 2015 a consignment of more than one tonne of pangolin scales was discovered in a shipping container in Hong Kong which arrived from Kenya. Since 2009, more ivory has exited through Mombasa than any other trade route out of Africa, primarily destined for China and Hong Kong with transit points in Malaysia, Viet Nam, Thailand and Singapore. Nairobi's JKIA has recorded seizures of illegally acquired wildlife parts destined for China and Viet Nam. Kenya's national airline, Kenya Airways, operates direct flights from Nairobi to eastern Asia and has been reported to carry passengers with wildlife contraband as part of their baggage<sup>13</sup>. In 2013, Kenyan authorities at the port of Mombasa seized the single largest haul of elephant ivory in Kenya's history at the time, weighing more than two tonnes and valued at USD1.15 million<sup>14</sup>. Key destination and transit countries for the country's wildlife are China, Kong Hong, Malaysia, Laos, Viet Nam, Thailand, and Singapore<sup>15</sup>.

It is important to note that poaching is not limited to large iconic species – a greater suite of species is targeted for subsistence poaching, often referred to as 'bush meat'. The term 'bush meat' is used to denote meat from wild animals that have been hunted illegally, which aside from being used for personal consumption, is often sold

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<sup>6</sup> Ogutu JO, Piepho H-P, Said MY, Ojwang GO, Njino LW, Kifugo SC, et al. (2016) Extreme Wildlife Declines and Concurrent Increase in Livestock Numbers in Kenya: What Are the Causes? PLoS ONE11(9): e0163249. <https://doi.org/10.1371/journal.pone.0163249>

<sup>7</sup> EAC (2017). EAC State of Protected Areas Report. EAC/IUCN-ESARO/JRC, Nairobi, Kenya.

<sup>8</sup> Ibid.

<sup>9</sup> Ibid

<sup>10</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

<sup>11</sup> Myburgh, J. in: Haken, J. 2011. *Transnational Crime in the Developing World*, Global Financial Integrity, Washington, DC, USA. In: WWF / Dalberg. 2012. *Fighting illicit wildlife trafficking: A consultation with governments*. WWF International, Gland, Switzerland.

<sup>12</sup> Ibid

<sup>13</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

<sup>14</sup> Ibid

<sup>15</sup> Ibid

commercially<sup>16</sup>. In Kenya bush meat hunting was identified as one of the threats to wildlife in national parks<sup>17, 18</sup>. Although bushmeat is recognised as a key threat in forests of West and Central Africa, its impact on African savannas receives far less attention. Bushmeat, typically occurs on a continuum – from hunting for direct consumption and/or community trade, to large-scale commercial trade in urban centers. Data on the scale and economic value of the bushmeat trade in Kenya, and the savanna biome at large is scarce, partly due to the covert nature of the trade. A few studies in the region document illegal hunting and bush meat trade as one of the primary drivers for declining wildlife populations.

Another issue in Kenya, including the Tsavo and Maasai Mara ecosystems, is human-wildlife conflict, especially with carnivores (lion, hyena, and leopard) killing livestock, and elephants raiding crops and killing people. A total of 7,234 livestock were reported to have been lost to wildlife within 18 months in 2008-2009 in the Amboseli ecosystem (adjacent to Tsavo)<sup>19</sup>. Local herders retaliate in response to livestock losses killing carnivores, including endangered big cats. In March 2016, elephants killed four people near Amboseli. In retaliation, locals killed at least one elephant and speared several others. The number of retaliatory killings near Amboseli has spiked in recent years, from one or two in 2011 to as many as 30 in 2015, according to the Kenya-based African Wildlife Foundation (AWF)<sup>20</sup>.

Despite the Tsavo and Mara ecosystems being the bedrock of Kenya's wildlife tourism, their biodiversity is threatened by declining integrity of the ecosystem, habitat degradation, loss of migration and dispersal areas and insularisation, encroachment of incompatible land uses and escalating human-wildlife conflict. Large-scale livestock migration between Kenya, Somalia and Tanzania, linked to illicit cross-border trade and money laundering, places strong pressures on land and grazing resources within and outside protected areas, increasing security concerns and giving rise to serious conflicts within communities. Overall, wildlife trafficking has serious implications for Kenya's tourism and development. It threatens communities and livelihoods and is associated with organised crimes and terrorism. Countering these threats requires an approach that aims to stop the supply of ivory and rhino horn, including other illegal animal products such as scales, hides, bones, and live animals from Kenya, and the associated wildlife and forest crimes. A deterrent approach includes successful anti-poaching operations on the ground, cracking down on trafficking on highways and in towns, land, air and seaports, legal reform (including investigations, arrests, prosecutions and sentencing), creating public stigma against poaching and demand through outreach, building support within local communities and making them part conservation, including the building-up of community-based law enforcement capacity and willing informer networks, as well as the creation of community-led conservancies that support sustainable resource management, local income generation, and help strengthen partnerships between communities, the private sector, and government agencies to combat illegal wildlife trade (IWT), while creating benefits from wildlife and conservation for local people.

### **Relevance of the development challenge to national development priorities**

Kenya's tourism is to a large extent based on wildlife. Wildlife alone attracts over one million tourists per year, generates over 12% of the national GDP, and directly employs over 230,000 Kenyans officially, and even more informally. This income is now at risk due to poaching and IWT, and communities and landowners who depend on the diminishing natural resource base face growing poverty. Poaching and IWT activities also put national security

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<sup>16</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

<sup>17</sup> Okello, M.M. & Kiringe, J.W. (2004): Threats to biodiversity and the implications in protected and adjacent dispersal areas of Kenya. – Journal for Sustainable Tourism 12(1): 55-69.

<sup>18</sup> Martin, A., Caro, T., & Borgerhoff Mulder, M. (2012). Bushmeat consumption in western Tanzania: a comparative analysis from the same ecosystem. *Tropical Conservation Science* Vol. 5(3), 352-364.

<sup>19</sup> Muriuki et al. 2017. The cost of livestock lost to lions and other wildlife species in the Amboseli ecosystem, Kenya. *Eur J Wildl Res* (2017) 63: 60

<sup>20</sup> <http://foreignpolicy.com/2016/05/09/the-real-reason-africas-elephants-are-dying/>



at risk. Sudanese militias are thought to have poached ivory for sale in Chad, Kenya and elsewhere<sup>21</sup>. Studies have linked ivory trafficking worth USD 4–12 million annually to the Janjaweed militia operating in Sudan, Chad and Niger<sup>22</sup>. Furthermore, poaching and illegal wildlife trade fuel corruption within governments, reducing economic stability and hindering growth as well as influencing decision-making among government leaders and reducing the trust of the nation in its leaders. In addition, the intermediaries involved in the trade of animal products are becoming more skilled at disguising their goods and avoiding arrests at country exit and entry points.

Following the adoption of the new Constitution of Kenya in 2010, the Government of Kenya reviewed the Wildlife Act and passed the new Wildlife Conservation and Management Act (WCMA) in 2013, which provides for stiffer penalties in response to resurgent, increasingly sophisticated poaching threats. The WCMA of 2013 upholds and strengthens the mandate of KWS to protect, conserve for sustainable use and manage wildlife in Kenya. The WCMA's toughened stance on conservation also cuts across all the three pillars of Kenya's economic blue print, Vision 2030, namely; tourism, environment and security. Notable changes in the WCMA of 2013 include higher recognition of the role of community and private conservancies in managing wildlife and more stringent minimum penalties for wildlife crimes (e.g. a fine of KES20 million / US\$ 206,028 as at June 11, 2015, and/or life imprisonment for the killing of threatened or endangered species). This is a significant improvement from previous iterations of the Wildlife Act, which treated wildlife crime lightly, offering the option of fines as low as KES10 000 (USD103 as at June 11, 2015) for possession of ivory.<sup>23</sup>

Recognizing the escalation of poaching, the Government of Kenya established an interagency anti-poaching unit in 2013 comprising officers from specialized elements of KWS and specialized detachments of the National Police Service to scale-up the fight against poaching. In addition, the Cabinet Secretary of the then Ministry of Environment, Water and Natural Resources appointed an independent 15-person Wildlife Security Task Force made up of government experts, wildlife conservation specialists and legal professionals to examine the threats to Kenya's wildlife and make recommendations on how to deal with them<sup>24</sup>. Due to Government and NGO efforts, Kenya started to use a number of advanced tools to fight wildlife crime, including Multi-Agency Units (MAUs) at ports and border crossings, the Container Control Programme at the Mombasa port, detection dogs, the SMART tool to improve anti-poaching operations in national PAs, special trainings for investigators and judiciary, etc. Kenya Wildlife Services is currently implementing its 2012-2020 Conservation and Management Strategy for Elephants<sup>25</sup>, which provides critical guidance for species conservation and sets important targets for the conservation of elephants in Kenya, including through law enforcement.

The Constitution of Kenya of 2010 provides that all Multilateral Environment Agreements (MEA), which Kenya has ratified and acceded to, become domestic law. MEAs of direct relevance to wildlife in Kenya include the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the Convention on Biological Diversity (CBD), the Convention on the Conservation of Migratory Species of Wild Animals (CMS), the International Convention on the Regulation of Whaling (ICRW), and the Ramsar Convention on Wetlands of International Importance. Kenya has been identified by CITES as a "party of primary concern" for its increasing role as a source and transit country for illegal ivory products. Kenya has taken steps to ramp up its response to the illegal ivory trade by issuing a National Ivory Action Plan (NIAP) in 2013<sup>26</sup>. INTERPOL, the United Nations Office on Drugs and Crime (UNODC) and the World

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<sup>21</sup> Begley, S. 2008. Extinction Trade: Endangered animals are the new blood diamonds as militias and warlords use poaching to fund death. *The Daily Beast*. <http://www.thedailybeast.com/newsweek/2008/03/01/extinction-trade.html>. In: WWF / Dalberg. 2012. *Fighting illicit wildlife trafficking: A consultation with governments*. WWF International, Gland, Switzerland.

<sup>22</sup> Rene L. Beyers et al. (2011), 'Resource Wars and Conflict Ivory: The Impact of Civil Conflict on Elephants in the Democratic Republic of Congo – The Case of the Okapi Reserve', PLOS ONE, Vol. 6, No. 11, p. 7; CNN (2013), 'Elephant killings surge as tusks fund terror': <http://edition.cnn.com/2013/06/19/opinion/quartermaster-elephant-slaughter/>. Nellemann, C., Henriksen, R., Raxter, P., Ash, N., Mrema, E. (Eds). 2014. *The Environmental Crime: Crisis – Threats to Sustainable Development from Illegal Exploitation and Trade in Wildlife and Forest Resources*.

<sup>23</sup> Weru, S. (2016). *Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa*. TRAFFIC.

<sup>24</sup> Ibid

<sup>25</sup> Moses Litoroh, Patrick Omondi, Richard Kock and Rajan Amin. *Conservation and Management Strategy for Elephants 2012-2010*. KWS

<sup>26</sup> Ibid

Customs Organization (WCO) are critical inter-governmental agencies that cooperate with the Government of Kenya on wildlife crime issues.

### Relevance of the development challenge to the global environment

Kenya's dry savannah ecosystems are home to dramatic wildlife spectacles like the world-famous Wildebeest *Connochaetes taurinus* migrations of East Africa and are inhabited by flagship species such as the Vulnerable African Elephant *Loxodonta africana* and the Critically Endangered Eastern Black Rhinoceros *Diceros bicornis michaeli*. Kenya also has many other rare and endemic mammals: including the Endangered Grevy's Zebra *Equus grevyi*, primates such as the Tana River Crested Mangabey *Cercocebus galeritus* and the Tana River Red Colobus *Procolobus rufomitratus rufomitratus*, antelopes including the Sitatunga *Tragelaphus spekii*, Bongo *Tragelaphus eurycerus* and Roan *Hippotragus equinus*, and a variety of large cats—African Lion *Panthera leo*; Cheetah *Acinonyx jubatus*; and Leopard *Panthera pardus*, as well as the Striped Hyaena *Hyaena hyaena*. Three species of Pangolin occur, of which the Vulnerable Temminck's Ground Pangolin *Smutsia temminckii* is distributed widely in the country. Kenya's marine waters and contiguous coastal forests are also inhabited by a variety of endangered species, including the Green Turtle *Chelonia mydas* and the Sokoke Pipit *Anthus sokokensis*, respectively. This high level of species richness and diversity of habitat types has led to a number of areas in Kenya being recognized as "conservation hotspots."<sup>27</sup> Many species of globally endangered wildlife in Kenya are threatened by poaching and illegal wildlife trade. IUCN lists 17 vertebrate animal species of the country as "Critically Endangered", 31 as "Endangered", and 49 as "Vulnerable".<sup>28</sup>

In addition to their biodiversity values, Kenya's ecosystems are significant as rangelands for traditional pastoralism and home to communities that largely rely on livestock and agriculture for their subsistence. Population growth and increasingly intensive use of these lands has led towards competition among users and fragmentation by fencing, rangeland degradation due to overgrazing, and deforestation. Combatting such unsustainable land uses through development of integrated land use plans, and coordination and consultation mechanisms between users including PAs, conservancies and communities will be key to maintaining the ecological integrity of globally significant landscapes in the Maasai Mara and Tsavo areas.

### Relevance of the development challenge to the Sustainable Development Goals (SDGs)

Poaching and IWT constitute significant threats to the attainment of Kenya's priority SDGs, with direct negative impact especially on **Goal 15** Life on Land, via degradation of wildlife populations and ecosystems affecting their adaptive ability, and in the case of depletion of freshwater and marine species, **Goal 14** Life below Water.

In addition, these pervasive threats, as well as increasing unsustainable land use (rangeland degradation and deforestation) have a wide range of impacts on Kenya's social, economic and environmental development status, including **Goal 1** No Poverty and **Goal 2** Zero Hunger (impeded by continuous degradation of wildlife and other natural resources and opportunities for their sustainable use by local communities); **Goal 3** Good Health and Well-Being and **Goal 6** Clean Water and Sanitation (impacted by decreasing water resources and deteriorating water quality in result of wildlife habitat degradation); **Goal 5** Gender Equality **Goal 8** Decent Work and Economic Growth, and **Goal 10** Reduced Inequalities (affected by decreasing opportunities for women and youth for employment and sustainable NRM through depletion of wildlife resources); **Goal 13** Climate Action and as well as **Goal 16** Peace, Justice and Strong Institutions (impacted by lack of sustainable planning in the region and increasing insecurity as a result of poaching and IWT).

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<sup>27</sup> Ibid

<sup>28</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

## Direct threats, root causes, and barriers

Based on the analysis of the development challenge above, the following direct threats and their drivers (immediate and root causes) to Kenya's wildlife, biodiversity and ecosystems have been identified (Tab. 1) and have been integrated into the Situation Analysis (Fig. 1).

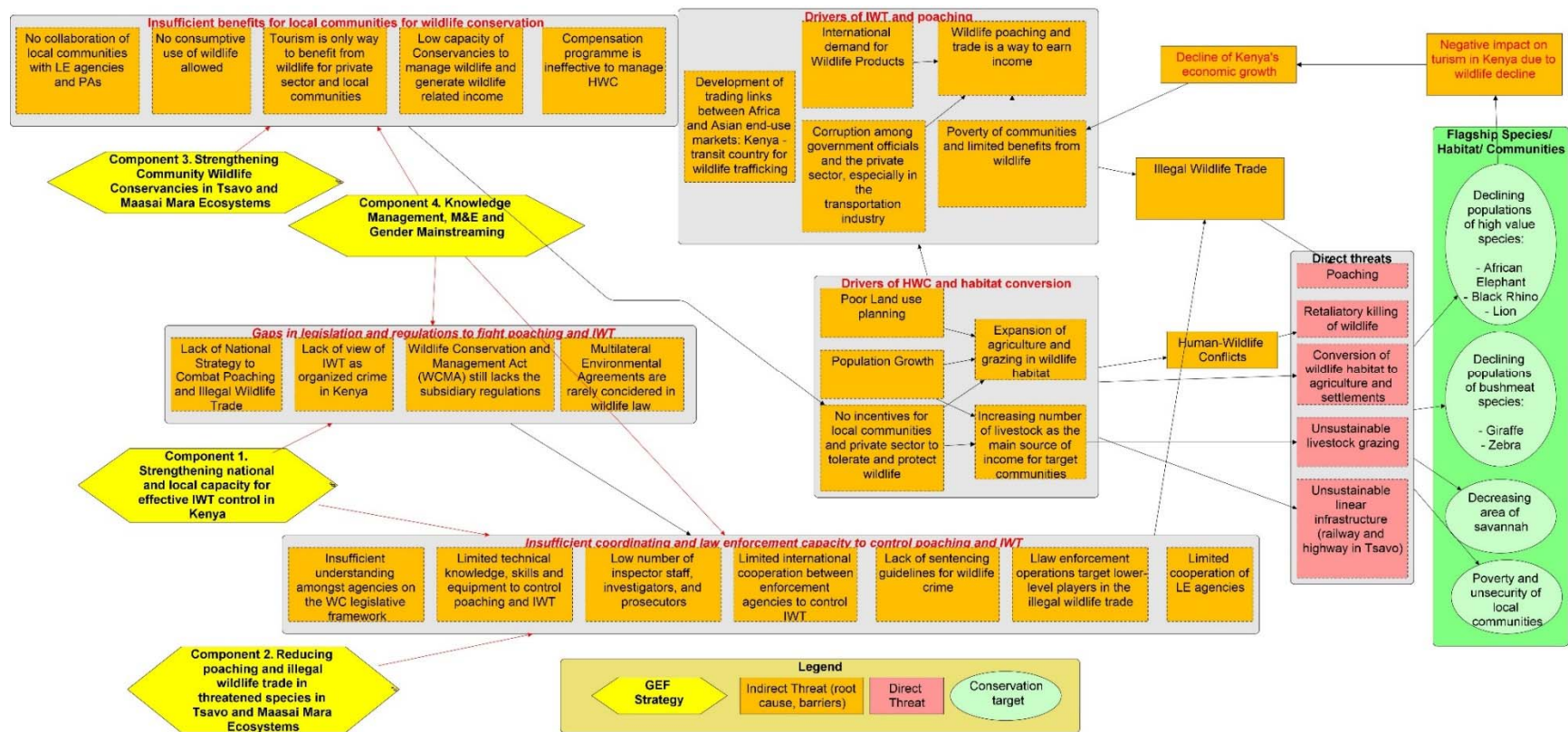
**Table 1:** Direct threats and their drivers (immediate and root causes) to Kenya's wildlife and biodiversity with focus on Maasai Mara and Tsavo Ecosystems

Direct Threats	Drivers (causes)
<b>IWT and poaching</b>	<p>IWT as a response to high demand for wildlife products from countries including China, Thailand, Viet Nam, Europe, and USA. IWT creates wealth for a number of kingpins and corrupt officials higher up the chain. These culprits make significant amounts of money from these illegal activities and have stronger incentives than local communities to be involved in IWT. High value products such as ivory, rhino horn, big cat parts and pangolin scales form much of this trade.</p> <p>The demand for live animals as pets in Europe, USA and other countries is also a driver of IWT, with impacts on the selected project areas. Endemic species, in particular primates, birds, amphibians, and reptiles are being targeted. Such contraband often goes undetected as current IWT detection systems have focused on the detection of ivory and rhino horn.</p> <p>Commercial and subsistence (bush meat) poaching are sources of high income and protein for local communities given insufficient control from wildlife law enforcement agencies and low benefits for local communities from sustainable use of wildlife.</p>
<b>Retaliatory killing of wildlife</b>	<p>Expanded human settlements, livestock grazing, agriculture in wildlife habitat, and infrastructure such as water points that are associated with increasing human populations have led to increased human-wildlife conflict (HWC). In response to such conflicts, local people kill lions, elephants and other wildlife that are involved. Most of these factors are the result of a chronic failure to develop land use plans and land management regimes that recognize and include acceptable solutions for these competing claims. If the factors listed here are planned for in relation to wildlife resources, in some of the areas HWC could be reduced.</p>
<b>Conversion of wildlife habitat to agriculture and settlements</b>	<p>Increasing human populations with the accompanying demand for agricultural products and land for settlements, associated with a lack of land use planning and sufficient control from government agencies result in encroachments into, and reductions of, wildlife habitat.</p>
<b>Unregulated livestock grazing</b>	<p>Livestock is a key resource in Kenya, where ranching and pastoralism are well guarded livelihood enterprises. However, increasing livestock numbers (see barriers section for details), poorly directed range use rights, poor land and grazing management are causing grazing competition with game, worsened by climate change impacts. Livestock penetrate established conservation areas, and conflicts arise in game migration sanctuaries such as the Taita Taveta ranches, a well-established migration route of mega-fauna such as elephants. Notably, grazing conflicts seem to be often caused by migratory pastoralists, who move into areas temporarily for grazing. They are often in conflict with local ranchers, and are often perceived to be associated with criminal networks and transborder movement of illicit goods and money laundering.</p> <p>The Maasai communities depend on their land and natural resources for their livelihoods and well-being. However, they are facing increasing pressures: a growing population, break-down in traditional nomadic structures and more frequent and prolonged droughts which has caused high livestock and wildlife mortalities. The health of the rangeland on group ranches has deteriorated over time reducing the carrying capacity for livestock as well as wildlife. This ecological degradation has made the community less resilient to environmental uncertainty, increasing their vulnerability and ultimately leading to greater poverty, especially for the most disadvantaged members of the society. Developing sustainable community grazing management practices</p>

	compatible with biodiversity conservation, while supporting human wellbeing and economic development, is critical for the long-term conservation of this ecosystem <sup>29</sup> .
<b>Infrastructure developments (railway and road) esp. in Tsavo</b>	Tsavo National Park was dissected into Tsavo East and West by a railway development during its early days. In 2017, a new high-speed railway was built, including specifically designed mitigation measures to allow for wildlife migration routes. It is planned that the existing main transit road between Mombasa and Nairobi will be upgraded to a highway or freeway in the near future. This will certainly cause a further permanent fragmentation of the parks and critical migration areas for large game and other animals, obstructing wildlife movements and fragmenting wildlife populations.

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<sup>29</sup> <http://maasaiwilderness.org/programs/rangeland-restoration/>



**Figure 1.** Direct threats to biodiversity, and root causes and barriers to effectively address development challenge in Kenya and suggested UNDP/GEF strategies to address the challenge.

## Barriers

**Three main barriers** that currently prevent an effective response to poaching and illegal trafficking of wildlife in Kenya have been identified:

### 1. *Gaps in legislation and regulations*

Kenya has taken significant steps toward codifying conservation and wildlife protection into a wildlife policy and legal framework since the promulgation of the new constitution in 2010. The Wildlife Conservation and Management Act of 2013 provides high minimum penalties for the killing of threatened or endangered species<sup>30</sup>. Nonetheless, the Wildlife Conservation and Management Act (WCMA) still lacks the subsidiary regulations necessary to make it effective in practice and the following serious gaps in wildlife crime legislation and policy need to be addressed<sup>31</sup>:

- Kenya does not have a National Strategy to Combat Poaching and Illegal Wildlife Trade to guide coordinated actions to eliminate wildlife crime,
- The country does not have specific national guidelines on prosecution of wildlife crime<sup>32</sup>, however, UNODC and the Space for Giants are currently working on this issue in Kenya,
- Kenya is party to several Multilateral Environmental Agreements which automatically become part of Kenya's laws. However, their provisions and requirements are rarely considered in wildlife enforcement and prosecution,
- The Maasai Mara – Serengeti and Tsavo – Mkomazi landscapes represent transboundary ecosystems at the border of Kenya and Tanzania that need joint management and efforts to fight poaching and illegal wildlife trade. However, no international agreement exists between Kenya and Tanzania on transboundary cooperation for sustainable development and management of these ecosystems, including tourism development. For example, tourists who would like to cross from Maasai Mara into the Serengeti currently have to go back to Nairobi to be able to cross into Tanzania.

In addition, and despite the improvements made, Kenya remains in category 2 for CITES national legislation, which means that it does not meet all of the essential requirements for effective implementation of CITES.

### 2. *Insufficient coordinating and law enforcement capacity for wildlife management and control of poaching and IWT at national and county levels*

Insufficient inter-agency communication (both within the wildlife sector and between that and security sectors) and limited investigative capacity reduces the effectiveness of efforts made by anti-poaching units. This benefits criminal activities, which continue, sometimes at a highly sophisticated level, with minimal risk of being detected. Despite new investments in rangers and police reservists on the ground in Kenya's protected areas, they are ill equipped and insufficiently trained in patrolling and operations, evidence gathering and data recording to effectively enforce the law. In addition, the number of PA and law enforcement agency staff (KWS, Kenya Forest Service (KFS)) remains inadequate to control criminal activity. As law enforcement activities to a large extent are basic and routine, with a relatively randomised spread of effort, they rely on numbers of staff and area monitored to increase chances of arrest. With better intelligence on the type and location of criminal activity, efforts could be targeted at specific geographical areas and resources could be allocated accordingly, greatly increasing efficiency. Gaps in law enforcement and prosecution of wildlife crime in Kenya include the following<sup>33</sup>:

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<sup>30</sup> Ibid.

<sup>31</sup> Ibid

<sup>32</sup> Annex N: Brief report on the results of the Preparatory Phase Workshop for ICCWC Indicator Framework for Wildlife and Forest Crime Assessment for Kenya, held in September 2017.

<sup>33</sup> Summarized in the TRAFFIC Wildlife Crime Report for Kenya. See Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

- Lack of understanding about how to best present DNA and forensic evidence, which is admissible under the law, before a court,
- Special equipment and special training for staff at Kenya's Wildlife Genetics and Forensic Laboratory, based at KWS Headquarters in Nairobi are needed,
- The lack of sentencing guidelines for wildlife crime has resulted in inconsistency in sentencing nationwide, despite high minimum penalties. This creates uncertainty for both the prosecution and the defence and limits their ability to enter into meaningful discussions on plea and alternative charges. It also sends conflicting messages regarding how wildlife crime is viewed by the judiciary, and thereby undermines public confidence,
- Insufficient capacity of KWS and other agencies to gather and use wildlife crime intelligence,
- The ability to carry out investigations requires improvement,
- KWS needs capacity building in the preparation of case files for court, judicial procedures and providing evidence in court,
- National prosecutors have limited capacity on wildlife crime cases<sup>34</sup>,
- Few law enforcement officers at ports and land border crossings understand CITES regulations and can control CITES permits<sup>35</sup>,
- There are insufficient numbers of gazetted scenes-of-crime officers within KWS while it is a requirement under the law to have evidence from officers first at the scene. This presents a significant challenge when it comes to trials, and
- An additional important point is that law enforcement in the "traditional" sense creates disengagement from communities and the public. Law enforcement needs to invest into public relations and be people focused to ensure that it is well accepted and supported. This is a key to law enforcement capacities and relates to every law enforcement agency.

In the project areas, the Taita Taveta County (in Tsavo), the Taita Taveta Community Wildlife Conservancy Association, and its members are currently establishing a community-ranger and scout system to support the local law enforcement efforts. It is critical that these scouts and rangers not only receive relevant training, but that they do achieve police reserve status so that they are authorized to carry weapons. In Maasai Mara, the Maasai Mara National Reserve (MMNR) is managed by the Narok County Government, with routine operations coordinated by the Tourism and Wildlife County Executive Committee (CEC), and with support of several NGOs. There are 350 rangers deployed in the MMNR, 200 of whom were newly recruited and trained at the KWS Manyani Training Institute. An agency that will be responsible for the management of the MMNR is being instituted.

### 3. *Insufficient engagement of and benefits for local communities in wildlife conservation*

There are a number of barriers to the involvement of communities on the ground in protecting wildlife. Few local people have been able to visit a national park and there is a prevailing disenfranchisement of local people from conservation. Wildlife law enforcement activities are often seen to be directed "against" local people and development. Poverty, limited livelihood opportunities, and inadequate sharing of benefits from wildlife and conservation adds negatively to the appreciation of wildlife conservation. Few local people find direct employment in the parks or in tourism ventures or benefit in other direct ways from wildlife tourism. Instead of gaining local communities as important conservation partners, they often feel negative about wildlife.

Another contributing factor is that local communities often are affected by human-wildlife conflict, with private property such as water points, fields or livestock being destroyed or killed, and people may be directly attacked by animals. Human-wildlife conflicts partly occur because elephants and other wildlife need to pass through, and use, conservancies for seasonal migration movements. In certain rangeland areas, competition for grazing is a major obstacle as well. While the Government of Kenya has established a compensation programme for victims of HWC, the programme has suffered as the compensation fund is underfunded and large backlogs for approved cases exist,

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<sup>34</sup> Annex J. Brief report on the results of the Preparatory Phase Workshop for ICCWC Indicator Framework for Wildlife and Forest Crime Assessment for Kenya. September 2017

<sup>35</sup> Ibid

resulting in important delays in payments. This leads to a further frustration with the conservation agenda among local communities.

While the WCMA of 2013 allows for wildlife conservation as a form of land use, it is restrictive on the consumptive utilization of wildlife, and only limited incentives for keeping wildlife on private and community lands<sup>36</sup> are given, other than through tourism and many choose not to tolerate wildlife in their land. Some resort to turning a blind eye on illegal activities targeted at wildlife, while for some, the opportunity to earn some income from poaching and illegal wildlife trafficking-related activities becomes a more attractive prospect than abiding by the law.

There are several examples of strong social and environmental roles played by wildlife conservancies with low economic gains. Conservancies often provide social services such as security, community livelihoods, infrastructure (roads, dams, boreholes, and cattle dips), amenities (health and education), livestock management and marketing, and water provision<sup>37</sup>. These social services are often the mandate of local and/or national governments. The role of conservancies in providing these services has not gone unnoticed as some County governments in Kenya have begun to incorporate conservancies in their fiscal budgets for support<sup>38</sup>. Local governments are beginning to realize that conservancies are well-positioned to deliver these services on their behalf, and are thus willing to provide some funding to them. Where opportunities exist, conservancies should seek recognition from local governments and solicit budget support. Once such funding streams are secured, they provide an important additional income which buffer conservancies from dips in commercial or donor funding.

Access to sustainable financing by conservancies, especially nascent ones, to enable them develop programs, manage operations and create income generating activities has been limited. Conservancies often rely on donor grants which are highly competitive and technically difficult to obtain. Wildlife conservation funding by the national government has over the years focused on state protected areas (national parks accounting for 10% of wildlife distribution and national reserves accounting for 25%), overlooking the conservancies which host 65% of Kenya's wildlife, thus playing not only a significant complementing role to the state protected areas, but also providing the largest area of wildlife habitat. A few county governments have developed small annual grants to support the operations of conservancies, though such grants are hardly sufficient, nor accessible to majority of conservancies.

Section 23 of the WCMA 2013 requires the establishment of a Wildlife Endowment Fund, vested in the KWS Board of Trustees. The fund's mandate is to develop conservation initiatives of national parks, reserves and conservancies, with its source of financing being financial resources appropriated by Parliament, fees levied from the payment for ecosystem services, and investments made by the KWS board. While the Endowment Fund has been considered a key first step by the Government towards financially supporting conservancies, the structure and management of the Fund has been regarded as more favorable to national parks and reserves compared to conservancies. Moreover, the structure of the Fund limits private-public partnerships and its ability to attract investments from diverse sources.

KWCA, together with The Nature Conservancy, in June 2017, proposed an amendment to the Wildlife Act 2013 to replace the Endowment Fund with an independently governed and managed fund to be known as the Wildlife Conservation Trust Fund. This Fund is proposed to be governed in the form of trusteeship through technically skilled persons in investment development, financial management, private sector and corporate engagement, conservation NGOs, conservancy landowners and government representatives. Private investments, diverse income generating

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<sup>36</sup>Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC .

<sup>37</sup> African Wildlife Foundation (2016). African Conservancies Volume: Towards Best Practices. Volume 1 in the Series *African Conservancies*, African Wildlife Foundation, Nairobi

<sup>38</sup> King, J., Lalampaa, T., Craig, I., & Harrison, M (2016) Community Conservancies in Northern Kenya: The Northern Rangelands Trust Model. In: *Conservancies in Africa: Towards Best Practices. Volume 1*. African Wildlife Foundation, Nairobi



activities, government budgetary allocations and payments for ecosystems are some of the proposed means of financing the fund.

Although the number of gazetted conservancies have increased, many communities are not effectively involved in the management of wildlife and other natural resources, and rely on livestock as their main source of income. For example, in the Tsavo Ecosystem, 23 of the 28 ranches are registered as conservancies, but most of them are conservancies in name only, and the local landowners have neither the technical knowledge nor the resources to develop or manage them. In Maasai Mara Ecosystem, despite all areas surrounding the Maasai Mara National Reserve being conservancies, the local communities tend to invest in more livestock which then are pushed into the national reserve as the grazing in the community areas is insufficient. Between 1977–2009, the number of sheep and goats in the Maasai Mara ranches increased by almost 300%, and the biomass of livestock in the national reserve increased from 2% of the total wildlife biomass to 23%<sup>39</sup>. Overall, livestock biomass in Kenya's rangelands was 8.1 times greater than that of wildlife in 2011–2013, compared to 3.5 times in 1977–1980<sup>40</sup>.

The 2013 Wildlife Act created the enabling conditions for conservation to become a viable land-use, but several interlinked factors compromise this possibility. Exponential human population growth is estimated at 4.72%<sup>41</sup>, with the youth population estimated to be 65% (a high percentage of whom are unemployed), which creates ever growing demand for land and resources, increases in agricultural cultivation, and stimulates unplanned development of infrastructure and urban centres. While traditional livelihoods in the Maasai Mara and Tsavo ecosystems depend on livestock raised on communal rangelands while maintaining wildlife habitat, a number of socio-economic shifts, including increasing needs for cash for school and medical expenses, are threatening the viability of traditional rangeland management practices. Due to insufficient income from wildlife, some of the communities in the Tsavo and Maasai Mara ecosystems fence individual land parcels for farming, interrupting wildlife movement across the landscape. The total area fenced in the Maasai Mara ecosystem increased from 35,000 ha (5%) in 1980 to 73,000 ha (11%) in 2016<sup>42</sup>. Some land is also leased to outsiders for livestock grazing and farming since leasing it out generates higher income than that previously earned from group ranch management. After the failure of group ranches in Maasai Mara, the land was subdivided among members, with a few powerful individuals amassing extensive benefits, while the majority of landowners remained disempowered and disenfranchised. Similar land subdivision exists in Taita Ranches area (Tsavo Ecosystem) with some of the conservancies privately owned, some being group ranches, some company-owned, while others are community conservancies. The increasingly fragmented land reduces contiguous landscapes for wildlife migrations and make areas under cultivation inaccessible to wildlife. This fragmentation constitutes an additional risk when climate change has caused shifts in weather patterns with erratic and unpredictable seasons<sup>43</sup>.

Instead of the much-needed collaboration there are conflicts between local communities and PA administrations in the project areas over illegal livestock grazing. KWS confiscated large numbers of cattle grazing within the Tsavo Park boundaries in 2015. In 2016 more than 50,000 cattle illegally grazing in the Tsavo West were reported by local authorities<sup>44</sup>. The situation in Tsavo is exacerbated by unauthorized herders from North-East Kenya and Somalia coming in the area with hundred thousand heads of livestock. The herdsmen are often infiltrated by poachers who

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<sup>39</sup> Ogotu et al. 2011. Continuing wildlife population declines and range contraction in the Mara region of Kenya during 1977–2009. *Journal of Zoology* 285 (2011) 99–109

<sup>40</sup> Ogotu et al. 2016. Extreme Wildlife Declines and Concurrent Increase in Livestock Numbers in Kenya: What Are the Causes? *PLoS One*. 2016; 11(9): e0163249.

<sup>41</sup> Statistics for Narok County: <https://www.citypopulation.de/php/kenya-admin.php?adm2id=33>. However, human population growth is only 1.44%/ year for Taita Taveta County: <https://www.citypopulation.de/php/kenya-admin.php>

<sup>42</sup> Løvschal, M. et al. Fencing bodes a rapid collapse of the unique Greater Mara ecosystem. *Sci. Rep.* 7, 41450; doi: 10.1038/srep41450 (2017).

<sup>43</sup> <http://www.maraconservancies.org/maasai-mara-ecosystem/>

<sup>44</sup> <https://www.standardmedia.co.ke/article/2000217738/taita-taveta-county-raises-concern-over-illegal-grazing-in-tsavo-park>

use them to provide cover and information about wildlife movements, local geography and terrain. Similarly, Maasai Mara NR is often used by local communities for unauthorized livestock grazing.

The MMNR Management Plan 2009-2019 has informed the management of the MMNR although officially not under implementation as the management of the Mara Triangle was concessioned to a private operator for 15 years. The Plan aimed at radically transforming parts of the prestigious game reserve into a high-value, low-volume tourist destination and improve its sustainability, improve community support for the area by enhancing benefits such as employment and financial incomes while reducing human-wildlife conflict. The management plan targets MMNR only and does not incorporate surrounding Conservancies and local communities in one management area. While no ecosystem-wide management plan exists for the Tsavo area either, a Taita Taveta land use plan is under development and a Tsavo NP<sup>45</sup> management plan already exists. Absence of ecosystem-wide management plans with PAs and Conservancies as equal rights stakeholders in conservation and sustainable development hinders sound partnerships between the PAs and local communities. While local communities currently are not involved in law enforcement and wildlife management in cooperation with PAs and KWS, their involvement constitutes a potentially great contribution to anti-poaching through intelligence gathering networks for example. PA authorities and Law Enforcement agencies do unfortunately often not have the skills required to engage local communities effectively.

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<sup>45</sup> <http://www.kws.go.ke/download/file/fid/1473>

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### III. STRATEGY

The **long-term solution to the development challenge suggested by the project** focuses on wildlife law enforcement through community involvement in two project areas, the Maasai Mara and Tsavo ecosystems, via a highly coordinated approach within and between wildlife management and law enforcement authorities, as well as wildlife conservancies established by local communities.

The proposed National Strategy to Combat Poaching and Illegal Wildlife Trade will guide the law enforcement efforts at national and project area levels. On the ecosystem level, coordinated, multi-agency responses to poaching and IWT will be promoted, and law enforcement teams be supported through relevant trainings, equipment and infrastructure needed for improved law enforcement. An existing community-scout system will be strengthened, as part of enhanced relationships with, and involvement of, local communities in conservation. Natural resources will be locally-managed through the creation of new Community Conservancies, with benefits accruing directly to rural communities. Communities will also realize the benefits of conserving wildlife (higher income from tourism and sustainably produced livestock products, healthy environment, additional jobs in wildlife management at Conservancies) as foreseen by the WCMA 2013. Local communities will take ownership over their own resources and range- and land management, becoming advocates for conservation. Awareness and education activities will ensure that communities in the project areas choose to avoid poaching, because of the potential benefits of wildlife to people and knowledge of the risks involved. Alternative forms of environmentally sustainable income generation will be promoted, particularly for women. Without local community support, poachers will face greater difficulties and risks in attempting to poach and traffic wildlife. This will contribute to reduce incentives for IWT and poaching.

The project **Objective** is *to combat poaching and illegal wildlife trafficking in Kenya through an integrated approach.*

To address the development challenge and achieve the Objective the project will implement four **Strategies/Components**:

#### **Component 1.** *Strengthening national and local capacity for effective IWT control in Kenya*

The first component will facilitate the development, official approval, and implementation of the National Strategy to Combat Poaching and Illegal Wildlife Trade in Kenya as a guiding document in the effort to eliminate wildlife crime in the country. The implementation of the Strategy will be supported by the establishment of a Multi-Agency Unit at the Kenya-Tanzania border to reduce illegal wildlife trafficking through Kenya to South Asian countries. Special trainings will be provided to KWS, National Police Service (NPS), Kenya Revenue Authority (KRA), the judiciary and prosecutors in the Maasai Mara and Tsavo Ecosystems to increase their capacity to effectively deter wildlife crime. The project will also facilitate transboundary conservation cooperation between Kenya and Tanzania, including wildlife crime control, via the promotion of a Memorandum of Understanding for the establishment of Maasai Mara – Serengeti and Tsavo – Mkomazi Trans-Frontier Conservation Areas (TFCAs).

#### **Component 2.** *Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara ecosystems*

The second component will support wildlife and community security in the two project areas – the Maasai Mara and Tsavo Ecosystems, respectively, via a highly coordinated approach within and between wildlife management and law enforcement authorities and Wildlife Conservancies established by local communities. On the ecosystem level, multi-agency responses to poaching and IWT will be promoted and coordinated, and teams will be supported through relevant trainings and with the equipment and infrastructure needed for improved law enforcement. Ranger posts, safe communication systems, transport and equipment will be supported through the project, supplementing investments made by partners such as USAID. Recently established community-scout systems will be strengthened, which, at the same time, will constitute investments into building better relationships of PAs and law-enforcement agencies with local communities, making local communities part of the conservation story and teams.

### **Component 3. Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara ecosystems**

This Component focuses on developing, in a participatory manner, integrated ecosystem management plans, and thus laying the foundation for locally-managed wildlife and grazing systems through community conservancies. Two to three new community conservancies will be established and supported (one or two in Maasai Mara and one in the Taita Taveta area in the Tsavo ecosystem), ensuring that benefits from wildlife conservation and sustainable livestock grazing accrue directly to, and are fairly distributed among, the members of rural communities. The existing local wildlife conservancy associations and their members will be supported with governance and management training. UNDP's micro-grants facility will be used for Community-based Wildlife (CBWM) and Natural Resources Management (CBNRM) activities to support conservancies in the two target ecosystems, and technical assistance will be provided for the establishment of a Trust Fund to be operationalized through the Kenya Wildlife Conservancy Association to ensure more long-term access to micro-financing.

**Component 4. Knowledge Management, M&E and Gender Mainstreaming.** This Component will ensure effective lesson learning from the implementation of the project, a participatory M&E approach, and gender mainstreaming. Lessons learned from the project will be used to improve project implementation via adaptive management and will also be shared with other national and international projects, including the Global Wildlife Program (GWP), using different approaches, including on-line knowledge platforms on CBWM, HWC, and LE, such as GWP Virtual Knowledge Exchange, UNDP Knowledge Sharing Platform, NBSAP Forum, etc. An effective Grievance Redress Mechanism (GRM) will also be established to receive grievances from those affected by the project and ensure that any such grievances inform and guide project implementation in a way which is socially acceptable and beneficial for local communities and other stakeholders.

### **Alignment with the Global Wildlife Program (GWP) and Theory of Change**

To respond to the growing wildlife crisis and international call for action, the Global Environment Facility (GEF) launched the GWP in June 2015. Led by the World Bank, the GWP is a \$131 million grant program designed to address wildlife crime across 19 countries in Africa and Asia. The GWP serves as a platform for international coordination, knowledge exchange, and delivery of projects on the ground. The GWP builds and strengthens partnerships by supporting collaboration amongst national projects, captures and disseminates lessons learned, and coordinates with implementing agencies and international donors to combat IWT globally. National projects within the GWP form an integral part of a community of practice that promotes the sharing of best practices and technical resources. Kenya is one of the GWP countries, and during the first year of implementation of the global program, Kenya benefited from participation in two in-person knowledge exchange events held in Kenya and Vietnam, as well as in one during its second year, held in Gabon on theme "Reducing Human Wildlife Conflict and Enhancing Coexistence".<sup>46</sup> These events brought the GWP countries together to exchange experiences on various anti-poaching, anti-trafficking, and demand reduction issues. During project execution, Kenya will have access to other GWP material, including on IWT control, PA management, CBWM, and biodiversity conservation mainstreaming in productive sectors. The Government of Kenya is committed to engaging with GWP partners on joint efforts and the sharing of lessons.

Table 2 summarizes how the project theory of change (ToC) links with the GWP ToC. It shows how the project strategies (Components) will contribute to relevant Outcomes and Targets of the GWP.

**Table 2.** Alignment of the project strategies with GWP Components, Outcomes, Indicators and Targets

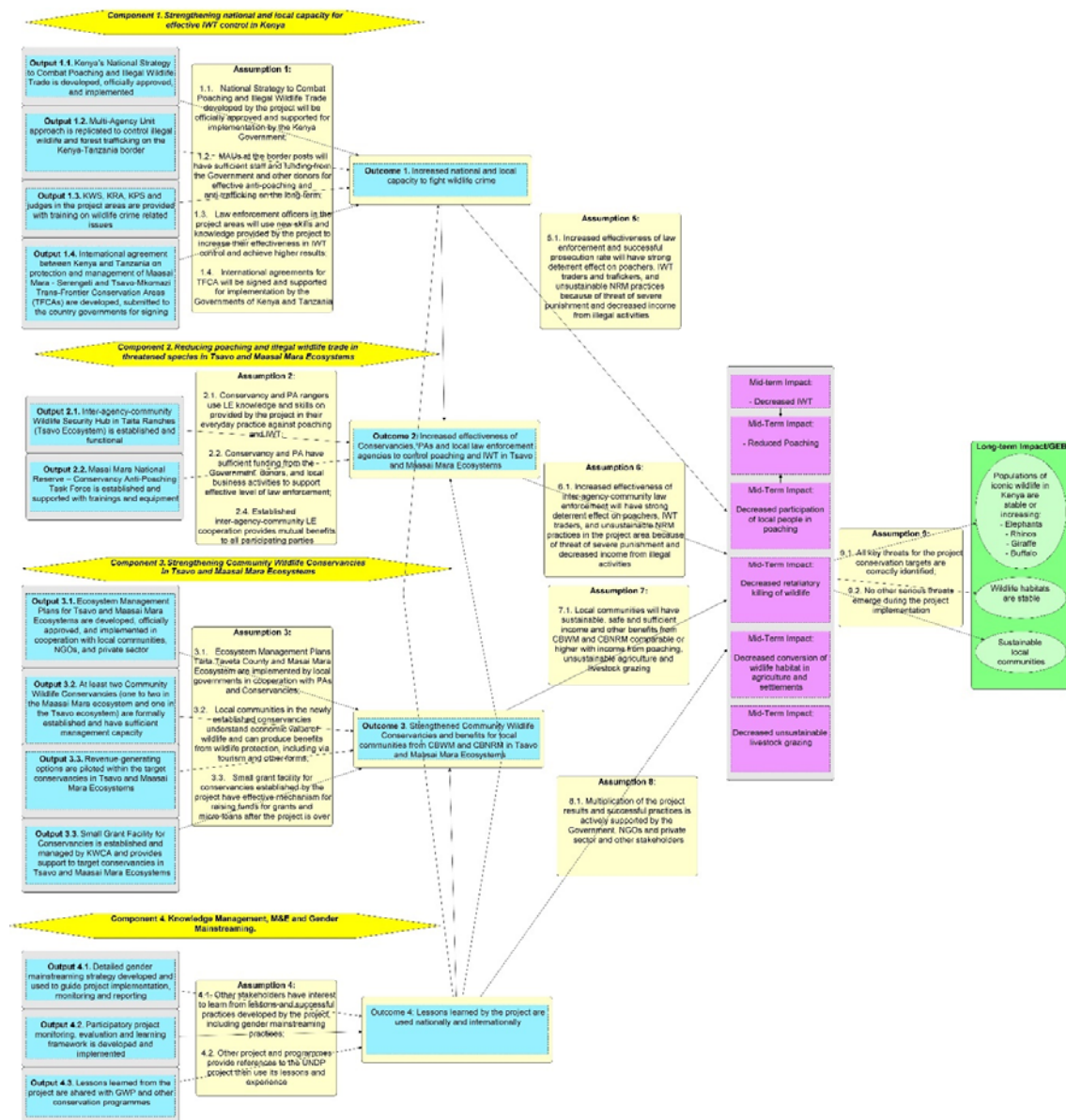
Child Project Components	Relevant GWP Components	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets
Component 1. Strengthening	Component 1. Reduce Poaching	Outcome 1: Reduction in elephants, rhinos, and big	1.1: Poaching rates of target species at program sites (Specifically, a reduction in PIKE trend for elephants to

<sup>46</sup> The Kenya team was unable to attend the India meeting and the following study tour on human-wildlife conflict in Sri Lanka, in September 2017, due to the presidential elections in Kenya at that time.

Child Project Components	Relevant GWP Components	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets
national and local capacity for effective IWT control in Kenya	and Improve Community Benefits and Co-management <b>Component 2.</b> Reduce Wildlife Trafficking	cat poaching rates. (baseline established per participating country) <b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and product	below 50% at each site; and for rhinos and big cats, a reduction in poaching rates to reverse population declines - compared to baseline levels at start of project) <b>1.4:</b> Proportion of poaching-related arrests that result in prosecution (increase) <b>1.5:</b> Proportion of poaching-related prosecutions that result in application of maximum sentences (increase) <b>4.1:</b> Number of laws and regulations strengthened with better awareness, capacity and resources to ensure that prosecutions for illicit wildlife poaching and trafficking are conducted effectively (increase) <b>4.2:</b> Number of dedicated law enforcement coordination mechanisms (increase) <b>4.3:</b> Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase) <b>4.4:</b> Proportion of seizures that result in arrests, prosecutions, and convictions (increase)
<b>Component 2.</b> Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara Ecosystems	<b>Component 1.</b> Reduce Poaching and Improve Community Benefits and Co-management <b>Component 2.</b> Reduce Wildlife Trafficking	<b>Outcome 1:</b> Reduction in elephants, rhinos, and big cat poaching rates. (baseline established per participating country) <b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and product	<b>1.1:</b> Poaching rates of target species at program sites (Specifically, a reduction in PIKE trend for elephants to below 50% at each site; and for rhinos and big cats, a reduction in poaching rates to reverse population declines - compared to baseline levels at start of project) <b>1.2:</b> Number of poaching-related incidents (i.e. sightings, arrests, etc.) per patrol day <b>1.3:</b> Number of investigations at program sites that result in poaching-related arrests (increase at first, then decrease over time) <b>4.1:</b> Number of laws and regulations strengthened with better awareness, capacity and resources to ensure that prosecutions for illicit wildlife poaching and trafficking are conducted effectively (increase) <b>4.2:</b> Number of dedicated law enforcement coordination mechanisms (increase) <b>4.3:</b> Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase) <b>4.4:</b> Proportion of seizures that result in arrests, prosecutions, and convictions (increase) <b>1.4:</b> Proportion of poaching-related arrests that result in prosecution (increase) <b>1.6:</b> Protected areas (METT score) and community/private/ state reserves management effectiveness for Programme sites (increase)
<b>Component 3.</b> Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara Ecosystems	<b>Component 1.</b> Reduce Poaching and Improve Community Benefits and Co-management	<b>Outcome 2:</b> Increased community engagement to live with, manage, and benefit from wildlife <b>Outcome 3:</b> Increase in integrated landscape management practices and restoration plans to maintain forest ecosystem services and sustain wildlife by government, private sector and local community actors, both women & men	<b>2.1:</b> Benefits received by communities from sustainable (community-based) natural resource management activities and enterprises (increase) <b>3.2:</b> Area of forest resources restored in the landscape, stratified by forest management actors (increase compared to baseline levels at start of project)

Child Project Components	Relevant GWP Components	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets
<b>Component 4.</b> Knowledge Management, M&E and Gender Mainstreaming.	<b>Component 4.</b> Knowledge, Policy Dialogue and Coordination	<b>Outcome 6:</b> Improved coordination among program stakeholders and other partners, including donors	<b>6.2:</b> Programme monitoring system successfully developed and deployed <b>6.3:</b> Establishment of a knowledge exchange platform to support program stakeholders

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**Figure 2.** Project Theory of Change diagram (see Fig. 1 for the barriers addressed by the project, and Table 3 for Output – Outcome – Impact pathways and Assumptions)

**Table 3.** Theory of Change for Kenya IWT project – see also Fig. 2 for context and details

Assumptions	Output – Outcome – Mid-Term Impact – Long-Term Impact pathways
<p><b>Assumption 1:</b></p> <p>1.1. The National Strategy to Combat Poaching and IWT developed with the support from this project will be officially approved and supported for implementation by the Government of Kenya;</p> <p>1.2. MAU at the border will have sufficient staff and funding from the Government and possibly other donors for effective anti-poaching and anti-trafficking on the long-term<sup>47</sup>;</p> <p>1.3. Law enforcement officers in the project areas will use the new skills and knowledge provided by the project to increase their effectiveness in IWT control;</p> <p>1.4. International agreements for TFCA will be signed and supported for implementation by the Governments of Kenya and Tanzania<sup>48</sup></p>	<p>Delivery of the project Outputs under Component 1 (National Anti-Poaching Strategy, trained LE officers, established and functional MAUs, international agreements for TFCAs with implementation mechanisms) will lead to increased national and local capacity in Kenya to control IWT (Outcome 1). Increased national and local capacity will be reflected by increased number of poacher and trader arrests, and successful prosecution and sentences at the national and local levels.</p>
<p><b>Assumption 2:</b></p> <p>2.1. Conservancy and PA rangers use the law enforcement knowledge and skills provided by the project in their everyday practice against poaching and IWT;</p> <p>2.2. Conservancies and PAs have sufficient funding from the Government, donors, and local business activities to support an effective level of law enforcement<sup>49</sup>; and</p> <p>2.4. Established inter-agency-community law enforcement cooperation provides mutual benefits to all participating parties.</p>	<p>Delivery of the project Outputs under Component 2 (establishment of strong inter-agency-community cooperation in law enforcement, supported by the necessary training, equipment, and infrastructure) will lead to increased law enforcement capacity and effectiveness in Tsavo and Maasai -Mara Ecosystems to target wildlife crime. Increased inter-agency-community effectiveness in law enforcement will be reflected by increased number of poacher and trader arrests, successful prosecution and sentences, decreased number of unsolved HWCs in the project areas (Outcome 2).</p>
<p><b>Assumption 3:</b></p> <p>3.1. Ecosystem Management Plans for Taita Taveta County and Maasai Mara ecosystems are implemented by local governments in cooperation with PAs and Conservancies;</p> <p>3.2. Local communities in the newly established conservancies understand the economic value of wildlife and are able to realize them, including via tourism;</p>	<p>Delivery of the project Outputs under Component 3 (Environmental Management Plans, establishment of, and support to, new conservancies, grant facility to support conservancies) will strengthen conservancies in the MaasaiMara and Tsavo ecosystems, increase the area under sustainable NRM and community ownership of wildlife and other natural resources, and provide more economic and social benefits to local communities from sustainable forms of revenue linked to conservation (Outcome 3).</p>

<sup>47</sup> This assumption is based on the fact that currently Government of Kenya and UNODC have successful joint programme on development of MAUs at key ports, airports and other points of entry/exit (like border posts) that is supported by national budget, UNODC, and WCO.

<sup>48</sup> Mara-Serengeti and Tsavo-Mkomazi-Umba Ecosystems are among priorities identified by East African Community Transboundary Ecosystems Management Bill 2010, Schedule 2. Also, a Memorandum of Understanding (MoU) was signed by the Governments of Kenya and Tanzania to establish a Joint Cooperative Framework for transboundary management of the Chala and Jipe Lakes and the Umba River ecosystems on February 11-14 2013. The Joint Cooperative Framework is designed help conserve the ecosystems of Chala and Jipe Lakes and Umba River, which supports fisheries, water supply, and livestock and wildlife management in Tsavo West National Park, Kenya, and Mkomazi National Park, Tanzania.

<sup>49</sup> There are about 10 international NGOs and multilateral agencies (AWF, WWF, IFAW, USAID, Tsavo Trust, Tsavo Conservation Group, etc.) currently active in the Mara and Tsavo ecosystems providing significant funding to the PAs and local conservancies. KWS budget in 2000-2010 demonstrate steady increase of funding available for the PAs from 20 to 50 million of US dollars and this increase is likely to continue given high interest in Kenya wildlife from international community. Also, government grants to the PA in 2000 – 2010 increased from \$5,000,000 to 20,000,000 of USD (Wanionyi 2012)



Assumptions	Output – Outcome – Mid-Term Impact – Long-Term Impact pathways
3.3. Small grant facility for conservancies established by the project has effective mechanism for raising funds for grants and micro-loans after the project is over.	
<b>Assumption 4:</b> 4.1. Other project and programmes have interest to learn from lessons and successful practices developed by the project, including gender mainstreaming practices 4.2. Other project and programmes provide references to the UNDP project and use its lessons and experience.	A participatory approach to M&E and a strong lesson learning system will allow systematic collection of the project lessons, effective adaptive management of the project, and timely achievement of the project Outcomes. That will lead to active replication and use of the project experience and techniques at national and international level by other projects (Outcome 4)
<b>Assumption 5:</b> 5.1. Increased effectiveness of law enforcement and successful prosecution rates will have a strong deterrent effect on poachers, traders and traffickers, and unsustainable NRM practices (including grazing) because of threat of severe punishment and decreased income from illegal activities.	As a result of increased poacher and illegal wildlife trader arrests, prosecution and sentences and enhanced management of biodiversity at the national and local levels, the number of poaching and IWT cases as well as the number of unsustainable NRM practices (e.g. unsustainable grazing) will decrease (Mid-Term Impact).
<b>Assumption 6:</b> 6.1. Increased effectiveness of inter-agency-community law enforcement will have strong deterrent effect on poachers, IWT traders, and unsustainable NRM practices in the project area because of a higher risk of getting caught and punished, and decreased income from illegal activities.	As a result of increased arrests of poachers and illegal wildlife traffickers, successful prosecutions and enhanced protection of PAs with active participation of local communities, the number of poaching and IWT cases as well as the number of unsustainable NRM practices (threats for conservation targets) will decrease in the project area (Mid-Term Impact).
<b>Assumption 7:</b> 7.1. Local communities will have sustainable, safe and sufficient income and other benefits from CBWM and CBNRM comparable or higher with income from poaching, unsustainable agriculture and livestock grazing. <sup>50</sup>	Increased area under sustainable NRM in the project area, community ownership of wildlife and other natural resources and increased economic and social benefits to local communities from wildlife conservation and associated sustainable uses of natural resources (Outcome 3) will lead to increased economic value of wildlife for local people and decreased poaching, retaliatory killings of wildlife, and other unsustainable forms of NRM by local communities (Mid-Term Impact).
<b>Assumption 8:</b> 8.1. Multiplication of the project results and successful practices is actively supported by the Government, NGOs and private sector and other stakeholders. <sup>51</sup>	Active replication of successful practices developed by the project will lead to decreased threats to wildlife habitat on a much larger area than the project area (Mid-Term Impact).

<sup>50</sup> Linked to the key assumption of the Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development, Component 1. *Reduce Poaching and Improve Community Benefits and Co-management*. The species most threatened by poaching such as elephants and rhinos, are among the most popular in wildlife tourism. For example, Tanzania's tourism sector, which is wildlife and nature-based, generated \$4 billion in revenues in 2013, representing 13% of GDP – its top source of FDI. GWP "builds on decades of work, often in challenging political contexts, on promoting community-based natural resource management, which has made significant gains in pointing to pathways out of rural poverty that effectively strengthen enforcement, providing communities with a stake in the preservation of wildlife and their habitats through shared responsibilities for management and shared benefits from their sustainable use, for example through successful community-owned conservancies in Namibia and Kenya with ecotourism operations" (GWP 2015).

<sup>51</sup> Given conclusions of OPS3 and OPS 5 Final Reports demonstrated that GEF "has highly effective learning mechanism, which was first praised in OPS3" and that lessons learned by the GEF projects are often incorporated in the other GEF projects national policies, and other project and programmes. E.g., all 8 GWP child projects developed in 2016 and at least three GWP projects that are currently under development (Zimbabwe, Kenya and Mali) have used lessons learned from other GEF and non-GEF projects in their design; another example - Brazil, mainstreamed lessons

Assumptions	Output – Outcome – Mid-Term Impact – Long-Term Impact pathways
<b>Assumption 9:</b> 9.1. All key threats to the project conservation targets are correctly identified; and 9.2. No other serious threats emerge during the project implementation period.	Decreased level of threats to wildlife and habitats will lead to increased wildlife survival rates and population growth, as well as stabilization of key ecosystems (savannahs). The decreasing (poaching/IWT) crime level will also increase security, which in turn supports livestock grazing and wildlife as a source of income for local communities.

### The project areas: Maasai Mara and Tsavo Ecosystems

Two key intervention areas have been selected for this project: The Maasai Mara and Tsavo landscapes (interfacing, to some extent, with the Greater Amboseli and the Laikipia-Samburu landscapes). These two ecosystems are of particular interest (Fig 3) as their dispersal areas contain large species aggregations, especially of globally significant mammals and birds, which motivated their early inclusion in Kenya's PA system. The Tsavo and Maasai Mara are among eight conservation areas designated by KWS, and listed nationally as key wildlife areas especially for their critically endangered wildlife species. These conservation areas are among the country's wildlife ecosystems that comprise national parks or national reserves, adjoining community conservation areas such as conservancies and sanctuaries, wildlife migratory corridors and dispersal areas and often forests and water catchment areas. The Tsavo East and Tsavo West National Parks, and the Maasai Mara Nature Reserve are located within rangeland ecosystems at the border with Tanzania, and represent the northern parts of transboundary Mara-Serengeti and Tsavo-Mkomazi transboundary landscapes.



**Figure 3.** Location of the Tsavo East and Tsavo West and Maasai Mara National Parks. Notably, both ecosystems border with Tanzania and link to large transboundary ecosystems.

### The Tsavo Ecosystem

The Tsavo ecosystem within the Taita Taveta county is characterized by five main areas: the Tsavo East and Tsavo West National Parks together covering an area of about 22,000 km<sup>2</sup>, 21 conservancies and ranches neighboring and connecting to the national parks, Taita Hills Wildlife Sanctuary, the Mkomanzi and the Chyulu hills.

Tsavo was established as a National Park in 1948 and is made up of two separate National Parks: Tsavo East<sup>52</sup> and Tsavo West<sup>53</sup>, both managed by KWS. Located in Coast Province of Kenya in between Nairobi City and Mombasa, Tsavo East and West are part of five counties, namely Taita-Taveta<sup>54</sup>, Makueni, Kitui, Tana River and Kilifi. Tsavo is the largest national park complex in Kenya and one of the largest in the world. The park was split into two due to

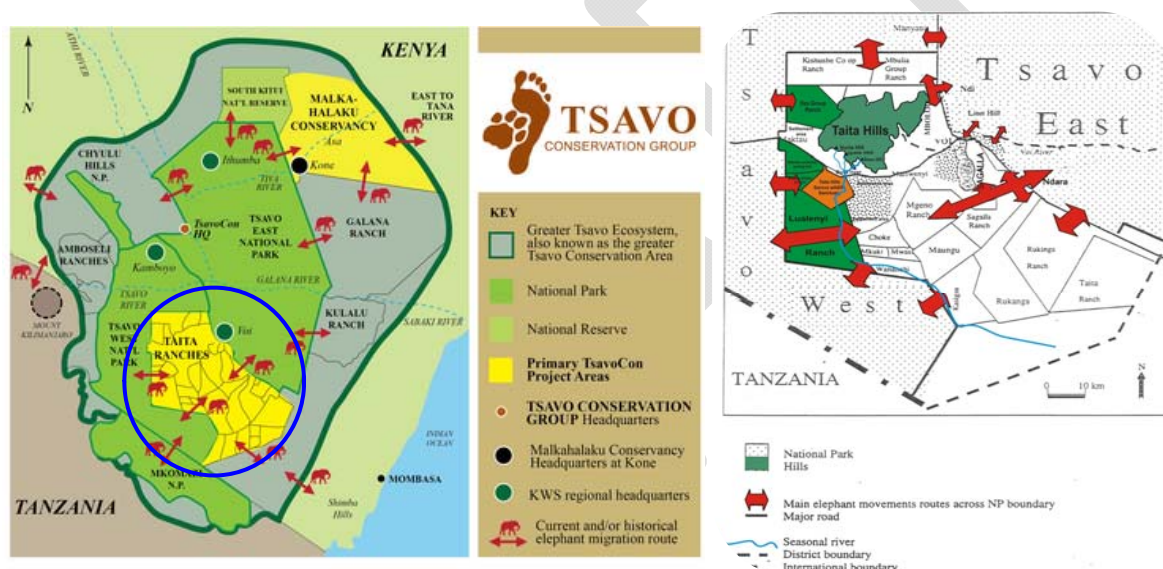
<sup>52</sup> <http://www.kws.go.ke/content/tsavo-east-national-park>

<sup>53</sup> <http://www.kws.go.ke/tsavo-west-national-park>

<sup>54</sup> About 62% of the land area of Taita Taveta County are comprised of Tsavo National Park. If all of the Taita Taveta ranches become conservancy area, then almost all of the county is under conservation status.

the railway from Mombasa to the interior of Kenya and is nowadays threatened by a new railway development as well as a road which soon is to be upgraded to a highway. Tsavo East National Park encompasses 13,747 km<sup>2</sup>, while Tsavo West National Park covers 9,065 km<sup>2</sup>. Both parks are surrounded by a number of private and community conservancies and other conservation areas. Tsavo East is generally flat, with dry plains across which the Galana River flows. Other features include the Yatta Plateau and Lugard Falls. Tsavo West National Park is more mountainous and wetter than its counterpart, with swamps, Lake Jipe and the Mzima Springs. It is known for bird life and for its large mammals (e.g. black rhino, Cape buffalo, elephant, leopard, hippo, lion and Maasai giraffe). Smaller animals such as pangolin, bush baby, hartebeest, and lesser kudu can also be spotted in the park.

An area of special importance is the Taita-Taveta community ranches area (Fig. 4), which forms a natural connection between Tsavo West and East and traditional migration routes for many animals, including elephants. There are 28 ranching units, two wildlife sanctuaries (Taita Hills Wildlife Sanctuary (110 km<sup>2</sup>) and Lumo Community Wildlife Sanctuary (550 km<sup>2</sup>) and three sisal estates in the area. The total population of Taita Ranches area is about 264,000, 51% of the population are male while 49% are female<sup>55</sup>. Taita Taveta has a poverty rate of 54% (head count) which is high compared to the national average rate<sup>56</sup>.



**Figure 4:** Location of the Taita-Taveta community ranches – a key area for effective conservation of the Tsavo ecosystem.

### The Maasai Mara Ecosystem

The **Maasai Mara Ecosystem** is located in the Narok County of Kenya; contiguous with the Serengeti National Park in the Mara Region of Tanzania. The Ecosystem consists of the Maasai Mara National Reserve (MMNR) covering some 1,510 km<sup>2</sup>, or 26% of the area. The Greater Mara Ecosystem includes the following Group Ranches: Koiyaki, Lemek, Ol Chorro Oirowua, Olkinyei, Siana, Maji Moto, Naikara, Ol Derkesi, Kerinkani, Oloirien, and Kimintet. Conservancies have been established within the group ranch area to allow for the utilization of wildlife that disperse from the national reserve. There are 15 operational and 3 proposed conservancies occupying 29% of the ecosystem.

The Maasai Mara National Reserve is the northern-most section of the Mara-Serengeti ecosystem, which covers some 25,000 km<sup>2</sup> in Tanzania and Kenya. It is globally famous for its exceptional population of Maasai lions, African leopards and Kenyan cheetahs, and the annual migration of zebra, Thomson's gazelle, and wildebeest to and from the Serengeti every year from July to October, known as the Great Migration. The landscape has grassy plains and

<sup>55</sup><http://www.crakenya.org/county/taita-taveta/> (total population for Taita Ranches was calculated as following: Total Population of Taita Taveta County (284,657) minus population of Taveta area (about 7% of total county population).

<sup>56</sup> CRECO, 2012

rolling hills, and is crossed by the Mara and Talek rivers. The area nearby is dotted with villages (enkangs) of Maasai people. Initially the Maasai Mara was established in 1961 as a wildlife sanctuary, covering only 520 km<sup>2</sup> of today's areas, including the Mara Triangle. The area was extended to the east in 1961 to cover 1,821 km<sup>2</sup> and converted to a game reserve. The Narok County Council (NCC) took over the management of the reserve at that time. Part of the reserve was given National Reserve status in 1974. In 1994, the Trans Mara County Council (TMCC) was formed in the western part of the reserve, and control was divided between the new council and the existing Narok County Council. In May 2001, the not-for-profit Mara Conservancy took over management of the Mara Triangle. The management of MMNR is currently under the Narok County Government's Wildlife and Tourism Department.

Conservancies in the Mara serve as key wildlife corridors and dispersal areas especially for migrating species such as elephants and wildebeest. Conservancies connect 3 key components of the Mara ecosystem: the Mau catchment, Mara and Loita forest ecoregions. The project will focus its interventions in areas outside the MMNR which have been identified as high-risk spots for wildlife trafficking by the wildlife authorities and the joint Narok County Security Committee, and will support law enforcement cooperation of the MMNR and adjacent Conservancies. Communities along the Kenyan border with Tanzania and in forests wildlife dispersal areas will also be encouraged to establish community conservancies within the public lands.

### **Lessons learned from other projects and programmes considered during the project design**

#### **GEF project "Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya"**

This project ended 31 December 2015. This project has brought an additional 75,000 ha of land into PA categories designed to conserve biodiversity, including unprotected forestlands and reserve forests being managed for production. The interventions undertaken have indirectly improved the status of the entire western forest estate and improved accountability for decision-making, monitoring and adaptive management.

Lessons from this project include that extensive consultations with key stakeholders and future project implementers during the design phase ensured that the project design responded to stakeholders' needs and priorities, as well as ensured the commitment of partners to begin implementation from the very start of the project. Project assumptions made, and risks identified, were insufficient and weak, which backlashed during project implementation. Also, certain project targets were too optimistic and could not be achieved. Project implementation was complex and required collaboration between several government and non-government stakeholders. The strategy of implementing the project through an independent NGO (Nature Kenya) which had the respect and confidence of all the participating agencies worked well. This current project takes a similar approach and works with actors with presence in Maasai Mara and Tsavo. Another lesson is to establish the project Technical Advisory Committee (TAC) in the project's target project areas. As the lack of a dedicated M&E staff in the Eastern Montane Forest project was criticized, the current project will hire a M&E Specialist responsible for M&E, and who shall draw on the actors in the project for assistance.

#### **GEF project "Enhancing Wildlife Conservation in the Productive Southern Kenya Rangelands through a Landscape Approach"**

This project is currently under implementation. It seeks to provide a resource governance model that allows communities and conservationists to utilize new and updated skills and take advantage of modified policies and market based incentives to balance resource use and resource conservation across the greater Amboseli Ecosystem. The project aims to secure a broader range of benefits from wildlife and ecosystem management for the onsite and offsite dependents, in a more equitable and sustainable manner. The project partners (KWS, Maasai Wilderness Conservation Trust, African Conservation Centre, Big Life, and Nature Kenya) are collaborating, according to designated roles and responsibilities, to support national efforts to secure conservancy management, set up a series of conservancies across the landscape, map out and secure wildlife dispersal areas, secure connectivity corridors between the core PAs of Amboseli, Tsavo and Chyulu Hills to offer greater protection of selected species. The partners are also catalysing a shift from the current sector-focused planning to a more integrated land-use planning



system, thus, increasing productivity of livestock and agriculture while protecting environmental services, including the watershed services of the Chyulu Hills.

Some lessons from this project in Amboseli are directly relevant to the GEF project in the Mara and Tsavo ecosystems, and technical know-how will be directly shared amongst the projects. The piloted Amboseli land use plan and zonation approaches to meet wildlife conservation needs and human development agenda, as well as how wildlife dispersal areas can be maintained within a landscape changing from pastoralism to agriculture (fragmentation and fencing of land parcels) are directly relevant to both the Tsavo and Maasai Mara ecosystems. Lessons from the building a wildlife conservation coalition between PAs and adjacent local communities in the Amboseli landscape are also utilized in the design of this project.

The project design is based on the multiple lessons learned from other programmes and projects funded and implemented by GEF, UNDP, other international agencies and NGOs in Kenya and abroad. Specifically, the project development process has been based on several lessons on project design identified by the GEF Independent Evaluation Office (IEO) to be key to project success, including<sup>57</sup>:

- strong stakeholder participation in project design and implementation leads to ownership and a shared vision;
- flexible project design allows to implement effective adaptive management;
- project design should be well-aligned with existing needs, capacities, and norms; and
- capacity building integrated in the project design increases sustainability of its results.

This project was developed in cooperation with national and international stakeholders (more than 30 government and non-government organizations participated in consultations), which were involved in the process from the earliest stage of its formulation. Their experiences have been used in the formulation of the project's Theory of Change, Outputs and Outcomes. It should be noted that the design of the current project outputs allows for considerable flexibility for the PMU to make adjustments during the Inception Phase and adaptive management during its implementation.

### **Rhino Impact Investment Project**

The Rhino Impact Investment Project's (RII Project's) objective is to demonstrate a scalable outcomes-based financing mechanism that directs additional private- and public-sector funds to improve management effectiveness of priority rhino populations.

Challenges of the traditional rhino conservation funding model include:

- Short-term contracts: funding flows from governments or the public sector only in short-term contracts to fund activities/inputs (like specific equipment or training rather than adaptable intervention strategies) limiting service providers' ability to focus on long-term impact
- Shortage of funds: currently there are insufficient funds available to deliver long-term scalable impact—governments and the limited philanthropic capital are not enough
- Lack of capacity for adaptive management: the elements needed for protected area managers to manage their sites adaptively are often missing from traditional funding models
- Lack of accountability: no rewards or punishments based on success/failure of interventions; data and reporting is often limited so successes cannot be tracked and replicated in other sites

The RII project will deliver three components in order to achieve its objective:

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<sup>57</sup> <http://www.gefio.org/ops/ops-5>

1. Gap assessments of priority rhino sites conducted (completed June 2017), shortlist of rhino sites identified for inclusion in the live RII Financing Mechanism (7 sites shortlisted in August 2017), and RII investment performance metrics tested and demonstrated in Tsavo West, Kenya pilot site (ongoing to March 2018). As the testing and demonstration phase in Tsavo West is scheduled to be finalized before this Project begins, the PMU should consider any lessons from it before implementation begins.
2. 5-10 rhino sites brought up to investment readiness and sites prepared to deliver against the RII Key Performance Indicators (KPIs) (beginning September 2017).
3. Investment Blueprints developed, financial structure built, management, legal, and governance structure developed, outcome-payer and investor commitments secured (ongoing to Q1 2019).

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## IV. RESULTS AND PARTNERSHIPS

### Expected Results

The project is designed to achieve following **Long-Term Impact, or Global Environmental Benefits** (status of conservation targets):

- **Stable or increasing populations of flagship species in the project areas**

The populations of high value species such as elephants, and bushmeat species will be measured compared to the following baseline values from 2017:

Tsavo Ecosystem:<sup>58</sup> 12,843 elephants (out of which 1,746 in the Taita Ranches),  
8,525 buffaloes (out of which 1,768 in Taita Ranches),  
4,323 giraffes (out of which 510 in Taita Ranches),<sup>59</sup>

Maasai Mara Ecosystem: 2, 493 elephants,  
9,466 buffaloes, and  
2,607 giraffes.<sup>60</sup>

The targets for the above-mentioned species are for the populations to remain at least at baseline value. The impacts will also be measured by decreases in the number of individual flagship animals poached and killed in retaliation in the project areas. The long-term targets for both these indicators are reductions by at least 50 percent. As an intermediate target, the Project aims to achieve the following **Mid-Term Targets** (threat reduction):

- **At least 20% decreases in the number of individual flagship animals poached in the project areas**

Baseline values from 2016 are<sup>61</sup>:

The Tsavo Ecosystem: 30 elephants, 2 rhinos

Out of which in the Taita Taveta County (including Taita Ranches) specifically: 26 elephants, no rhinos

The Maasai Mara Ecosystem (Narok County and MMNR specifically): 5 elephants, 1 rhino

- **Decreases by at least 20% in retaliatory killing of elephants in the project areas**

Baseline values from 2016 are<sup>62</sup>:

Tsavo Ecosystem (Taita Taveta County specifically): 11

Maasai Mara Ecosystem (Narok County and MMNR specifically): 7

The Mid-Term Impacts are going to be achieved from following project **Outcomes**:

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<sup>58</sup> Retaliatory killings of big cats constitute a challenge in the project areas (although less significant challenge than retaliatory killings of elephants), but not yet poaching of big cats. However, populations of big cats should ideally be monitored as there is a risk that international demand may lead to poaching of big cats as well. Unfortunately, as no recent data on lion populations and retaliatory killings of big cats is available, such indicators have not been included. Nevertheless, the rangers at the project sites will monitor evidence of big cat HWC and poaching as part of their duties.

<sup>59</sup> Ngene S. et al. 2017. Aerial Total Count of Elephants, Buffalo and Giraffe in the Tsavo-Mkomazi Ecosystem (February 2017). KWS, TAWIRI, TWRI.

<sup>60</sup> KWS 2017. Aerial Total Count of Elephants, Buffaloes and Giraffes in the Maasai Mara Ecosystem (May 2017). Survey Report. The survey covered Maasai Mara National Reserve and Mara Triangle, Conservancies and their immediate neighborhoods or dispersal areas in the Mara ecosystem. The 2017 survey was carried out between May 15 and 28, 2017 covering an area of 11,681 km<sup>2</sup>

<sup>61</sup> KWS data 2016 provided to the PPG team

<sup>62</sup> KWS data 2016 provided to the PPG team



- **Outcome 1. Increased national and local capacity to fight wildlife crime**, as measured by:
  - The capacity of National Enforcement Agencies to control poaching and IWT (specifically, the UNDP Capacity Scorecard for Kenya Wildlife Service will be used with a baseline value of 70 and an end of the project target of 80), and
  - An officially approved National Anti-Poaching Strategy (at baseline, no such strategy exists, and the target is that one will be officially approved).
  - Strengthened institutional capacity to combat IWT as indicated by:
    - a) the ICCWC Indicator Framework (note – baselines to be determined in year 1)
    - b) National indicator targets for monitoring drawn from ICCWC Indicator Framework baseline assessment.
- **Outcome 2. Increased effectiveness of Conservancies, PAs and local law enforcement agencies to control poaching and IWT in Tsavo and Maasai Mara Ecosystems**, as measured by:
  - Management capacity of Maasai Mara Nature Reserve measured by the METT score with a baseline value of 62, and an end of the project target of 75,
  - Annual number of seizures and arrests from IWT law enforcement in the project areas increased by at least 20% by mid-term due to increased LE efforts, and stabilized or reduced by end of project due to the deterrence effect of more effective LE. Increase in the ratio of prosecutions to arrests made by 20% (mid-term) and 50% (EoP),
  - Strategic engagement of communities in both Tsavo and Maasai Mara ecosystems in surveillance, monitoring of wildlife and related issues developed systematically by applying the First Line of Defense (FLOD) against wildlife crime approach in the context of planning for these areas.
- **Outcome 3. Strengthened Community Wildlife Conservancies and increased benefits for local communities from CBWM and sustainable NRM in Tsavo and Maasai Mara Ecosystems**, as measured by:
  - The number of people directly benefiting from CBWM and SLM resulting from this project in the target areas, including through new jobs and enhanced income, and disaggregated by gender (IRRF Indicator 1.3.2a). The baseline value is 0, and the target at least 15,000 people (50% female, 50% male),
  - The total area of new conservancies established with support of the project, with improved wildlife management and under SLM and CBNRM. The baseline is 0 ha and the end of project target 23,000<sup>63</sup> ha,
  - The percentage increase in the average annual income per household in the target conservancies from wildlife conservation and implementation of SLM, disaggregated by gender. The baseline values will be established during the Inception Phase and the end of project target is an increase by at least 10%.
  - Small grants totaling at least USD 150,000 will be disbursed and a Trust Fund established in support of SLM and CBNRM
  - Strengthened engagement of communities in CBNRM through implementation of FLOD approach
- **Outcome 4. Lessons learned by the project through participatory M&E and gender mainstreaming are used nationally and internationally**, as measured by:
  - The number of the lessons learned by the project that are identified and considered in other national and international projects. The baseline value is 0 and the end of the project target is at least 5 lessons used in other projects.
  - The number of women participating in targeted gender-proactive investment, empowerment and capacity building activities at project sites. The project baseline is 0 and the end of the project target at least 1500.

To achieve the Outcomes above following Outputs (project products and services) need to be delivered:

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<sup>63</sup> Total area of new conservancies established in the Maasai Mara ecosystem (at least 1,600 ha) and in the Taita Ranches in the Tsavo ecosystem (at least 21,400 ha) combined

**Component 1.** Strengthening national and local capacity for effective IWT control in Kenya<sup>64</sup>

**Outcome 1.** Increased national and local capacity to fight wildlife crime

- **Output 1.1. Kenya's National Strategy to Combat Poaching and Illegal Wildlife Trade developed, officially approved, and implemented**

As indicated by the ICCWC Indicator Framework Assessment, Kenya does not have a National Strategy to Combat Poaching and IWT. The project will assist the development of such a Strategy in full accordance with the African Strategy on Combating Illegal Exploitation and Illegal Trade in Wild Fauna and Flora in Africa (2016-2025), the East African Community (EAC) Regional Strategy to Combat poaching and Illegal Trade in Wildlife and Wildlife Products (2017 – 2022), the Wildlife Conservation and Management Act (2013), the updated National Wildlife Policy (2017), and the National Wildlife Conservation and Management Strategy.

The formulation process for the National Strategy to Combat Poaching and IWT was launched in June 2017, with the objective to significantly reduce wildlife and forest crime in Kenya by:

- enhancing wildlife and forest crime legislation and judicial processes,
- increasing capacity of law enforcement agencies to implement intelligence, investigation, and prosecution of wildlife and forest crime,
- developing effective collaboration among national and county law enforcement agencies to combat wildlife and forest crime,
- facilitating transboundary and international cooperation to stop illegal wildlife trade,
- Involving local communities and private sector partners in anti-poaching and IWT monitoring, prevention and enforcement,
- decreasing demand for bushmeat via national awareness programmes,
- providing enhanced incentives to local communities to protect wildlife, and
- mobilizing necessary resources to fight wildlife and forest crime effectively.

The Strategy will provide a guiding framework for:

- The full engagement of national security organs such as Police, Kenya Defence Forces (KDF), KFS, and local administrations to reduce wildlife crimes, poaching and unsustainable utilization of wildlife,
- The establishment of a specialized marine anti-poaching patrol unit,
- The establishment of a cross-border law enforcement secretariat for Kenya and adjacent countries and the organization of transboundary anti-poaching patrolling,
- The establishment of a security intelligence toolkit between the different security agencies that will involve local communities,
- The establishment of a well-equipped, rapid anti-poaching response team and patrol units,
- The establishment of a digital radio-communication system and community ranger network,
- The enforcement of intelligence led anti-poaching operations, and
- Training and equipping inter-agency border management committees particularly on border patrols.

The project will support the recently established Working Committee for the development of the Wildlife Strategy (lead by MENR and KWS) to lead a fully open and participatory process with involvement of all interested stakeholders in discussions and the development of the Strategy document. The Strategy is intended to cover a five-year period and be accompanied by a detailed Operational Plan for its implementation, to be agreed with the key law enforcement agencies involved in wildlife and forest crime control (KWS, KFS, KPS, KRA, and KPA). The final documents will be submitted to the Government of Kenya for official approval. The official approval may be

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<sup>64</sup> The UN Environment-GEF project entitled "Enhancing Legislative, Policy and Criminal Justice Frameworks for Combating Poaching and Illegal Wildlife Trade in Africa" will address issues of policy and legislation for all countries included in the project.

facilitated by the Parliamentary Conservation Caucus and ICCF-Kenya. The project will coordinate closely with the UNEP-ICCF regional IWT GEF 6 Project: *Enhancing legislative, policy, and criminal justice frameworks for combating poaching and illegal wildlife trade in Africa*, ensuring full consideration of related policy and legal developments covered by the UNEP-GEF project during the Strategy development.

The implementation of the Strategy will be monitored by the ICCWC Indicator Framework assessments that will be conducted in Year 1 and then repeated in the final year of the project, with a subset of indicators selected as national indicators in Year 1 and measured biennially in Kenya by the MENR, with support from UNODC and WCO.

Specific attention will be given by the Project towards strengthening both national, inter-agency coordination, and vertical coordination (national – local), and institutional linkages in the Strategy and Operational Plan in order to achieve more integrated and efficient delivery of IWT law enforcement. This will include enhanced communications channels and reporting from local (Tsavo and Maasai Mara groups in Outputs 2.1 and 2.2) to national level.

Partners for delivery of the Output 1.1 include MENR, KWS, KFS, Space for Giants, AWF, IFAW, UNODC, ICCF.

- **Output 1.2. Multi-Agency Unit approach to control illegal wildlife and forest trafficking on the Kenya-Tanzania border strengthened and replicated.**

In 2016, the Government of Kenya, with UNODC and WCO, established a Multi-Agency Port Control Unit (MAU) in Mombasa port to strengthen the control the trafficking of illegal wildlife products through the country to South-East Asian markets. The Unit consists of 12 officers from KRA, KWS, KFS, KPS, and KPA. All the officers share common office space, communicate directly with each other, and plan and implement joint inspections of containers, effectively fostering inter-agency cooperation and communication. The Unit is connected with 50 other Multi-Agency Port Control Units in the world and can request other units at destination ports to inspect suspicious containers. Since becoming operational, the unit has successfully identified, profiled, and seized illicit goods, including stolen vehicles, counterfeit goods, as well as internationally protected wildlife, including forest products such as wood. This MAU will receive additional and complementary support through UNDP's Global GEF-financed project entitled "Reducing Maritime Trafficking of Wildlife between Africa and Asia", under which Mombasa port is a demonstration port<sup>65</sup>. The Government of Kenya and UNODC are currently working on other the establishment of a similar MAU at the Jomo Kenyatta International Airport, one of the key exit points for wildlife traffickers in Kenya. Similar MAUs are needed along the Kenya-Tanzania border as it is intensively used by wildlife traffickers for transportation and transit of the products to the exit points to Asia (ports and airports), as well as bushmeat trade between Kenya and Tanzania.

The project aims to support the Government of Kenya to establish a new MAU on the Kenya-Tanzania border in order to demonstrate this approach and document and evaluate lessons learned with a view to its further replication/adaptation for other border crossing areas. The MAU will complement other national efforts to establish a network of MAUs at key border posts and build capacity at the two existing MAUs at Mombasa port and Jomo Kenyatta International Airport (JKIA). Through the additional MAU along the Kenya-Tanzania border, this project will provide strengthened control along the main routes of wildlife traffickers, and which is strategically important for IWT control in Kenya, including wildlife product transportation from the Tsavo ecosystem (mainly consisting of bushmeat to Tanzania), as well as illegal ivory from Tanzania which generally enters through the Taveta, Tarakea and Lungu Lungu border points bound for Kenya's international air and sea ports<sup>66</sup>. There are various options for the operational basis of the pilot MAU - it may consist of an ambulating unit to temporarily and unpredictably enhance the capacity to tackle illegal trade in wildlife at key border crossings, as well as to contribute with the transfer of

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<sup>65</sup> UNDP PIMS+ identification number 5620

<sup>66</sup> Weru, S. (2016). Wildlife protection and trafficking assessment in Kenya: Drivers and trends of transnational wildlife crime in Kenya and its role as a transit point for trafficked species in East Africa. TRAFFIC.

expert knowledge to more permanently enhance the IWT skills at the border posts visited. It could also consist of permanent MAU<sup>67</sup> developments at the various border crossing points to be tested during implementation.

To establish a pilot MAU, the project will support the border post assessments with involvement of the UNODC/WCO personnel to assess effectiveness of cargo operations, current procedures for control of container cargo, revenue collection, facilities and operations, the work of national authorities at the posts, security arrangements, and legal framework. A Steering Committee and an operational Sub-Committee will be established for the border post (according to the UNODC model used and tested for other MAUs in Kenya and abroad)<sup>68</sup>. The Unit will be established based on special inter-agency agreements accompanied with ToR, and will consist of 10-12 officers. The MAU will be provided with necessary equipment (computers, vehicle, motorcycles, etc.) and repetitive training on container control, wildlife product detection and identification, and CITES regulations. The Unit will be able to carry out sting operations to intercept wildlife product contraband illegally transported along the border. The operations of the MAU will be directly supported by the relevant agencies (KWS, KFS, KPS, and KRA) through delegation of staff to it and vertical coordination with the national Wildlife Security Task Force. Technical support to the Unit will be provided by UNODC and WCO. The Unit should aim to strengthen transboundary cooperation with relevant border posts in Tanzania and potentially organize joint operations with Tanzania's law enforcement agencies. Towards the end of the project, an evaluation will be conducted of the effectiveness of the pilot MAU, and the findings made available through the Project Technical Advisory Group and the Global Wildlife Program, for consideration in the establishment of other MAUs on Kenya's borders, and for consideration by other countries faced with similar trafficking problems.

Partners for delivery of the Output 1.2 include UNODC, WCO, KWS, KPS, KFS, and KRA.

- **Output 1.3. Training on wildlife crime related issues conducted for KWS, KRA, NPS and judges in the project areas**

As indicated by the PPG capacity assessment, although the current capacity of Kenya to tackle wildlife and forest crime is relatively high, it is still insufficient for effective control of poaching and IWT at national and county levels. Thus, the ICCWC Indicator Framework assessment (see Annex J) identified some capacity gaps in intelligence, investigation, and prosecution of wildlife and forest crime in the country (lack of sufficient staff, knowledge and skills). For example, KWS and other law enforcement agencies are understaffed with wildlife crime intelligence, forensics, investigation and prosecution experts and need advanced training programmes. The assessment indicated low levels of awareness within the judiciary of the negative impacts and seriousness of wildlife crime in Kenya.

To eliminate this capacity gap the project will develop and provide relevant and repetitive trainings to the key law enforcement organizations, mainly KWS, but also to KPS, KRA, judges, and magistrates in Maasai Mara and Tsavo ecosystems (and mainly in Taita Taveta and Narok Counties). The training will be provided at the location of law enforcement officers by the teams of trainers selected by the PMU to reduce accommodation and travel costs. To develop and deliver the training programmes, the project will build on on-going law enforcement capacity building initiatives implemented in Kenya by UNODC, Space for Giants, IFAW, Freeland Foundation, AWF, and ICCF-Kenya. The project will train up to 100 law enforcement officers in the project areas annually. The following is an indicative list of envisaged trainings to be delivered within the project. This list may be adapted to changing situations and needs in the country and project areas.

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<sup>67</sup> For example at Taveta, Lunga Lungu, Namanga, Isebania or somewhere else.

<sup>68</sup> The MAU project Steering Committee is a higher-level instance at senior level (generally based in the capital). It comprises the relevant stakeholders that have operational and political roles in the operation of the programme. A joint Steering Committee for all MAUs in Kenya may be considered to inter alia ensure the sharing of lessons learnt. The operational Sub-Committees are established at the border posts and are comprised of the managers at working-level (with decision-making powers) from the relevant national law enforcement agencies that are part of the unit and UNODC. It discusses operational aspects and can unblock/facilitate day to day operations and coordination with the agencies. It is comprised by representatives

- Prosecution skills for KWS and ODPD prosecutors (at least 4 trainings in 2018-2023 for 12-19 prosecutors each)
- Basic and advanced investigation for KWS and KFS investigators, including on chain of custody issues for collection of DNA evidence (at least 2 trainings in 2018-2023, and at least 40 officers should be trained);
- Basic and advanced scene of crime management for first respondents for KWS inspectors (at least 4 trainings in 2018-2023 of 20 officers each to prepare them for gazettement);
- Judiciary sensitization (at least 4 trainings in 2018-2023 for 40 KWS and OPDD inspectors);
- CITES regulations and permits for KWS and KRA (3-5 trainings in 2018-2023);
- Training trip to South Africa for two specialists of KWS forensic lab to learn the use of the Freeze Mill for DNA extraction from ivory and optimization of ivory genotyping protocols, and potentially other techniques;
- Support KWS forensic specialists to participate in regional Wildlife Forensic Working Groups established by the TRACE Wildlife Forensic Network
- Other potential training priorities to fill gaps such as anti-money laundering and anti-corruption approaches, management of covert human intelligence sources (informants) for investigators; and identification of CITES species and wildlife products for customs and border posts, will be reviewed during project inception.

The project is going to update special manuals for the law enforcement agencies and judges to provide them with necessary guidance on wildlife and forest crime legislation and investigation techniques and identification of wildlife specimens. The manuals will be distributed among law enforcement officers during trainings and sent by mail to the target county offices and posts. The project will also provide scene of crime toolkits to KWS investigators to enhance quality of wildlife crime investigations and prosecutions. Overall the project is going to target 150-200 law enforcement agents, investigators, prosecutors, and judiciary in the country under this Output. The training activities will be institutionalized for increased sustainability, for example through the KWS Manyani Academy.

Partners for delivery of Output 1.3 include UNODC, Space for Giants, IFAW, Freeland Foundation, AWF, and ICCF-Kenya.

- **Output 1.4. International agreements between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and Tsavo-Mkomazi Trans-Frontier Conservation Areas (TFCAs) developed and submitted to the country governments for signing**

The two project areas represent a considerable part of the continuous transboundary savannah landscape at the border of Kenya and Tanzania that potentially can be designated as two Trans-Frontier Conservation Areas: Mara-Serengeti and Tsavo-Mkomazi. To support international efforts for conservation and sustainable development of two transboundary landscapes, ensure habitat connectivity and uninterrupted wildlife migration corridors (which is critical for the ability of wildlife to adapt to climate change), facilitate international tourism development, and enhance transboundary conservation cooperation of Kenya and Tanzania, this project will support the official establishment of both TFCAs. The following activities will be supported:

- Drafting of MOUs on the intention to establish the Mara-Serengeti and the Tsavo-Mkomazi TFCAs, facilitation of international meetings and consultations, and signing of MOUs on the intention to establish the TFCAs by the Governments of Kenya and Tanzania,
- Drafting of a treaty, or treaties, between the Governments of Kenya and Tanzania on official establishment of the Mara-Serengeti and Tsavo-Mkomazi TFCAs<sup>69</sup>) and facilitation of the process towards its approval and signing;
- Development of Terms of References for organizational and operational arrangements for Mara-Serengeti and Tsavo-Mkomazi TFCAs, including a TFCA Secretariat (for the coordinated management of the TFCAs), a Committee of Ministers responsible for environment, wildlife, tourism and natural resources in Kenya and Tanzania, a Technical Committee, relevant working groups, and National Steering Committees.

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<sup>69</sup> Potentially drawing on the KAZA TFCA Treaty (signed in 2011 between Angola, Botswana, Namibia, Zambia, and Zimbabwe).

This project will also contribute to the development of partnership agreements with other donors for the future sustainability of the TFCA Secretariat. One of the key tasks of the TFCA Secretariat will be to involve donors and investors in the management and development of the TFCAs, including through Integrated Development Plans for both TFCAs.

Partners for delivery of Output 1.4 include the Governments of Kenya and Tanzania, EAC, Peace Parks Foundation, AWF, KWCA, IUCN.

**Component 2.** Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara Ecosystems

**Outcome 2.** Increased effectiveness of Conservancies, PAs and local law enforcement agencies to control poaching and IWT in Tsavo and Maasai Mara Ecosystems

- **Output 2.1. Inter-agency-community Wildlife Security Hub in Taita Ranches (Tsavo Ecosystem) established and functional**

While law enforcement is important throughout the entire Tsavo ecosystem, the Taita Ranches area has been identified by all stakeholders to be of critical importance to improving and securing key areas. As such, the **Taita Taveta Environmental Coordination initiative (TTECI)** has already been established. **TTECI** is a strategic level planning and steering committee, chaired by Tsavo Conservation Group, and bringing together KWS, the County Government of Taita Taveta (CGTT) and the Taita Taveta Wildlife Conservancies Association (TTWCA) (see also Component 3). These critical entities with overlapping roles, responsibilities, and jurisdictions did previously not have a common coordinating platform, resulting in duplication of efforts and conflicts. **TTECI** is now conducting regular tasking and coordination meetings between the organizations. However, no inter-agency, anti-poaching efforts have been organized in the Taita Ranches area yet. While areas of the Tsavo West and East National Parks are relatively well covered by patrolling by anti-poaching groups of KWS, David Sheldrick Wildlife Trust, and Tsavo Trust, the Taita Ranches area remains almost unprotected from poaching.

To build and strengthen inter-agency anti-poaching efforts in the Taita Ranches, the project will cooperate with TTECI (TTWCA, KWS, Tsavo Conservation Group, and KPS), LUMO Trust/Conservancy, David Sheldrick Wildlife Trust, Tsavo Trust, AWF, and USAID to organize a complex wildlife security system built on the following elements:

- A Wildlife Security Hub (base) located in Lumo Ranch, in Lumo Community Wildlife Sanctuary (however, the location of the hub can be changed after further consultations with stakeholders),
- 5 patrolling community ranger groups (7 inspectors each) strengthened by officers from KWS and KFS,
- One Quick Response Unit (5 inspectors) to support patrolling groups in case of emergency, and
- Coordination and cooperation with the other 16 anti-poaching brigades operating mainly in Tsavo West and Tsavo East NPs from KWS, David Sheldrick Wildlife Trust, Tsavo Trust.

The Wildlife Security Hub will have a strategic position in the elephant migration corridor between Tsavo West and Tsavo East NPs as it will allow for almost complete VHF coverage over the Taita Ranches area with the help of two repeaters and as it will have good road access the year around. In addition, the Hub will have the infrastructure necessary to cater for 5 patrol community ranger groups supported by inspectors of KWS and KPS. The capacity of the Hub will be 40-45 inspectors, potentially including female rangers (co-financed by USAID). The Hub will have 24/7 VHF radio watch for communication with patrol groups in the field, as well as the KWS bases and groups in Voi, Rukinga, Taita, Kilbasi and Muhoho Ranches, and the anti-poaching brigades supported by David Sheldrick Wildlife Trust and Tsavo Trust. The hub will have a GIS computer station (ArcGIS 10) to allow real time monitoring of patrol group movements over the area using SPOT Gen3 messengers (<https://www.findmespot.com/en/index.php?cid=100>) to allow communication with rangers even in the absence of radio coverage and rapid analysis of poaching situations in the area using information from local informers. The Hub

will have 24/7 watch of the Quick Response Unit (QRU) provided with two Toyota Landcruiser Pickups to support patrol groups in case of emergency. VHF connection of the Hub with KWS posts and other anti-poaching brigades will allow effective inter-agency enforcement operations in the area. The Hub will belong to TTWCA but will be used by KWS and KPS inspectors too, based on the inter-agency cooperation agreements. Necessary equipment and infrastructure for the Hub and rangers will be provided by the project.

5 inter-agency brigades and QRU will consist of 40 conservancy rangers trained at KWS Law Enforcement Academy at Manyani and supported with uniforms and field equipment with USAID and AWF support. The conservancy rangers will be given National Police Reserve Status providing them with a legal mandate to carry out their duties and enabling them to carry police-issued firearms. This still needs to be legally achieved, and this project will support a policy shift in this regard. The brigades will be supported by 10-15 KWS and KPS inspectors based on the inter-agency agreements between TTWCA, KWS and KPS. The brigades will be transported by vehicles to the target areas and will perform on-foot patrolling for 5-10 days and then be picked up and brought back to the base. The brigades will use an opportunistic patrolling approach with a freedom to change patrolling route based on changing circumstances. This tactic will make the brigades behavior almost unpredictable for poachers and traffickers. The brigades will have permanent connection to the hub via VHF radios and satellite SPOT messengers and will be able to coordinate their activities with other brigades as well as other posts and bases of KWS, KPS and NGOs in the area. If necessary, the brigades can be supported by QRU, KWS, KPS, and other brigades supported by David Sheldrick Wildlife Trust and Tsavo Trust. The sustainability of the suggested wildlife security system will be ensured by joint funding of the Taita Taveta County government, conservancies and NGOs.

The strategic engagement of communities in both Tsavo and Maasai Mara ecosystems in surveillance, monitoring of wildlife and related issues will be developed systematically by applying the First Line of Defense (FLOD) against wildlife crime approach in the context of planning for these areas (see Output 3.1).

Partners for delivery of Output 2.1 include Conservancy organisations, KWS, KPS, Taita Taveta County Government, David Sheldrick Wildlife Trust, Tsavo Trust, and AWF.

- **Output 2.2. Maasai Mara National Reserve – Conservancy Anti-Poaching Task Force established and supported with training and equipment**

In the Maasai Mara ecosystem, the Maasai Mara National Reserve is managed under the Narok County Government with law enforcement managed under the park warden's responsibilities (with the help of about 350 rangers). The surrounding Maasai Mara conservancy areas are managed by the various conservancies coordinated via the Maasai Mara Wildlife Conservancy Association (MMWCA). There are 15 conservancies with a security force of 258 community scouts. However, no formal law enforcement arrangements between the Reserve and conservancies security forces exist, but their actions are symbiotic with the agency on site taking charge and handing over to responsible party once they are on site. The Reserve and KWS security forces are responsible for driving animals back to the park. The Narok County Government and KWS have formal engagements to secure Mara's wildlife, based on national policy and legislation frameworks. Development of effective and mutually beneficial National Reserve – Conservancy law enforcement cooperation can significantly increase the level of protection of the entire Maasai Mara ecosystem through the proactive involvement of local communities in anti-poaching efforts.

Thus, the project will facilitate establishment of the Maasai Mara National Reserve – Conservancy Anti-Poaching Task Force in the Narok County as the key collaborative mechanism between the Reserve and its surrounding local communities. The basic document for the Task Force will be a collaboration agreement between the National Reserve, adjacent conservancies forming its buffer zone, MMWCA, and KPS. The agreement will identify responsibilities and roles of all Task Force members. A Coordinating Committee will be established to manage joint Task Force operations, exchange information, and enhance the capacity of Task Force members. The Coordinating Committee will also be responsible for the development of annual plans for the Task Force and for producing annual reports on the results of the inter-agency-conservancy collaboration to the Narok County government.

The project will support the Task Force with four vehicles, VHF radio equipment, and personal field equipment for 30 Conservancy and 30 NR rangers assigned to carry out Task Force operations. Based on the selection of the Task Force Coordination Committee, 40 rangers (20 from NR and 20 from Conservancies (e.g., from newly established Conservancies)) will be trained at the KWS Law Enforcement Academy in Manyani as required by WMCA 2013. The initial operations of the Task Force will be supported through the project, while the main funding for operational expenses will be provided by the NR and the Conservancies themselves.

Partners for the delivery of output 2.2 may include Conservancy organisations, KPS, and local Government.

### **Component 3. Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara Ecosystems**

**Outcome 3. Strengthened Community Wildlife Conservancies and benefits for local communities from CBWM and CBNRM in Tsavo and Maasai Mara Ecosystems**

- **Output 3.1. Ecosystem Management Plans for Tsavo and Maasai Mara ecosystems developed, officially approved, and implemented in cooperation with local communities, NGOs, and the private sector**

Despite the existence of the connected ecosystems to be targeted, wildlife conservation planning has focused on the national parks and reserves with minimal regard to the larger components of the ecosystem. The new dispensation of wildlife conservation through the Wildlife Conservation and Management Act 2013 requires, under section 4 of its guiding principles, that conservation and management of wildlife shall be encouraged using an **ecosystem approach** as advocated by the CBD. Towards achieving this principle, the Wildlife Act, under its section 5, requires that norms and standards **for eco-system based conservation plans** and measures for protection of ecosystems are developed through the National Wildlife Conservation and Management Strategy. The Ecosystem Management Plans (EMPs) should follow a set of key requirements:

- be designed according to a Result-Based Management (RBM) approach with clear identification of the goal of the Plan (status of Conservation and Management Targets - endangered wildlife populations and area of key ecosystems) and its objectives (reductions of direct threats to the conservation and management targets) and clear links between the plan's results at different levels, i.e. its Outputs (products and services of the plan implementing team), Outcomes (increased level of NRM), Mid-Term Impacts (reduction of direct threats for conservation and management targets), Long-Term Impacts (improvement of status of key wildlife species and ecosystems important for district development). Results at all levels should be measurable through appropriate indicators,
- must have a clear Operational Plan with timelines for the delivery of the Outputs, identify responsible persons, required budgets, and indicate the sources of the budget,
- be designed for no more than a 10-year period,
- be based on adaptive management, including lesson learning and a monitoring and evaluation plan,
- be in agreement with KWS, and the plans of other relevant agencies and programmes for the particular counties,
- be officially approved and gazetted,
- be developed in a fully participatory approach and involve all key stakeholders in the planning process, and
- have a clear implementation mechanism (e.g., Ecosystem Management Committees, including representatives of RDC, communities, agencies, private sector and NGOs with designated responsibilities, and an identified funding mechanism).

The project will support the development of two such EMPs for the Tsavo and Maasai Mara Ecosystems.



### *Ecosystem-based Land Use Plan for the Taita Taveta County*

The Taita Taveta County Government is currently preparing a county level Land Use Plan (LUP). A Tsavo National Park plan already exists, and covers the majority of the land in the County. While this project will facilitate the full engagement of the TTCEi and other key stakeholders in the development of the LUP and the integration of ecosystem based planning, no stand-alone new planning process will be started. The Project aims to ensure that the views of the Conservancies are fully reflected in the Country-level LUP, and help position Taita Taveta as “the green heart of Kenya” as a major part of the Country comprises either National Park or Conservancy areas. The project will focus on providing technical expertise to critical planning issues such as tourism development, conservation and infrastructure (e.g. the new highway), instead of developing a new plan. This may be facilitated in association with the KWCA.

To address the overgrazing, rangeland degradation and competition between livestock and wildlife for forage resources, the Project will focus on developing and implementing range management plans, to be integrated into the ongoing Taita Taveta County LUP. The range management plan(s) would:

- (a) identify relevant rangeland management best practices and enhance local livestock management capacity and ensure the development of coordinated livestock management across currently unmanaged rangelands within the Taita Taveta ranches and Community Conservancies,
- (b) enhance the rangeland productivity to sustainably support the livestock previously utilizing the National Park (and thereby relieve the pressure on the National Park by reducing illegal cattle incursions),
- (c) identify and enable new routes to markets and develop value added products, and
- (d) strengthen the sustainable environmental integrity of the Taita Taveta ranches and community conservancies for humans, livestock and wildlife. Wildlife- and nature-based income generating opportunities such as through tourism will be integrated into the plan. The LUP will be officially approved by the Taita Taveta County Government. The project will facilitate the establishment of an implementation mechanism through the LUP Implementation Committee that will include the local government, KWS, NGOs, and Conservancy representatives having stakes in the sustainable development of the area.

### *Maasai Mara Ecosystem Plan*

The need to develop a Mara ecosystem plan<sup>70</sup> was identified during a Mara-Serengeti cross-border meeting held at the end of 2016 and which aimed at improving measures to secure and conserve the larger Mara-Serengeti ecosystem. A group of stakeholders was identified to spearhead the development of the Mara ecosystem plan, including conservancies, MMWCA, KWS, the Narok County Government and tourism partners in Mara.

The EMP will be developed based on the Protected Area Planning Framework (PAPF), a planning framework developed by the African Wildlife Foundation (AWF), and results-based management principles. The PAPF borrows and is often integrated with principles from other planning approaches such as the IUCN WCPA Guidelines for Management Planning of Protected Areas<sup>71</sup> and Open Standards for Practice of Conservation by the Conservation Measures Partnership<sup>72</sup>. The PAPF has been used for a number of protected areas in Kenya including the development of the Amboseli Ecosystem Management Plan, led by the AWF. The framework allows for a well-defined and consistent planning framework that provide practical and effective guidance and support for protected area and ecosystem management. Following the PAPF as a guiding framework also ensures a common process in developing management plans in order to have similar and easily understandable structures. More importantly, the framework is easily adaptable to suit different contexts, timelines, and budgets. The PAPF provides the key steps,

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<sup>70</sup> The planning of the Mara Ecosystem should conserve the value of North Serengeti and Mau Forest water catchments. In the Serengeti, the management regime will have an impact on the security for migratory wildlife and the Mau water source which is the main lifeline of the Mara (Mara River).

<sup>71</sup> Thomas, Lee and Middleton, Julie, (2003). *Guidelines for Management Planning of Protected Areas*. IUCN Gland, Switzerland and Cambridge, UK. ix + 79pp.

<sup>72</sup> <http://cmp-openstandards.org/about-os/>

planning events and key outputs expected in the development and gazettement process of the ecosystem management plan for Maasai Mara.

To ensure a strategic engagement of communities in the respective ecosystems, the First Line of Defense (FLOD) against wildlife crime approach will be used to inform the planning process. The FLOD approach, developed jointly by IUCN's Eastern and Southern Africa Regional Office, IUCN's Sustainable Use and Livelihoods Specialist Group (SULi) and IIED, consists of a methodological framework that builds on a baseline theory of change and a set of tools designed to help enhance understanding of the conditions under which community engagement against IWT does and does not work in different contexts (<https://goo.gl/G1mXF9>). The knowledge gained from the approach can help improve existing and planned interventions to combat IWT (such as awareness raising of IWT and HWC issues, community engagement in IWT surveillance, and monitoring of wildlife populations) and CBNRM strategies. The theory of change developed under the FLOD approach will be used as a basis for assessing the status of community involvement, information gathering, formulating strategies and pathways for effective engagement of local communities. As in the case of Taita Taveta plan, the Maasai Mara Ecosystem Plan will have an Ecosystem Committee with representatives of key stakeholders to facilitate the implementation, monitoring and evaluation of the plan in a fully participatory manner.

Partners for the delivery of Output 3.1 may include Conservancy organisations, local government, AWF, IUCN, Savory Institute, Northern Rangeland Trust, Maasai Mara University, Clemens University

- **Output 3.2. At least two Community Wildlife Conservancies (one to two in the Maasai Mara ecosystem and One in the Tsavo ecosystem) formally established and have sufficient management capacity**

#### *The Tsavo ecosystem*

There are 23 established ranches and conservancies in the Taveta area covering a total area of 320,000 ha. Despite being primarily managed for livestock, the area has a high population of wildlife and serves as a migratory corridor and dispersal area for wildlife between the Tsavo East and Tsavo West National Parks. Considering this fact, the landowners identified the need for collective management of both wildlife and livestock in this area as one Conservancy. It is noted that key motivations behind the establishment of the Conservancy included the income generating opportunities provided, for example, by wildlife tourism (the area is located in direct proximity to Mombasa which is the key international tourism destination in Kenya), possibilities for sustainable livestock management with seasonal rotation because small ranches cannot maintain livestock all year round, and better protection of the area from illegal livestock invasion and grazing from external communities, which often leads to conflicts and poaching.

Taita Taveta Wildlife Conservancy Association, with support from the project, will facilitate the process of establishing one large and encompassing Conservancy in the Taita area, initially through the creation of a new conservancy on the Mgeno Ranch. The Conservancy will be provided with required training and mentoring from KWCA to develop sufficient capacity to manage it. The Conservancy Natural Resources Management Plan will be produced with strong connections to the Taita Taveta County ecosystem-based land use plan (Output 3.1) with a focus on wildlife (and wildlife tourism) as well as livestock as the key source of income. If the resources required for such an investment can be identified, an approach like the Mara Beef business model (based on sustainable livestock grazing without harming wildlife populations) may be replicated in the area as a means to generate increased sustainable income for the Mgeno Range and other communities in the Taita area. The project will support the development and implementation of range-land use protocols, including migratory herders and appropriate law enforcement in the area under the authority of the Taita Taveta Wildlife Security Hub (see Output 2.1). The project will also support the development of appropriate documentation for the larger area to be officially designated as having conservancy status, the elaboration of relevant by-laws and a capacity development plan.

#### *The Maasai Mara ecosystem*

In the Mara ecosystem, the project will support the establishment and initial management of one conservancy with an area of at least 1,600 ha. Areas envisaged include a stronghold for black rhino which also is a transit route for illegal trafficking of wildlife trophies through forests and porous border to the Loliondo Game area in Tanzania. Despite important human settlements, the area is a key wildlife corridor, and there is thus a need to safeguard a harmonious co-existence between wildlife and humans and the Project will explore the establishment of community conservancies within the public lands. Areas considered also include a significant elephant corridor which faces the risk of invasion due to the absence of structured protection and conservation of the elephants and other wildlife. Furthermore, one of the areas considered neighbors an agricultural community where human-wildlife conflict is a threat, as is degradation of the landscape, mostly through charcoal burning and the risk of conversion of the wildlife areas to cultivation lands. The Project will set up conservancy governance structures, provide necessary conservancy management trainings, develop legal entity and land leasing documents, prepare Conservancy plans (resources mapping, management plan, sustainability and grazing plans), and set up a conservancy volunteers campsite and wildlife tourism programmes.

Partners for the delivery of Output 3.2 may include Conservancy organisations, local government, NGOs, and potentially tourism operators, meat processing and investors

### **Output 3.3. Revenue-generating options piloted within the target conservancies in Tsavo and Maasai Mara Ecosystems**

In addition to the other work undertaken by this Project, it is crucial to ensure that the local communities within the target Conservancies in the Tsavo and Maasai Mara ecosystems are able to make economic gains from wildlife conservation and sustainable use of natural resources as such gains are closely linked to the willingness of the communities to engage in conservation and in law enforcement. Sufficient income-generation from such activities will also deter local communities from engaging in poaching, or assisting poachers and those engaged in unsustainable grazing practices, or turning a blind eye towards their activities. This Project will contribute to the piloting of ideas for activities providing enhanced revenue from sustainable use of wildlife and sustainable land management. This includes the identification of new sources of income, exploring value-addition opportunities in existing production of goods and services (including nature-based tourism), and activities of a similar nature identified in the Management Plans to be developed under Output 3.2. Priority areas for support include innovative ways to address human-wildlife conflict, fencing and overgrazing. It will also entail extension support to farm households to undertake sustainable land management activities, including intensified crop farming with soil and water conservation as well as agroforestry. Opportunities and solutions of particular interest or importance to women will be prioritized.

Initial activities will be identified during the Inception Phase, with the final content decided through a process of adaptive management and stakeholder participation in order to ensure strong local relevance and ownership. The results will be monitored through indicators such as the number of people (disaggregated by gender) directly benefitting in the project area from CBWM and other forms of sustainable NRM as a result of the Project, as well as the percentage increase in average annual household income from wildlife conservation and SLM in the target conservancies (also disaggregated by gender).

In addition to the piloting of revenue-generating opportunities, and to complement the effects of the establishment of the Trust Fund in Output 3.4 below, the Project will use UNDP's micro-grants facility to provide small grants amounting to USD 150,000 in total to be divided to the proposed new conservancies<sup>73</sup>. These funds should be used for the most relevant needs in accordance with the Management Plans to be developed under Output 3.2, and would include investments in sustainable land management and farming (including value-addition), ecotourism (including village visits and souvenirs), addressing human-wildlife conflict issues, and (where appropriate) sustainable

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<sup>73</sup> Small grants will be provided according to the applicable UNDP Policy for Micro-capital grants for credit and non-credit activities. The total amount budgeted for small grants in this Project via UNDP's micro-grants mechanism is USD 150,000 for all conservancies combined.

bushmeat hunting and processing for sale, along with technical assistance and training for the members of the conservancy communities for the setting up and management of micro- and small enterprises, extension services, and marketing, with a proactive focus on activities to enhance women's economic empowerment.

Partners for the delivery of Output 3.3 may include Conservancy organisations, KWCA, private sector

- **Output 3.4. Small Grant Facility for Conservancies is established and managed by KWCA and provides support to target conservancies in Tsavo and Maasai Mara Ecosystems**

There are several examples of strong social and environmental roles played by wildlife conservancies with low economic gains. Conservancies often provide social services such as security, community livelihoods, infrastructure (roads, dams, boreholes, and cattle dips), amenities (health and education), livestock management and marketing, and water provision<sup>74</sup>. Such social services are regularly the mandate of local and/or national governments and limited budgetary support to conservancies has been provided in some cases. Access to more sustainable financing by conservancies, especially nascent ones, to enable them develop programs, manage operations and create income generating activities has been limited. Section 23 of the WCMA 2013 requires the establishment of a Wildlife Endowment Fund, vested in the KWS Board of Trustees, with the mandate to develop conservation initiatives of national parks, reserves and conservancies, and its source of financing being financial resources appropriated by Parliament, fees levied from the payment for ecosystem services, and investments made by the KWS board. While the Endowment Fund has been considered an important first step by the Government towards financially supporting conservancies, the structure and management of the Fund has been regarded as more favorable to national parks and reserves compared to conservancies. Moreover, the structure of the Fund limits private-public partnerships and its ability to attract investments from diverse sources.

KWCA, together with The Nature Conservancy, in June 2017, proposed an amendment to the Wildlife Act 2013 to replace the Endowment Fund with an independently governed and managed fund to be known as the Wildlife Conservation Trust Fund. This Fund is proposed to be governed in the form of trusteeship through technically skilled persons in investment development, financial management, private sector and corporate engagement, conservation NGOs, conservancy landowners and government representatives. Private investments, diverse income generating activities, government budgetary allocations and payments for ecosystems are some of the proposed means of financing the fund. KWCA plans to support and facilitate the implementation and establishment of the Fund even in the absence of its adoption in the Wildlife Amendment Act. Unlike the Endowment Fund, the Trust Fund will be designed to operate both as a grant facility and micro-loan facility open to conservancies to support different components of conservancies development. The Trust fund will also be flexible to accommodate nascent conservancies and those at the stage of establishment. The Trust Fund may provide following additional services to Conservancies:

- Marketing of Conservancy tourism on the international market,
- Promotion of Conservancies for carbon and wildlife credits,
- Linking Conservancies with the private sector for investments, corporate conservation and social responsibility programmes, and involvement of the private sector in wildlife conservation,
- Defend Conservancy interests in courts, and
- Investments on behalf of Conservancies.

With the aim of ensuring the longer-term sustainability of the newly created conservancies in Output 3.2. above, and to sustain and broaden the effects of the efforts made under Output 3.3. above, the Project will provide technical support for the establishment of the Wildlife Conservation Trust Fund within KWCA to service Kenya's conservancies. The GEF project will not capitalize this fund, only assist in the establishment of its governance and operational arrangements. This would, for example, include consultations on, and the drafting of, necessary documentation

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<sup>74</sup> African Wildlife Foundation (2016). African Conservancies Volume: Towards Best Practices. Volume 1 in the Series *African Conservancies*, African Wildlife Foundation, Nairobi

relating for example to the establishment of a Board of Trustees/advisory committees, the development of a strategic plan, business plan/investment plan, operating manual etc., contract fund investment manager, helping set up the granting processes and reporting procedures etc. Moreover, the Project will provide assistance with the identification and selection of competent individuals to serve on the organs of the Trust Fund, ensure transparent and cost-effective management of the Trust Fund to enhance its credibility among potential contributors and offer strategic support to identify and reach out to, and work to close deals with, potential contributors. The existence and efficient management of this Trust Fund will enable the newly created conservancies in Output 3.2 to continue to develop their business ideas based on a sustainable use of natural resources beyond the lifespan of the project.

Partners for the delivery of Output 3.4 may include Conservancy organisations, KWCA, private sector

#### **Component 4. Knowledge Management, M&E and Gender Mainstreaming**

**Outcome 4.** Lessons learned by the project through participatory M&E and gender mainstreaming are used nationally and internationally

- **Output 4.1. Detailed gender mainstreaming strategy developed and used to guide project implementation, monitoring and reporting**

Given the gender inequalities in rural communities in Kenya, ecosystem degradation, wildlife depletion and climate change consequences are likely to magnify existing gender disadvantages. Women can be encouraging community leaders, natural resource managers, and even anti-poaching actors, and are able to make considerable input into development of strategies and approaches to cope with IWT, HWC, habitat degradation, and climate-related risks. The inclusion of women in community-based management structures (like Conservancies) guarantees that their valuable knowledge and skills are included in decision-making process for sustainable NRM. Based on the Gender Analysis and Mainstreaming Plan conducted during the PPG (see Annex G), this project will build on UNDP's, and other gender-oriented organizations, experience to develop and implement an effective, detailed gender mainstreaming strategy to guide the project implementation. This will aim to build project partner capacity to mainstream gender and use tested approaches to Women's Economic Empowerment, empowering women as agents of change, rather than as victims of habitat degradation, human-wildlife conflict, and climate change.

The Project's detailed and comprehensive Gender Mainstreaming Strategy should include the following core components (also indicated in Annex G. Gender Analysis and Mainstreaming Plan):

- **Gender Planning:** Engage different stakeholders and implementing partners in identifying the gender aspects of poaching, illegal trade in wildlife, human-wildlife conflict, habitat degradation and climate change and adaptation strategies. The framing of gender issues will inform the development of a gender mainstreaming strategy;
- **Gender Mainstreaming Capacity Building in Implementing Partners, Stakeholder and the Community:** Strengthen the institutional capacity of all implementing partners, key stakeholders and the beneficiary communities to include gender-related issues, using gender mainstreaming frameworks and tools such as the Household Decision Mapping Framework and the Gender Action Learning Systems (GALS) Methodology for empowering households to transform gender relations. This will include reviewing institutional policies and strategies for gender mainstreaming, strengthening the capacity of staff in all key project positions to take gender-related concerns into account and promote community dialogues on gender,
- **Gender Mainstreaming Knowledge and Evidence Generation for Policy Influencing:** Based on the project M&E framework and Gender Mainstreaming Plan, develop a framework for impact assessment of Gender Performance by the project activities. Monitor households for project-relevant gender indicators throughout the project duration. For example, the project can have a cohort study that follows a certain number of households and documents changes. The documentation and sharing of gender-related lessons learned in the form of impact stories, training manuals, and reports will be ensured. The project should ideally also facilitate policy dialogue on key institutional barriers and influence policy shifts.

- Operational Monitoring, Evaluation, and Learning: Monitoring and learning visits and reporting on progress.

Partners for the delivery of Output 4.1 include MENR, all Project partners

- **Output 4.2. Participatory project monitoring, evaluation and learning framework developed and implemented**

Participatory project monitoring and evaluation is a key part of the RBM approach practiced by UNDP and GEF for all project and programmes. The project will strengthen connections with the Global Wildlife Program and the global project under this, including through use of the GWP Tracking Tool and the project Results Framework. This will enable project performance to be reliably monitored using a shared and quantitative set of indicators. Monitoring and evaluation activities will include the regular review and updating of the M&E Plan (Section VII) with indicators, baselines and targets, annual work plans and budgets and the generation of comprehensive monitoring and progress reports. The Project will ensure that gender mainstreaming and SESP requirements are met as an integral part of the project planning, implementation and M&E cycle. Regular Project Board and Technical Advisory Committee meetings will enable key stakeholders to be actively involved in a participatory M&E process. Lastly, the project will conduct a Mid-term Review and Terminal Evaluation to take stock of progress and the implementation process, emerging constraints and (at mid-term stage) to formulate possible remedial measures or adaptive management to ensure optimal implementation efficiency and knowledge generation. Thus, the project will develop a M&E system and encourage stakeholders at all levels to participate in M&E to provide sufficient information for adaptive decision making. The project will use standard UNDP M&E approaches and procedures (see the Monitoring and Evaluation Plan section for details) and the following groups of indicators:

- **Output Indicators** will be used to measure delivery of the project outputs (the project's products and services) and monitor routine project progress on a monthly and quarterly basis. Collection of information on the output indicators will be the responsibility of the PMU and Project partners and be represented in the project Quarterly and Annual Reports;
- **Outcome Indicators** will be used to indicate progress toward and achievement of the project outcomes (e.g., capacity or behavioral changes resulting from the implementation of the project outputs, reported on by target groups of stakeholders). Collection of information on the outcome indicators will be performed by the PMU and Project partners, or might require hiring of consultants. Project progress against outcome indicators will be reflected in the Annual, Mid-Term and Terminal Project Reports, GWP GEF TT, and Mid-Term and Terminal Evaluation Reports;
- **Mid-Term Impact Indicators** will demonstrate how the project outcomes contribute to mid-term project impacts (e.g., reduction of direct threats for Conservation and Sustainable Development Targets). Collection of information for mid-term impact indicators might require special consultants and appropriate funding and will generally be performed at mid-term and completion of project implementation to compare project progress in reducing key threats against baseline data. It is envisaged that information on mid-term impact indicators will be presented in the GWP GEF TT, Mid-Term and Terminal Project Reports, and Terminal Evaluation Report;
- **Long-Term Impact Indicators**, or Global Environmental Benefits, will be used to measure the level of achievement of the ultimate project impacts (status of wildlife populations, their habitats, improvements in the livelihood and benefits for target communities). Long-term project impacts can only be partially achieved during the project lifetime (5 years) and might fully materialize several years after the project is over. Information for long-term impact indicators will be collected with wide involvement of the project partners (e.g., KWS to provide information on the status of wildlife populations) and consultants, and will be reflected in the GWP GEF TT, Mid-Term and Terminal Project Reports and the Terminal Evaluation Report;
- **Gender Indicators** will be used to assess the impact of the project activities on gender equality and the involvement of women in sustainable wildlife and NR management. The ongoing data collection on these indicators will be undertaken annually by the PMU in the framework of the Gender Mainstreaming Strategy (Output 4.1).

Partners for the delivery of Output 4.2 include MENR, all Project partners

- **Output 4.3. Lessons learned from the project shared with GWP and other conservation programmes**

This project is part of, will contribute to and learn from, the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and also the GEF Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (9439 – Resubmission of 9071), providing a mechanism for project assurance and knowledge sharing. An effective M&E system (Output 4.2) and regular analysis of M&E data will allow the project: (1) to identify the most effective project strategies, (2) to check project assumptions (hypotheses) and risks, (3) to prepare management responses to changing political, economic, and ecological environments, (4) to learn from successful and unsuccessful project experiences, (5) to incorporate learning in the project planning and adaptive management, and (6) to share experiences among GWP, GEF and other projects in Africa and the world, and learn from them at the same time. Lessons learned through the project cycle will be reflected in the Annual Project Reports to ensure that the project uses the most effective strategies to deliver the intended project Outputs and achieve project Outcomes in spite of a changing environment.

To systemize, pick up, and share its lessons and knowledge, the project will use different means of communication:

- project web-site with available project reports, publications, press-releases, datasets, draft and final legislative documents, developed management plans, etc.;
- quarterly or 6 monthly project information bulletins;
- special paper publications, including manuals, guidance, methodologies, etc.;
- publications and presentations at the Virtual Knowledge Exchange hosted by the Global Wildlife Program;
- collaborative and experience exchange meetings with other GWP projects in Africa and Asia and other relevant projects;
- exchange visits for local communities, PA and LE agencies to demonstrate good practice;
- development of knowledge platforms for sustainable wildlife management and tourism run by KWS;
- publications in mass media, conservation, and scientific journals; and
- other available and effective means of communication.

Partners for the delivery of Output 4.3 include MENR, all Project partners

## Partnerships and Other Initiatives

Given limited GEF funds and the project lifetime, to increase effectiveness, sustainability, and stakeholder ownership of the project and its results, the project will actively collaborate with a significant number of on-going projects and programs to leverage funding, avoid thematic intersections and double-funding, achieve synergies in delivery of conservation results, share lessons learned and increase the overall positive impact on wildlife in Kenya. A list of baseline projects and partnerships is shown in Table 4 below. Please note that this table only provides an overview of the most relevant baseline investments and partnerships.

**Table 4:** Overview of key baseline programmes relevant to this Project

<b>Funding/ Implementing entity or project/program</b>	<b>Planned and ongoing programmes and projects with objectives and targets, as well as information about implementation periods</b>	<b>Linkages with this new UNDP/GEF 6 IWT Project</b>
United States Agency for International	Maasai Mara Conservancy Association project (ending in 2018) supports the Maasai Mara Wildlife Conservancy Association in a coordinated law enforcement approach and livelihoods project,	<ul style="list-style-type: none"> <li>• Learning from USAID interventions, successful approaches will be built upon</li> </ul>

Funding/ Implementing entity or project/program	Planned and ongoing programmes and projects with objectives and targets, as well as information about implementation periods	Linkages with this new UNDP/GEF 6 IWT Project
Development (USAID)	IWT trafficking in Tsavo and Amboseli, 2 years (2017/18): Support community conservancies i.e. in Taita Taveta and Malkuhhalaku in a coordinated law enforcement approach and livelihoods project.	<ul style="list-style-type: none"> <li>Financing of relevant complementary activities carried out by project partners (MMWCA and TGC) reflected in these organizations co-financing commitments</li> <li>Coordination through donor group</li> </ul>
International Conservation Caucus Foundation (ICCF)	Establishment of Parliamentary Conservation Caucus in Kenya; Educational programs for members of the judiciary and assisting in the development of prosecutor guidelines for Kenya to deal with wildlife and forest crime; Facilitation of international agreements between African countries to fight IWT	<ul style="list-style-type: none"> <li>Partnership in delivery of the project Outputs 1.1.-1.4;</li> <li>Participation in the Project Board;</li> </ul>
UK Department for International Development (DFID) and Department for Environment, Food and Rural Affairs (DEFRA)	<p>IWT Challenge Fund: ongoing projects from Round 1 to Round 3: (Round 4 currently under review of applications)</p> <ul style="list-style-type: none"> <li>IWT021 &amp; 043: Following the money II: IWT capacity-building, East and Southern Africa (Royal United Services Institute) – regional + Kenya and Tanzania</li> <li>IWT028: Building judicial capacity to counter wildlife crime in Kenya</li> <li>(Space for Giants) – Kenya</li> <li>IWT026: Connecting enhanced livelihoods to elephant and rhino protection (Northern Rangelands Trust NRT) – Kenya</li> <li>IWT020: Strengthening local community engagement in combating illegal wildlife trade (IUCN-ESARO) – Kenya</li> <li>IWT010: Securing rhino populations with effective law enforcement and Impact Bonds (Zoological Society of London) – Kenya</li> <li>IWT008: Technology and Innovation Against Poaching and Wildlife Trafficking (Stimson Center) – Kenya</li> <li>IWT005: Project Waylay (Interpol) – Uganda, Kenya, South Africa</li> </ul>	<ul style="list-style-type: none"> <li>Learning from DFID/DEFRA interventions, successful approaches will be built upon; beneficiaries of their funding will be key partners for this project</li> <li>Coordination through donors group</li> </ul>
INTERPOL	Dedicated Environmental Crime Team for Africa is based within the INTERPOL Regional Bureau for East Africa in Nairobi. It acts as an extension of INTERPOL's Environmental Security unit located at its General Secretariat headquarters in Lyon, France.	<ul style="list-style-type: none"> <li>Key partner in component 1</li> <li>Coordination and harmonization of LE approaches</li> </ul>
United Nations Office on Drugs and Crime (UNODC)	Wildlife and Forest Crime Programme; Container Control Programme: Support for strengthening legal frameworks and capacity building tools for IWT, Capacity building for investigators and intelligence officers (wildlife authority and police), prosecutors, and judges, Establishment and support of Multi-Agency Port Control Units targeting Wildlife Crime at ports, border crossings and airports. Works with KWS on anti-corruption.	<ul style="list-style-type: none"> <li>Project partner to deliver Outputs 1.1-1.3;</li> <li>Participation in the Project Steering Committee</li> <li>Likely partner in the Ports Project partly benefitting Kenya through Port of Mombasa (UNDP PIMS+ 5620)</li> </ul>
World Customs Organization (WCO)	Member of ICCWC and partnered with UNODC on the Container Control Programme; member of the UnitedForWildlife Transport TaskForce; developed ContainerCOMM communications application which strengthens communication and coordination mechanisms between countries, runs the INAMA project to combat illegal trade in wildlife of which Kenya is a beneficiary.	<ul style="list-style-type: none"> <li>Learning from WCO's interventions, successful approaches will be built upon; beneficiaries of their funding will be key partners for this project</li> </ul>



Funding/ Implementing entity or project/program	Planned and ongoing programmes and projects with objectives and targets, as well as information about implementation periods	Linkages with this new UNDP/GEF 6 IWT Project
		<ul style="list-style-type: none"> <li>Possible partner in the Ports Project partly benefitting Kenya through Port of Mombasa (UNDP PIMS+ 5620)</li> </ul>
United Nations Environment Programme (UNEP)	GEF 6 IWT MSP (multi-country): Enhancing legislative, policy, and criminal justice frameworks for combating poaching and illegal wildlife trade in Africa - Gabon, Kenya, Malawi, Mozambique, Zambia (Conservation Council of Nations CCN)	<ul style="list-style-type: none"> <li>Learning from UNEP interventions, successful approaches will be built upon; beneficiaries of their funding will be key partners for this project</li> <li>Coordination through donor group</li> <li>Specifically, interlinkages on component 1</li> <li>Coordination with the UNEP ICCF project</li> <li>Possible partner in the Ports Project partly benefitting Kenya through Port of Mombasa (UNDP PIMS+ 5620)</li> </ul>
European Union (EU)	<p>Cross-border wildlife programme on wildlife management: Implements the 11<sup>th</sup> EDF Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (2014-2020), in which a provision is made for a EUR 30 million wildlife conservation programme which will contribute to the overall fight against the illegal killing and trafficking of protected wildlife species in Southern and Eastern Africa and the Indian Ocean,</p> <ul style="list-style-type: none"> <li>Specific objective 1: Wildlife law enforcement capacity and cross-border collaboration in selected transboundary ecosystems is strengthened</li> <li>Specific objective 2: anti-trafficking efforts are enhanced</li> <li>Specific Objective 3: the sustainable management of Transfrontier Conservation Areas is promoted and strengthened</li> </ul>	<ul style="list-style-type: none"> <li>Coordination and harmonization of approaches</li> <li>Coordination through donor group and beneficiaries</li> </ul>
USFWS (US Fish and Wildlife Service)	Support KWS	<ul style="list-style-type: none"> <li>Coordination and harmonization of LE approaches</li> </ul>
Space for Giants (SFG) law enforcement capacity building programme, on-going	Building capacity of KWS prosecution and investigation unit both at HQ level and in Laikipia region. Working in close collaboration with UNODC, this work will focus on mentoring prosecutors and monitoring court proceedings. Also working with AWF on admissibility guidance for detection dogs and continued expansion of the prosecution toolkit and inter-agency protocols that SFG legal experts initially designed with national agencies in 2013. Also building investigative capacity within KWS in Laikipia region and working with KWS on human rights and criminal justice policy in the context of front line protection.	<ul style="list-style-type: none"> <li>Project partner to deliver Outputs 1.1-1.3</li> <li>Support to KWS prosecution mentoring (12 prosecutors to be gazetted following SFG/UNODC induction course in Nov 2016) and monitoring of their performance in courts across the country. Specific focus on KWS and their interaction with DPP on rhino/ivory cases.</li> </ul>
IFAW (International Fund for Animal Welfare)	Implementing the “tenBoma” Program from 2105 - present : Threats to wildlife reduced (in Kenya-Tanzania transboundary landscape those threats include poaching, trafficking, HWC, illegal cattle grazing, corruption, and illegal transit of wildlife),	<ul style="list-style-type: none"> <li>Project to collaborate with IFAW/tenBoma in outputs related to all project components in the Tsavo Taita</li> </ul>

Funding/ Implementing entity or project/program	Planned and ongoing programmes and projects with objectives and targets, as well as information about implementation periods	Linkages with this new UNDP/GEF 6 IWT Project
	<p>threats to local communities from wildlife reduced, increased wildlife enforcement capacity (focus on intelligence, forensics, enforcement), increased information exchange across space (i.e. geographic) and spectrum (i.e. local to international, tactical to strategic, and across threats).</p> <p>Greater Amboseli, ongoing: Securing critical corridors for migratory species, working with conservancies to attract private investment, improve livelihoods and increase sustainability</p> <p>“DISRUPT” (Detecting Illegal Species Through Prevention Training) Program, 2010 – present: Reduction of wildlife trafficking at key border crossings, airports, and seaports through law enforcement capacity building focused on species identification, smuggling methods, permit fraud, detection techniques, and national and international wildlife legislation review.</p>	<p>Taveta area; harmonization and support of approaches</p> <ul style="list-style-type: none"> <li>• Possibly join TTCEi</li> <li>• “DISRUPT” (Detecting Illegal Species Through Prevention Training) will contribute to outputs 1.2 and 1.4</li> </ul>
World Wildlife Fund (WWF)	<ul style="list-style-type: none"> <li>• African Elephant and Rhino project,</li> <li>• Community anti-poaching initiative project</li> <li>• East African IWT programme</li> </ul>	<ul style="list-style-type: none"> <li>• Key partner in implementation of all components</li> <li>• Coordination and harmonization of approaches</li> </ul>
IUCN Eastern and Southern Africa Regional Office (ESARO)	<p>Communities – First Line of Defence against Illegal Wildlife Trade (FLoD): Its specific objective is to understand the implicit and explicit theories of change of anti-IWT project designers/implementers and local communities with a view to improve current and future interventions.</p> <p>Currently conducting research in three pilot conservancies (Kilitome, Olderkesi, Shompole-Olkiramatian) testing and developing a toolkit, drafting case studies and guidance for policy and practice in Kenya and beyond.</p>	<ul style="list-style-type: none"> <li>• Key partner in implementation of project components (Outputs 1.4 and 3.1)</li> <li>• Coordination and harmonization of approaches</li> </ul>
Wildlife Direct	Deploying an anti-poaching camera surveillance system, "TrailGuards"; work in Tsavo and Maasai Mara; National wildlife policy and legislation review	<ul style="list-style-type: none"> <li>• Partner especially for ecosystem specific interventions and Outputs 1.1-1.4</li> <li>• Technical know-how and lesson learnt</li> </ul>
Freeland Foundation	Focus their work on Wildlife Trafficking and Human Slavery with a huge global track record. A strong focus on behavior change and sustainability communication.	<ul style="list-style-type: none"> <li>• Extensive know-how in technology applications, social and behaviors change communications; security – rich background the GEF project will draw on</li> </ul>
African Wildlife Foundation (AWF)	African Wildlife Foundation is headquartered in Nairobi, Kenya and implements various projects in the country. AWF supports sniffer dogs to help prevent poaching, i.e. providing funding to KWS for setting up sniffer dog units to detect illegal animal products and locate poachers. Additionally, strong experience in creating community conservancies, ensuring direct benefits from conservation efforts to communities and implementing community projects that benefit both people and wildlife. Experience in community-based tourism options.	<ul style="list-style-type: none"> <li>• Key partner for all components, especially Output 3.1</li> <li>• Extensive know-how the GEF project will draw from</li> </ul>
Kenya Wildlife Conservancy Association (KWCA)	KWCA is the national umbrella organization for community conservancies and supports its members through advice and capacity support. They have designed and are supporting the implementation of the training and application of Conservancy Leadership and Management Training (LAMP). They are brokering technical know-how and capacity support to their	<ul style="list-style-type: none"> <li>• Key partners especially in implementation of components 2 and 3, supporting the ecosystem specific conservancy associations MMWCA and TTWCA</li> </ul>

Funding/ Implementing entity or project/program	Planned and ongoing programmes and projects with objectives and targets, as well as information about implementation periods	Linkages with this new UNDP/GEF 6 IWT Project
	members by building partnerships with other relevant expert organisations.	<ul style="list-style-type: none"> <li>• Implementation of LAMP</li> <li>• Steering Committee member</li> <li>• Co-financing commitment made in support of MMWCA and TTWCA</li> </ul>
Maasai Mara Wildlife Conservancies Association (MMWCA)	Eco-system based umbrella association for all community conservancies in the Maasai Mara. MMWCA has 14 member conservancies, and five potential conservancies. It represents individual conservancies' rights and responsibilities. MMWCA currently implements a USAID project: Formation and capacity building of conservancies with three objectives: (1) Establish an integrated and sustainable conservancy governance model, (2) Secure Pardamat Conservation Area for biodiversity and wildlife conservation, (3) Develop a well-established MMWCA to provide leadership and coordination to the conservancies.	<ul style="list-style-type: none"> <li>• Likely partner in the Maasai Mara ecosystem interventions under all project components</li> <li>• Co-financing commitment made with regards of supporting outputs 2.2., 3.1, 3.2 and 3.3</li> </ul>
BAND Foundation	Band Foundation's governance project supports various projects and organizations in the Maasai Mara ecosystem. The Governance project's five key pillars focus on: Pillar 1: Enhancing Conservancy Management Pillar 2: Diversifying Sustainable Revenue Generation Pillar 3: Sustainable Livestock Initiative Pillar 4: Correcting Misaligned Perceptions Pillar 5: Pardamat Conservation Area	<ul style="list-style-type: none"> <li>• Likely partner in Maasai Mara ecosystem</li> <li>• Expertise, especially in conservancy mobilisation and livelihood support</li> <li>• Lessons learnt from interventions to inform GEF 6 IWT project activities</li> </ul>
Maasai Mara University	Mara vocational training project (in development)	<ul style="list-style-type: none"> <li>• Possible partner for expertise in curriculum development, scoping studies, knowledge hub</li> </ul>
Tsavo Conservation Group	Wildlife, community and natural resources conservation projects with USAID funding in the Tsavo ecosystem for community law enforcement	<ul style="list-style-type: none"> <li>• Member of TTCEi</li> <li>• Partner in the Tsavo ecosystem</li> <li>• Co-financing commitment made with regards of supporting outputs 2.1., 3.1, 3.2 and 3.3</li> </ul>
Tsavo Trust	Law enforcement and conservation projects in the Tsavo ecosystem	<ul style="list-style-type: none"> <li>• Possibly join TTCEi</li> <li>• Technical partner</li> </ul>
David Sheldrik Foundation	Law enforcement and conservation projects throughout Kenya, including in the Tsavo ecosystem	<ul style="list-style-type: none"> <li>• Possibly join TTCEi</li> <li>• Technical partner</li> </ul>
UNDP-GEF Project: Reducing Maritime Trafficking of Wildlife between Africa and Asia	This project has the following objective: To reduce maritime trafficking of wildlife (including elephant, rhinoceros and pangolin) between Africa and Asia through strengthening of capacity at ports and improving South-South cooperation to control wildlife trafficking. The project aims to achieve its objective through the following components: 1. Best practice in combating wildlife trafficking at ports 2. South-South and institutional cooperation in combating maritime trafficking 3. Knowledge management and monitoring and evaluation. To be implemented during 2018-2020.	<ul style="list-style-type: none"> <li>• The port of Mombasa, Kenya has been identified as one of four target ports.</li> <li>• The projects share the common overarching objective of reducing illegal trade in wildlife, and their activities will be mutually reinforcing and they target staff of the same government entities.</li> <li>• Educational and awareness-raising materials can be shared</li> <li>• Capacity building under the Ports Project target staff of the same government entities</li> </ul>

## Risks and Assumptions

Note that all assumptions underlying the project Theory of Change are depicted in the TOC section, above.

The project has a **moderate risk**-rating as indicated in the UNDP Social and Environmental Screening Procedure (SESP), included as Annex E to this project document. The mitigation measures to address the risks with moderate status are described in Table 7 and Annex E containing the SESP Assessment. The project is designed in a way that ensures gender and socially responsiveness by placing adequate consideration on differential needs of men or women and other disadvantaged groups (see gender mainstreaming section). During the PPG, consultations with the official representatives of the Community Wildlife Associations, both at ecosystem and national level. The nature of this project, focusing on empowering local communities to become more actively and positively involved in conservation and anti-poaching in their respective areas, will have positive impacts on the partner communities. It is noted that the project will engage with the Maasai Indigenous people in the Maasai Mara ecosystem and all relevant provisions will be made to respect and protect their specific rights. Any environmental and/or social grievances will be reported to the GEF in the annual PIR.

The Project's **Grievance Redress Strategy** follows UNDP's guidance and is designed to ensure that stakeholders have access to and are aware of mechanisms to submit concerns about the social and environmental impacts of the project. In line with UNDP's guidance on Grievance Redress Mechanisms, the Project will set up and manage a Grievance Redress Mechanism (GRM) to address grievances, complaints, and suggestions from those affected by the Project. The GRM will be managed and monitored by the UNDP Country Office and be guided by the following principles:

- a. Legitimate: enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes.
- b. Accessible: being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access.
- c. Predictable: providing a clear and known procedure with an indicative timeframe for each stage, and clarity on the types of process and outcome available and means of monitoring implementation.
- d. Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice and expertise necessary to engage in a grievance process on fair, informed and respectful terms.
- e. Transparent: keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake.
- f. Rights compatible: these processes are generally more successful when all parties agree that outcomes are consistent with applicable national and internationally recognized rights.
- g. Enabling continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms.
- h. Based on engagement and dialogue: consulting the stakeholder groups for whose use they are intended on their design and performance, and focusing on dialogue as the means to address and resolve grievances.

Environmental and social grievances will also be reported to the GEF in the annual PIR. The full SESP screening report is included in Annex E.

**Table 7:** Project risks identified and risk mitigation strategies

Risk	Probability and Impact	Mitigation
Uncertain political situation due to presidential elections in Kenya	Probability = 4 Impact = 3 Risk = Moderate	The project was prepared during the 2017 election process. The political situation in Kenya is volatile and there is a probability that an uncertain political climate will prevail in the coming months, irrespective of the final election outcomes. This is likely to affect all government affairs, as well as the designation of law enforcement personnel. It is unclear how the leadership of the MENR and other Government institutions that are critical

Risk	Probability and Impact	Mitigation
		to the project in the future. To mitigate this risk, the project Management arrangements include partners from both governmental and non-governmental institutions (NGOs) with the landscape level work to be implemented through community conservancies, to ensure that many project activities may be implemented even if the political situation would be challenging.
Infrastructure development: highway across Tsavo National Park & Taita Taveta	Probability = 4 Impact = 4 Risk = High	After the highspeed railway between Mombasa and Nairobi was finalized in 2017, the transformation of the existing main road between the two major cities into a four-lane highway is now on the agenda. This development is a priority to national development and citizens safety. It is, however, also clear that such a construction will cut the park and permanently separate Tsavo East from Tsavo West. A key migration route for large mammals such as elephants will then be interrupted. While conservationists suggest that the construction of corridors will help to maintain migratory routes and habitat connectivity, substantial financial investments would be required to support such construction in a meaningful way. As project gains are likely to be severely affected by such an infrastructure project, this GEF Project will finance an study of how best to design the highway from the perspective of wildlife, to be used in advocacy.
Corruption could undermine project efforts and may potentially lead to unintended negative impact on wildlife population	Probability = 3 Impact = 5 Risk = High	In order to avoid any possibility of project funding and information being misused for actions that may actually increase poaching, the project will develop a robust law enforcement related safeguard specific to this Project during the inception phase. A special protocol for project management and operation will be developed to ensure security of classified information related to intelligence and law enforcement actions.
Poaching pressure fueled by the existence of global illegal wildlife trade may fast decimate the elephant and rhino populations	Probability = 2 Impact = 4 Risk = Moderate	Given the significant level of this risk, one of the pillars of the Project design is to increase Kenya's capacity for law enforcement across the selected project areas (largest concentrations of elephants and other wildlife in the country) in close collaboration with local stakeholders and support organisations, to fully implement existing wildlife laws. It will also strengthen the country's capacity to communicate with consumer countries to try to reduce demand. It is nevertheless clear that this project can only address a fraction of the interventions needed for a major change. The Project is designed to at least achieve ecosystem-specific impacts in the strategic areas of Tsavo and the Maasai Mara. It is also positive to note that the risk of poaching is decreasing as indicated by increasing wildlife populations according to the most recent population counts in the Tsavo and Masai Mara ecosystem.
Complexity in project management	Probability = 3 Impact = 2 Risk = Moderate	The formalisation of the structure of the Project could be delayed due to the complex project management arrangement with several stakeholders involved. Resistance to the Project could delay its implementation as stakeholder support is sought. During the Project preparation phase, emphasis was therefore put on stakeholder consultations and the positioning of the Project. Institutional partners at the ecosystem-level were identified to lead and coordinate the implementation of components 2 and 3 to ensure that funds can be spent directly on that level. The project will ensure the strong national and target landscape level project management and coordination units to ensure effective and efficient implementation.
Complexity in stakeholder	Probability = 2 Impact = 2	The wide range of stakeholders involved in the project can make collaboration difficult due to the mere diversity of the stakeholder landscape in the country and multiple (sometimes conflicting) interests of

Risk	Probability and Impact	Mitigation
relationships with different interests	Risk = Low	different stakeholders. However, clear mandates and responsibilities will be delegated to lead institutions who will be tasked with coordinating joint and multi-stakeholder efforts, while concentrating on achieving project impacts on the ground.
Climate change consequences (increasing frequency of droughts and variability of rainfall) may influence sustainability of the project results	Probability = 2 Impact = 2 Risk = Low	The Project will work to address the anticipated negative impacts of climate change by increasing resilience of natural landscapes, and through promoting sustainable management of natural resources. The elephant is a keystone species of the Tsavo and Mara ecosystems and its conservation will help to ensure that its habitats and wildlife remain healthy and resilient in the face of climate change. Sound and adaptive natural resource and grazing area management will be supported by the project, taking into account climatic variability and change. Climate change aspects will also be addressed in the Ecosystem Management Plans developed by the Project.
Potential discrimination against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits in NRM management and law enforcement;  Potential limitation of women's ability to use, natural resources in the project areas	Probability = 3 Impact = 3 Risk = Moderate	<p>The Gender Analysis indicated insufficient involvement of women in wildlife crime enforcement and NRM in Kenya, including in the Project areas. To avoid a potential imbalance in Project implementation, a Gender Analysis and Action Plan was developed to ensure the inclusion of women in the delivery of all project Outputs (Annex G). Moreover, the Project will develop and implement a detailed and comprehensive Gender Mainstreaming Strategy (Output 4.3) to ensure gender equality and equal benefits to men and women from Project implementation.</p> <p>The key project strategy to mitigate the potential negative impact is to involve women as well as poorest and most marginalized people in the development of the Ecosystem Management Plans and the establishment and management of Conservancies, as well as to ensure their participation in wildlife and other NRM activities in the target communities. Additionally, during trainings for law enforcement staff, the Project will promote female inclusion in all appropriate training programmes. A strong Grievance Redress Mechanism will also be established in the project areas to mitigate any potential adverse impact of increased law enforcement on marginalized local people in particular, including women.</p> <p>To ensure women's rights and gender equality during Project implementation, all monitoring and evaluation exercises will be designed and implemented through a participatory approach (Output 4.1) with opportunities for women to make their voices heard in project management.</p>
Potential risk to the health and safety of communities and/or individuals, due to involvement of military personnel in anti-poaching operations	Probability = 3 Impact = 3 Risk = Moderate	Poorly trained law enforcement staff may pose a risk to the health and safety of local individuals involved in poaching and/or consumption of other illegally sourced natural resources or who happen to be present in an area where anti-poaching operations are undertaken. To mitigate this risk the Project will invest in the training and mentoring of law enforcement personnel in accordance with the highest standards for security and personal safety, including the treatment of arrested or suspected offenders, during patrolling and special operations (outputs 1.2, 1.3, 2.1 and 2.2.). A strong, and from project management independent, Grievance Redress Mechanism will also be established in the project area to mitigate any potentially adverse impact of increased law enforcement on marginalized local people.

## Stakeholder Engagement Plan

During the Project preparation phase, extensive stakeholder consultations were carried out (see “Prior engagement” in Annex F). Stakeholders were identified, and a stakeholder engagement plan was developed. Broad stakeholder involvement is critical to the delivery of all components of the project, from capacity building to enforcement and knowledge sharing, and include entities from various sectors, including national and local government entities, local communities, NGOs, private sector companies and academia. Consultations emphasized the need to focus on women as key stakeholders in order to amplify their voices (see the “Mainstreaming Gender” section of this Project Document, and Annex G containing the “Gender Mainstreaming Analysis and Plan”). As detailed in Annex F, the Project will partner with agencies and organizations at all levels. It will work primarily with entities of the Government of Kenya at the national level to build capacity and develop a strategy to fight wildlife crime (component 1). It will partner with wildlife enforcement agencies, such as the Kenya Wildlife Service and the National Police Service, to reduce poaching and illegal wildlife trade in the target areas (component 2). It will engage with conservancy organizations and the private sector to strengthen Community Wildlife Conservancies to provide benefits for local communities in the target areas (component 3). Lastly, the Project will call on all Project actors, particularly the Implementing Partner (the Ministry of Environment and Natural Resources), to ensure that lessons learned from this project are used nationally and internationally, and that gender is a consideration in every aspect of the project. A more extensive list of key stakeholders and their roles can be found in table 5 of Annex F.

### **Gender equality and empowering women**

UNDP prioritizes gender mainstreaming as the main strategy to achieve gender equality. Gender mainstreaming is the process of assessing the implication for women and men of any planned action, in all areas, and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of projects so that women and men benefit equally. Failure to address gender issues leads to inefficiencies, unsustainable results and exacerbates and perpetuates inequities.

This section outlines a strategy to ensure that women’s and men’s concerns and experiences are included in the implementation, monitoring and evaluation of this project. A gender analysis was completed during the PPG phase (see Annex G - Gender Analysis and Mainstreaming Plan) and the key findings of the gender analysis were used to formulate the gender strategy outlined in this section.

This GEF project can be classified as “Gender targeted” (results focus on the number or equity (50/50) of women, men, or marginalized populations targeted) with strong gender interventions incorporated in the project design. During the project development, an effort was made to involve as many women as possible in the consultation process. The overall participation of women was nevertheless relatively low due to traditional male dominance in wildlife and environmental management issues in Kenya. Out of the around 90 stakeholders consulted during the project development, only 22 (25%) were women (for more information, see Annex G).

To implement gender mainstreaming, the project will develop and implement a Gender Mainstreaming Strategy in the first 6 months of the project implementation (Output 4.1). The strategy will guide the PMU on involvement and integration of women in the delivery of the project Outputs and promote active women participation in project management, monitoring and evaluation. The key guidelines for the strategy are outlined below:

- ensure that women’s and men’s knowledge, needs, opportunities and opinions are accorded equal weight in finding, demonstrating and building more economically, socially and environmentally sustainable pathways to enhance wildlife security,
- promote gender mainstreaming and capacity building for the project staff to improve the understanding of gender mainstreaming principles, and the importance of gender transformative project implementation,
- provide the stakeholders with the tools to make this project as gender transformative as possible,
- appoint a designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally,

- promote gender equality in capacity development and women's empowerment and participation in the project activities, as well as in project-related decision making and management, and
- work with UNDP's gender experts to utilize their expertise in developing and implementing projects.

Note that these requirements will be monitored by the UNDP County Office Gender Focal Point during project implementation. Implementation of a strategy based on the above-mentioned guidelines will enhance the chances that the project builds on good gender practices rather than reinforces exclusion of women, and that its benefits are equitably distributed and make a lasting impact at the household level.

**Table 6.** Gender mainstreaming actions for project implementation

Design section	Responsible	Gender Mainstreaming Actions
<b>Component 1.</b> Strengthening capacity for effective IWT governance in Kenya		
All outputs	MENR	<ul style="list-style-type: none"> <li>• Ensure that the strategies to be developed recognise the differentiated impacts on women and men and that the outcomes of decisions and actions has differently effects on different groups.</li> <li>• Ensure, to the extent possible, that women, or women groups, are part of the strategy development and related decision-making processes.</li> </ul>
<b>Component 2.</b> Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara Ecosystems		
All outputs	MENR, MOA, District Administration	<ul style="list-style-type: none"> <li>• Conduct studies to identify the key gender-related aspects and build gender responsive capacity for policy interventions to be planned and implemented accordingly.</li> <li>• Ensure that training and capacity building takes the different needs and skills of men and women into account and ensure that participation protocols/ procedures recognise the different constraints of men and women (e.g. the timing and physical location for the trainings and meetings should recognise household and gender roles for men and women) and ensure that the arrangements do not exclude some groups.</li> <li>• Ensure that the content of the training and capacity building to be provided takes appropriate gender-related aspects into account in the curriculum.</li> <li>• Strive for a balance between men and women in the recruitment and participation of beneficiaries, and ensure that financial support mechanisms recognises existing income inequalities between different groups of the Conservancies.</li> <li>• Ensure that approaches and skills promoted at the local/landscape levels take into consideration the different capacities and constraints of men and women, and their different abilities to implement/adopt certain practices, as well as the costs of taking up some of these practices.</li> <li>• Capacity building activities related to wildlife security and benefits for village level committees will in particular target women, in addition to other groups.</li> <li>• To the extent feasible, landscape planning and implementation teams will have local women community mobilizers who would be involved in social mobilization to encourage greater participation of women from local communities.</li> </ul>
<b>Component 3.</b> Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara Ecosystems		
All outputs	MENR, KWS MMWCA, Tsavo Con, KWCA, PMU	<ul style="list-style-type: none"> <li>• Ensure that the identification of beneficiaries promotes gender parity.</li> <li>• Ensure that women and men participate in the identification of vulnerabilities and challenges faced by local communities, and are allowed a safe and open platform to identify opportunities.</li> <li>• Ensure that income-generation initiatives consider the different needs and abilities of men and women.</li> <li>• Ensure that the costs and benefits of the different interventions and NRM approaches are equally distributed among different groups of men and women (e.g. poor/rich, female-headed/male headed households) and different resource users (e.g. subsistence vs commercial farmers).</li> </ul>



Design section	Responsible	Gender Mainstreaming Actions
		<ul style="list-style-type: none"> <li>Special investment activities encourage women empowerment, including women-dominant livelihood and value chain activities (beading products, ecotourism products development etc.), and capacity building of women in various sectors related to natural resource management and livestock improvement.</li> </ul>
<b>Component 4. Knowledge Management, M&amp;E and Gender Mainstreaming</b>		
All outputs	MENR KWCA PMU	<ul style="list-style-type: none"> <li>Develop a comprehensive gender mainstreaming strategy.</li> <li>Conduct awareness and communication campaigns with a specific gender focus.</li> <li>Periodic reviews of the project interventions to highlight best practices in mainstreaming gender in the project.</li> <li>Document gender roles in the management of resources in the landscapes and use this to inform future interventions.</li> <li>Use gender-sensitive indicators and collection of sex-disaggregated data for monitoring project outcomes and impacts.</li> </ul>
<b>Project Management</b>		
	MENR	<ul style="list-style-type: none"> <li>Apply a gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring.</li> <li>TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation.</li> </ul>

### South-South and Triangular Cooperation

Evidence shows that South–South trade and investments have the potential to accelerate improvements in health, education, social welfare, in harnessing knowledge and experience, and in establishing critical partnerships which is instrumental to fast-track the Sustainable Development Goals. South-South and triangular cooperation involves the kind of cooperation that creates jobs, strengthens trade, improves infrastructure, transfers technology, promotes regional integration and benefits all countries involved. This project will contribute to South-South cooperation primarily through the international agreement/s between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and the Tsavo-Mkomazi Trans-Frontier Conservation Areas the project envisages to promote under Output 2.4. These agreements will not only ensure the habitat connectivity and uninterrupted migration corridors which are crucial for the conservation of wildlife, but will also facilitate international tourism development and enhance transboundary conservation cooperation between Kenya and Tanzania, primarily through the institutionalized collaboration mechanisms the agreements will establish (see information on output 1.4 above).

Moreover, this project will contribute with lessons from its implementation to the global UNDP project entitled “Reducing Maritime Trafficking of Wildlife between Africa and Asia”, thus informing law enforcement at maritime ports in other countries, as well learn from the work of that project to enhance the effectiveness of this project.

### Sustainability and Scaling Up

The development of long-term sustainable solutions to improve biodiversity and ecosystem management and reduce poaching and associated illegal wildlife trade is central to all aspects of this project. The key project strategy is to focus on supporting and strengthening existing Kenyan institutions, especially community-based institutions, and authorities to more effectively manage critical ecosystems and reduce poaching and wildlife trafficking.

Support will be provided to several institutions with the aim of equipping them to sustain the intervention after project completion. The MENR will be supported in their role as the coordinating body for biodiversity and ecosystem management and anti-poaching and associated illegal wildlife trade, and is being positioned to collaborate with local

NGOs and CBOs. Additionally, it is foreseen that the community-focused law enforcement approach will be integrated into the National Strategy to Combat Poaching and IWT, which will lead to sustainability through systemic integration and lays a ground for scaling-up community-based law enforcement, once well-defined and tested. New approaches to joint, community-focused law enforcement will be implemented in the two target ecosystems, and new institutional arrangements will be set up. This strategy will also support ownership at the local level, as well as the national coordination level, with MENR in the overall project lead. Under the leadership of already established local institutions, democratic and inclusive local resource governance systems will be supported, which will create commitment towards wildlife conservation amongst local communities.

At the ecosystem level, the GEF 6 project will invest in critical up-front training and capacity support to local CBOs (Conservancies), including through the establishment of needed infrastructure and equipment. While it is recognised that equipment is a consumable that needs to be replaced, the collaborating partners are being encouraged to establish economic sustainability plans for their organisations. Relevant technical exchanges in this regard began during the programming phase of the project, and are reflected in the budget structure.

Financial sustainability will be supported in several ways. The GEF funding is catalytic and it is intended that it will spark continued financial support, including through integration on the full pay roll of the community-based ranger and law enforcement staff into the County Government budgets. This commitment is already demonstrated for the Taita Taveta County through the County Government's co-financing commitment. By establishing a strategy for a national conservancy fund, an additional financial sustainability aspect is integrated into the project design. It is recognised that certain aspects of sustainability, especially financial sustainability, cannot be ensured through this project and a certain dependency of project partners on donors will remain. The insecurities around the newly re-elected government do create some level of uncertainty, as well as Government economics are unclear. However, the project will encourage partnerships of various kinds, including with international NGOs, various funding partners, and to a limited extent with the private sector – which can be seen as a strategy to diversify the institutional base for future partnerships.

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## **V. PROJECT MANAGEMENT**

### **Cost efficiency and effectiveness**

The identification of geographical focus areas has been made with great care to choose two ecosystems of significant ecological value which also face significant threats to wildlife and ecosystem conservation. The area will be supported by GEF investments of US\$3,200,000, or 84% of entire GEF contribution for the project (US\$ 473/km<sup>2</sup>). Moreover, the project will work with KWCA to develop a small grant and micro-loan facility for Conservancies to provide additional funding to target communities in the project area. To enhance cost efficiency and effectiveness of the project, it was developed using a participatory approach with extensive consultations, and was built on the best available experience and lessons learned from other national and international projects (see the Strategy section above for details), and it has a carefully designed Theory of Change. Project implementation will be based on a wide set of partnerships with Government, non-governmental, multilateral, bilateral, business organizations and communities to deliver the project Outputs. An important aspect of good practice in wildlife law enforcement is the close involvement of local communities as it renders law enforcement more effective and more sustainable. Local communities will therefore be involved as far as possible and in as many aspects of law enforcement as possible. This project also foresees a participatory M&E system that will allow effective lesson learning and adaptive management to select the most effective strategies to achieve the project Outcomes (see Outputs 4.1-4.3). Thus, the project is built on the rather strong financial foundation with a GEF contribution of US\$ 3,826,605, or 19% of the total project budget, as total co-financing for the Project amounts to US\$ 15,565,663.

A detailed budget has been prepared to manage all project investments and discussed with stakeholders to ensure appropriate funding of the activities necessary to deliver each project Output. The project will use standard UNDP rules for procurement which are designed to optimise value for money. All activities will be included in the Annual Work Plan, which will be discussed and approved by the Project Board to ensure that actions are relevant and necessary. When the activities are to be implemented and project Outputs monitored and evaluated, cost-effectiveness will be taken into account, but will not compromise the quality of the Outputs. Economy fares will be applied for necessary air and road travel, and appropriate lodging facilities will be provided to the project staff that ensures staff safety and cost-effectiveness. Expenses will be accounted for according UNDP rules and in line with the GEF policy. Finally, in order to maximise the effectiveness and sustainability of the project results, an exit plan will be developed by the end of year 4, for implementation and tracking during the final year. This will identify a key owner and sustainability mechanism for each of the project's results that also contributes to the project effectiveness.

### **Project management**

The project will have a Project Management Unit office hosted by the Ministry of Environment and Natural Resources in Nairobi. The PMU will work directly with the main Project partners present in the Project ecosystems, and will use their offices in the project areas for coordination of the project activities. The PMU will cooperate with key Project partners and other projects implemented in the project areas, and will work directly with them on-site during monitoring and evaluation visits, meetings of the Technical Committee in the project area, and the Project Board. Further details of the project management arrangements are described in Section VIII below on "Governance and Management Arrangements".

### **Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**

To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo shall appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation of publications regarding projects funded by the GEF will also accord proper

acknowledgement to the GEF. Information will be disclosed in accordance with applicable policies notably the UNDP Disclosure Policy<sup>75</sup> and the GEF policy on public involvement<sup>76</sup>.

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<sup>75</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>76</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

## VI. PROJECT RESULTS FRAMEWORK

<p><b>This project will contribute to the following Sustainable Development Goal (s): <i>Goal 1 No Poverty, Goal 2 Zero Hunger; Goal 3 Good Health and Well-Being, Goal 6 Clean Water and Sanitation, Goal 5 Gender Equality, Goal 8 Decent Work and Economic Growth, Goal 10 Reduced Inequalities, Goal 13 Climate Action, Goal 15 Life on Land, and Goal 16 Peace, Justice and Strong Institutions</i></b></p>					
<p><b>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</b>  <i>Draft UNDAF 2018-22 (dated November 2017): Economic Pillar Outcome 3:</i> By 2022, a progressive and resilient green economy is underpinned by robust evidence based pro-poor policies and strategies contributing to sustainable economic growth.  <i>Draft indicative Output 3.2.:</i> Improved institutional (public and private) and communities' capacities to ensure pro-poor, sustainable, effective and efficient natural resource management</p>					
<p><b>This project will be linked to the following output of the UNDP Strategic Plan:</b>  <b>Output 1.3:</b> Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.  <b>Indicator 1.3.1:</b> Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.  <b>Indicator 1.3.2 a)</b> Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystems services, chemicals and waste.</p>					
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Data Collection Methods, Means of Verification and Assumptions
<p><b>Project Objective:</b>  <b>to combat poaching and illegal wildlife trafficking in Kenya through an integrated approach</b></p>	<p><b>Indicator 1:</b> Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level. (IRRF Indicator 1.3.1):</p>	0	<p>2 Wildlife Security Systems Established</p> <p>a) <b>Taita Ranches area:</b> Wildlife Security Systems established through formal agreement as a law enforcement partnership mechanism between KWS, Conservancies &amp; other partners such as County Governments, TTWCA, and NGOs;</p> <p>b) <b>Masai Mara NR:</b> Similar partnership mechanism established through formal agreement (partners to be determined during Inception Phase)</p>	<p>2 Wildlife Security Systems fully operational</p> <p>a) Wildlife Security Systems is fully operational in Taita Ranches area with annual workplans and budgets</p> <p>b) Similar mechanism operational for Masai Mara NR with annual workplans and budgets</p>	<p><b>Data Collection:</b> Consultations with government institutions and partners to monitor status of partnerships including agreements</p> <p><b>MoV:</b> Official government notifications and agreements for partnerships; Monitoring progress reports.</p> <p><b>Assumptions:</b> Established inter-agency-community law enforcement cooperation provides mutual benefits to all participating parties; Conservancies and PAs have sufficient funding from the Government, donors, and local business activities to support an effective level of law enforcement.</p>

	<p><b>Indicator 2:</b> Number of people directly benefitting in the project area from CBWM and other forms of sustainable NRM as a result of the project (f/m) (IRRF Indicator 1.3.2a):</p> <p>This comprises the populations of the Taita Ranch Conservancy, and the areas to be targeted by the Project in the Maasai Mara ecosystem.</p>	2017: 0	>=8,000 (>30% female)	>=15,000 (>40% female)	<p><b>Data Collection:</b> Review of project reports, primarily quarterly, annual progress reports; consultations with communities in demonstration areas</p> <p><b>MoV:</b> Data to be collected from the project sites in the periodic reports (quarterly, annual progress reports)</p> <p><b>Assumptions:</b> Local people in target Conservancies will actively use improved CBWM and NRM models provided by the Project to generate sustainable income and improve environmental sustainability of local ecosystems.</p>
	<p><b>Indicator 3:</b> Populations of flagship species in the project areas (baseline for 2017):</p> <ul style="list-style-type: none"> <li>- Elephant</li> <li>- Buffalo</li> <li>- Giraffe</li> <li>- Rhino</li> </ul>	<p><b>Tsavo/Taita Ranches:</b>  Elephants: 12,843/1,746  Buffalo: 8,525/1,768  Giraffe: 4,323/510  Rhino: tbd at Inception</p> <p><b>Masai Mara:</b>  Elephants: 2,493  Buffalo: 9,466  Giraffe: 2,607  Rhino: tbd year 1</p>	>= baseline 2017	>= baseline 2017	<p><b>Data Collection:</b> Systematic wildlife census methods consistent with the baseline surveys of the project areas (Ngene S. et al. 2017 for Tsavo/Taita, and KWS 2017 for Maasai Mara) – at project completion. Midterm census to be conducted if co-financing will support it.</p> <p><b>Tsavo/Taita baseline</b> measured by Ngene S. et al. 2017. Aerial Total Count of Elephants, Buffalo and Giraffe in the Tsavo-Mkomazi Ecosystem (February 2017). KWS, TAWIRI, TWRI.</p> <p><b>Mara baseline</b> measured by KWS 2017. Aerial Total Count of Elephants, Buffaloes and Giraffes in the Maasai Mara Ecosystem (May 2017). Survey Report. The survey covered Maasai Mara National Reserve and Mara Triangle, Conservancies and their immediate neighborhoods or dispersal areas in the Mara ecosystem. The 2017 survey was carried out between May 15 and 28, 2017 covering an area of 11,681 km<sup>2</sup>.</p> <p><b>MoV:</b> Survey reports; Including KWS wildlife survey report for 2020 and 2023, Monitoring and progress reports</p>

					<p><b>Assumptions:</b> Wildlife population will stabilize and probably increase as a result of decreased poaching and retaliatory killing in the project areas, Other environmental factors are favorable for wildlife population restoration,</p> <p>All key threats for the project conservation targets have been correctly identified,</p> <p>No other serious threats emerge during the project implementation.</p>
	<p><b>Indicator 4:</b> Number of individuals of flagship species poached annually in the project areas (baseline for 2016):</p> <ul style="list-style-type: none"> <li>- Elephant</li> <li>- Rhino</li> </ul> <p>Note: Baselines provided by KWS data 2016 to the PPG team.</p>	<p><b>Tsavo Ecosystem/Taita Taveta County:</b> Elephants – 30/26; Rhino – 2/0</p> <p><b>Maasai Mara:</b> Elephants - 5; Rhino - 1</p>	Decrease by at least 20%	Decrease by at least 50%	<p><b>Data Collection:</b> Ranger patrols in project areas (SMART patrolling approach) with KWS support; consultations with local stakeholders</p> <p><b>MoV:</b> Patrolling reports; project reports; KWS reports</p> <p><b>Assumptions:</b> Number of poached wildlife will decrease as a direct result of increased LE patrolling, number of poachers' arrests and seizures of wildlife products</p>
<p><b>Outcome 1</b> <b>Increased national and local capacity to fight wildlife crime</b></p>	<p><b>Indicator 5:</b> Capacity of key National Wildlife Crime Enforcement Agency to control IWT (UNDP Capacity scorecard, %): KWS</p>	70%	75%	80%	<p><b>Data Collection:</b> UNDP Capacity Scorecard assessment at mid-term and EoP</p> <p><b>MoV:</b> UNDP Capacity Development Scorecard</p> <p><b>Assumptions:</b> KWS officers, police, judiciary and prosecutors will use knowledge and tools provided by the project to achieve better results in LE of wildlife crimes; Government and other donors provide adequate complementary support to LE agencies to fight wildlife crime.</p>
	<p><b>Indicator 6:</b> National Anti-Poaching Strategy</p>	Non-existent	Drafted and submitted to GoK for approval	Officially approved and under full implementation with government funding allocated	<p><b>Data Collection:</b> Monthly consultations with government institutions and partners to review progress of strategy development</p> <p><b>MoV:</b> Official government notifications and announcements for new</p>

					<p>legislation; Monitoring progress reports</p> <p><b>Assumptions:</b> The Government will approve the Strategy and provide necessary funding and supervision for its implementation.</p>
	<p><b>Indicator 7:</b> Strengthened institutional capacity to combat IWT as indicated by:</p> <p>a) the ICCWC Indicator Framework (note – baselines to be determined in year 1)</p> <p>b) National subset of indicator targets for annual monitoring drawn from ICCWC Indicator Framework baseline assessment</p>	<p>a) ICCWC Indicator Framework – Baseline scores and targets TBD</p> <p>b) National subset of baselines from above TBD</p>	<p>a) Mid-term target for strengthened institutional capacity compared to baseline achieved (TBD at baseline)</p> <p>b) Mid-term target for strengthened institutional capacity compared to baseline for the national subset of indicators achieved (TBD at baseline)</p>	<p>a) Project Completion targets for strengthened institutional capacity compared to baseline achieved (TBD at baseline)</p> <p>b) Project Completion targets for strengthened institutional capacity compared to baseline for the national subset of indicators achieved (TBD at baseline)</p>	<p><b>Data Collection:</b> Biennial ICCWC Indicator Framework assessments (closest biennial assessment to Mid-term to be used) and annual national subset monitoring and evaluated at EoP</p> <p><b>MoV:</b> ICCWC Indicator Framework assessment reports</p> <p><b>Assumptions:</b> Assessments are carried out consistently between years and agencies; Strengthened inter-agency collaboration is reflected in the increased scores</p>



<b>Outcome 2</b> <b>Increased effectiveness of Conservancies, PAs and local law enforcement agencies to control poaching and IWT in Tsavo and Maasai Mara Ecosystems</b>	<b>Indicator 8:</b> Annual results of IWT law enforcement in in the project areas (Taita Taveta County, including Taita Ranches, and Narok County including MMNR) 2016: a) number of suspects arrested and prosecuted: b) amount of seized wildlife products (kg) c) % ratio of prosecutions to arrests  <b>Source:</b> The baseline data for both Taita Taveta and Narok Counties provided by KWS for 2016 to the PPG team	<b>Taita Taveta:</b> a) number of suspects arrested and prosecuted – 619; b) amount of seized wildlife products: ivory – 465 kg, bushmeat – 515 kg; c) % ratio of prosecutions to arrests – TBD in Y1  <b>Narok:</b> a) number of suspects arrested and prosecuted – 63; b) amount of seized wildlife products: ivory – 74 kg, bushmeat – 61 kg; c) % ratio of prosecutions to arrests – TBD in Y1	a) Increase at least by 20% b) Increase at least by 20% c) Increase at least by 20%	a) Stable or declining b) Stable or declining c) Increase by at least by 50%	<b>Data Collection:</b> Consultation with KWS and other enforcement agencies and IWT monitoring organizations  <b>MoV:</b> Annual reports and statistics provided by KWS, other enforcement agencies; TRAFFIC reports  <b>Assumptions:</b> Official national statistics are made available to the project as required in a timely manner; For a) number of arrests and b) number of seizures, it is assumed that increased efforts and increasing LE effectiveness will result in increases by mid-term, but that by the end of project, a reduction in illegal activity will have started to occur, resulting in stabilization and eventual decline in the number of arrests and seizures.
	<b>Indicator 9:</b> METT score for Masai Mara NR:	62	67	75	<b>Data Collection:</b> METT assessments conducted at mid-term and EoP. <b>MoV:</b> METT assessment results <b>Assumptions:</b> METT assessments conducted systematically for consistency at all stages
<b>Outcome 3</b> <b>Strengthened Community Wildlife Conservancies and increased benefits for local communities from CBWM and sustainable NRM in Tsavo and Maasai Mara Ecosystems</b>	<b>Indicator 10:</b> Total area of newly established conservancies with improved wildlife and natural resource management	0 ha	At least 1,600 ha (in the Maasai Mara ecosystem)	At least 23,000 ha (Total area of new conservancies established in the Maasai Mara ecosystem and in the Taita Ranches in the Tsavo ecosystem (21,400 ha) combined)	<b>Data Collection:</b> ongoing consultations with government authorities responsible for land registration and management; <b>MoV:</b> Government gazette notices for new conservancy areas <b>Assumptions:</b> Local populations, local and national government support the establishment of the new conservancies

	<p><b>Indicator 11:</b> Annual rate of retaliatory killing of elephants in the project areas (animals/ year). Baseline (2016)</p> <p>Note: Baseline data for 2016 provided by KWS to the PPG Team.</p>	<p><b>Taita Taveta:</b> 11 <b>Narok County:</b> 7</p>	Decrease by at least 20%	Decrease by at least 50%	<p><b>Data Collection:</b> Patrolling by ranger teams in project areas; project-led consultations with communities in areas affected by HWC;</p> <p><b>MoV:</b> Patrolling reports from project areas; project stakeholder consultation reports; KWS annual reports</p> <p><b>Assumptions:</b> Human-wildlife conflict mitigation actions, awareness campaigns and other supportive measures reduce and/or compensate for elephant damage and shift public opinion positively towards protecting elephants</p>
	<p><b>Indicator 12:</b> Percentage increase in average annual household income from wildlife conservation and implementation of SLM in the target conservancies</p>	To be established at the Inception phase, and ideally sex-disaggregated	Increased by at least 4%	Increased by at least 10%	<p><b>Data Collection:</b> socio-economic and livelihood surveys of sample communities at project inception, mid-term and EoP</p> <p><b>MoV:</b> Project survey reports</p> <p><b>Assumptions:</b> Conservancy management is effective and generates income that is available to share among communities; Revenue generated by conservancies is shared equitably among the beneficiaries.</p>
<p><b>Outcome 4</b></p> <p>Lessons learned by the project through participatory M&amp;E and gender mainstreaming are used nationally and internationally</p>	<p><b>Indicator 13:</b> Number of the lessons on IWT control and CBNRM learned by the Project that are identified and shared with other national and international projects</p>	0	>=2	>=5	<p><b>Data Collection:</b> Review of GEF GWP website, other websites and social media, reports on related projects, technical and scientific publications; communication with related project staff;</p> <p><b>MoV:</b> Reports from related projects; communications with GWP and related project staff;</p> <p><b>Assumptions:</b> GWP projects and other projects in Africa are interested to use lessons learned by this Project; Other projects make reference to the GEF project if they use its experience and lessons;</p>

	<b>Indicator 14:</b> Number of women participating in targeted gender-proactive investment, empowerment and capacity building activities at project sites	0	750	1500	<p><b>Data Collection:</b> gender disaggregated participation records to be maintained systematically by project staff leading community engagement activities at project sites</p> <p><b>MoV:</b> Project reports; progress reports to UNDP</p> <p><b>Assumptions:</b> Women are interested in participating in the Project to improve their livelihoods and social status.</p>
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## VII. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Component/Outcome Four: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies<sup>77</sup>.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.<sup>78</sup>

### **M&E Oversight and monitoring responsibilities:**

Technical Project Coordinator: The Technical Coordinator is responsible for ensuring that project implementation follows the most relevant strategy to reach its objectives of combatting IWT. The Technical Coordinator therefore has to undertake regular monitoring of project results and risks, including social and environmental risks, and ensure adaptive management. The Technical Coordinator will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Technical Coordinator will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Technical Coordinator will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project.

The M&E Expert: The M&E carries the overall responsibility for monitoring and evaluation and will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. ESMP, gender action plan, stakeholder engagement plan etc.) occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

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<sup>77</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>78</sup> See [https://www.thegef.org/gef/gef\\_agencies](https://www.thegef.org/gef/gef_agencies)

**Project Implementing Partner:** The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used and generated by the project supports national systems.

**UNDP Country Office:** The UNDP Country Office will support the Technical Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Technical Coordinator.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

**UNDP-GEF Unit:** Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

**Audit:** The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>79</sup>

#### **Additional GEF monitoring and reporting requirements:**

**Inception Workshop and Report:** A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; SESP, Environmental and Social Management Plan and other safeguard requirements; project grievance mechanisms; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

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<sup>79</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

The Technical Coordinator will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Coordinator, and will be approved by the Project Board.

GEF Project Implementation Report (PIR): The Technical Coordinator, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Technical Coordinator will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Tracking Tools: The GWP Tracking Tool submitted in Annex B will be used to monitor global environmental benefits. The baseline/CEO Endorsement GWP Tracking Tool in Annex B will be updated by the M&E Expert/Team (not the evaluation consultants hired to undertake the MTR or the TE) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GWP Tracking Tool will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3<sup>rd</sup> PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Technical Coordinator will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were

involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

**Final Report:** The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

#### **Mandatory GEF M&E Requirements and M&E Budget:**

**Table 8:** Project M&E table

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>80</sup> (US\$)		Time frame
		GEF grant	Co-financing	
<b>Inception Workshop</b>	UNDP Country Office	USD 10,000	USD 2,000	Within two months of project document signature
<b>Inception Report</b>	Technical Coordinator	None	None	Within two weeks of inception workshop
<b>Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP</b>	UNDP Country Office	None	None	Quarterly, annually
<b>Risk management</b>	Technical Coordinator Country Office	None	None	Quarterly, annually
<b>Monitoring of indicators in project results framework</b>	Technical Coordinator	20,000 Per year: 4,000	14,000	Annually before PIR
<b>GEF Project Implementation Report (PIR)</b>	Technical Coordinator and UNDP Country Office and UNDP-GEF team	None	None	Annually
<b>NIM Audit as per UNDP audit policies</b>	UNDP Country Office	15,000 Per year: 3,000	None	Annually or other frequency as per UNDP Audit policies
<b>Lessons learned and knowledge generation</b>	M&E Specialist	12,500 Per year: 2,500	35,000	Annually
<b>Stakeholder Engagement Plan</b>	Technical Coordinator M&E Specialist UNDP Country Office	12,500 Per year: 2,500	35,000	On-going
<b>Gender Action Plan</b>	Technical Coordinator M&E Specialist UNDP GEF team	10,000 Per year: 2,000	17,000	On-going

<sup>80</sup> Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>80</sup> (US\$)		Time frame
		GEF grant	Co-financing	
<b>Monitoring of environmental and social risks, and corresponding management plans as relevant</b>	M&E Specialist UNDP Country Office	Ad hoc – up to 5,000 earmarked	Ad hoc – on demand	Ongoing
<b>Indigenous People's Plan</b>	Technical Coordinator M&E Specialist UNDP Country Office	10,000 5,000 1,000	Ad hoc – on demand	To be drafted during the first year and implemented throughout the project period thereafter
<b>Risk Management Plan related to law enforcement action</b>	Technical Coordinator M&E Specialist UNDP Country Office	10,000 5,000 1,000	Ad hoc – on demand	To be drafted during the first year and implemented throughout the project period thereafter
<b>Grievances Redress Mechanism</b>	UNDP Country Office	5,000 earmarked	Ad hoc – on demand	Ongoing
<b>Project Board meetings</b>	Project Board UNDP Country Office Technical Coordinator	15,000 Per year: 3,000.	3,500	Minimum annually
<b>Supervision missions</b>	UNDP Country Office	None <sup>81</sup>	None	Annually
<b>Oversight missions</b>	UNDP-GEF team	None <sup>77</sup>	None	Troubleshooting as needed
<b>GEF Secretariat learning missions/site visits</b>	UNDP Country Office, Technical Coordinator, and UNDP-GEF team	None	None	To be determined.
<b>Mid-term GWP Tracking Tool to be updated</b>	M&E Specialist	2,500	12,000	Before mid-term review mission takes place.
<b>Independent Mid-term Review (MTR) and management response</b>	UNDP Country Office and Project team and UNDP-GEF team	36,500	5,000	Between 2 <sup>nd</sup> and 3 <sup>rd</sup> PIR.
<b>Terminal GWP Tracking Tool to be updated</b>	M&E Specialist	2,500	12,000	Before terminal evaluation mission takes place
<b>Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response</b>	UNDP Country Office and Project team and UNDP-GEF team	36,500	5,000	At least three months before operational closure
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<b>215,000</b>	<b>140,500</b>	

<sup>81</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.



## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

### Roles and responsibilities of the project's governance mechanism

The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Kenya and the Country Programme.

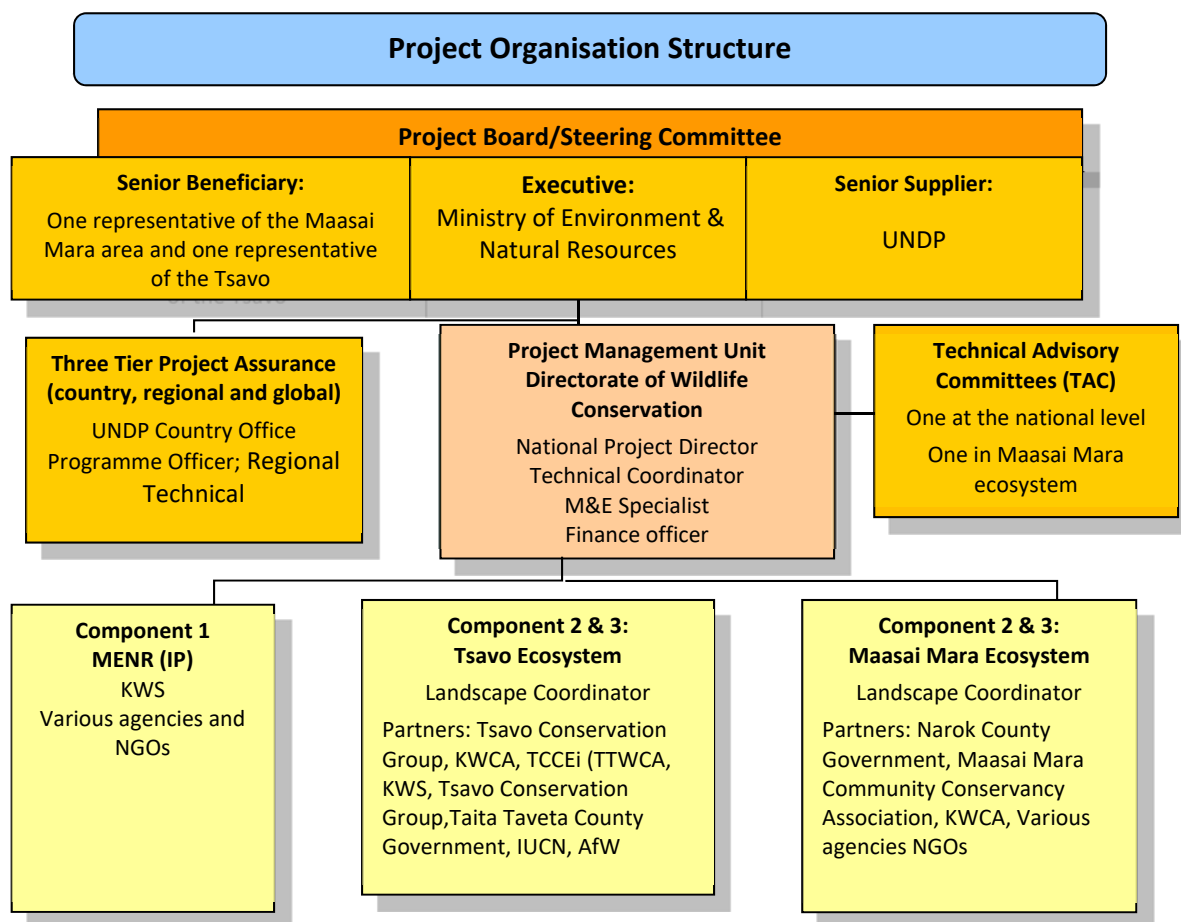
The **Implementing Partner** for this project is the Ministry of Environment and Natural Resources (MENR). The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Key Project partners will include the Kenya Wildlife Conservancy Association (KWCA) and partners in the Maasai Mara and Tsavo ecosystems.

The project organisation structure is as follows:



**Project Board:** The Project Board (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Technical Coordinator, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Technical Coordinator;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on Technical Coordinator's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the Technical Coordinator's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board will include the following roles:

Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is: the Principal Secretary, Natural Resources, MENR.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Technical Coordinator;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier is: UNDP Kenya.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;

- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

**Senior Beneficiary:** The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries, both male and female. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is: One representative of the Maasai Mara area (to be decided during the Inception Phase) and one representative of the Tsavo Community Wildlife Conservancies, respectively.

The Senior Beneficiary is responsible for validating the needs of both male and female beneficiaries and for monitoring that project implementation will meet those needs within the constraints of the project. The Senior Beneficiary role is to monitor progress against targets and quality criteria and should understand the need to promote gender equality through the project, and how to effectively identify and include relevant gender issues in practice. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute male and female beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Ensure that specifications of the needs of beneficiaries are as accurate, complete and unambiguous as possible;
- Safeguard that the implementation of project activities, at all stages, are monitored to ensure that they will meet the needs of the beneficiaries and are progressing towards that target;
- Confirm that any changes to the project are evaluated from the beneficiaries' point of view; and
- Follow-up that the risks to the beneficiaries are frequently monitored.

**Technical Project Coordinator (full-time):** The Technical Coordinator has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Technical Coordinator is responsible for day-to-day management and decision-making for the project. The Technical Coordinator's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. Full terms of reference is available in Annex D.

**Landscape Coordinators (full-time):** Two Landscape Coordinators will be recruited for the two target landscapes (Maasai Mara and Tsavo). The Landscape Coordinators will provide advice on how best to ensure collaboration among stakeholders and complementary of the different Project Components as well as with efforts by other stakeholders, and perform a coordination and liaison function among all stakeholders, including but not limited to: the conservancies in each landscape; national and local government entities, NGOs, project management, UNDP, the private sector, academia etc. The Landscape Coordinator is responsible for the timely progress of landscape-level activities as well as for their quality and will assist the Project Management with both day-to-day and strategic coordination activities required to support a cohesive functioning of the Project within each landscape.

**Project Assurance:** UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the GEF agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project

Board cannot delegate any of its quality assurance responsibilities to the Technical Project Coordinator. This project oversight and quality assurance role is covered by the GEF Agency.

Governance role for project target groups: The project target groups on the ecosystem level will be represented. In the Tsavo area by the Tsavo Community Wildlife Conservancies which is a governance body set up following specific governance principles and which allows for full engagement of its members, (and to be determined during the Inception Phase for the Maasai Mara area). To ensure that individuals can raise any social or environmental concerns, or complaints about project management, a grievance and redress mechanism will be put in place. At least one representative from each ecosystem will become part of the Project Board. These representatives should optimally be well-positioned representatives of the beneficiaries who still have an independent view and oversight function to ensure that Project interventions are on track.

Technical Advisory Committee (TAC): In addition, the establishment of three technical assurance committees (TACs) to support the multi-stakeholder work both at the national and the ecosystem levels of the project is envisaged. The national TAC will include a wide range of government and non-governmental partners indicated in the project document. The ecosystem-based TACs shall be established in each respective ecosystem, and include project partners and additional organisations of expertise relevant to the project.

Indicatively, the three committees shall be composed of the following partners:

- National- level TAC: MENR, KWS, KFS, KPS, KRA, Space for Giants, AWF, IFAW, UNODC, ICCF, WCO, Freeland Foundation, Peace Parks Foundation, KWCA, IUCN. For output 1.4. specifically, the Governments of Kenya and Tanzania, and representatives of the EAC shall be involved.
- Maasai Mara TAC: (To be decided during the Project Inception Phase)
- Tsavo TAC: the Tsavo Conservation Group, TTWCA, KWS, KPS, Taita Taveta County Government, David Sheldrick Wildlife Trust, Tsavo Trust, KWCA, AWF, IUCN, Savory Institute, Northern Rangeland Trust.

It is noted that partners may be appointed on an ad hoc manner, depending on the nature of their work relationship with the project activities at a time.

## IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 19,392,268. This is financed through a GEF grant of USD 3,826,605 and USD 15,565,663 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount, USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Ministry of Environment and Natural Resources	In kind	8,750,000	Components 1-3 Project Management	<b>Moderate</b> , the co-financing may be lower due to potential unstable political conditions in Kenya	Leverage additional funds from International NGOs and Development Agencies  Focus on Component 1 as a basis for effective LE
County Government of Taita Taveta	Grant	960,211	Output 2.1	<b>Moderate</b> , the co-financing may be lower due to potential unstable political conditions in Kenya	Leverage additional funds from International NGO and Development Agencies
Tsavo Conservation Group	Grant	2,460,452	Outputs 2.1, 3.1-3.3 in Tsavo Ecosystem	<b>Low</b> , the funds are secured	Not necessary
Kenya Wildlife Conservancies Association	In kind	275,000	Output 2.1-2.2, 3.1-3.4	<b>Low</b> , the funds are secured	Not necessary
Maasai Mara Conservancy Association	In kind	3,120,000	Output 2.2, 3.1-3.3 in Masai Mara Ecosystem	<b>Low</b> , the funds are secured	Not necessary
<b>Total:</b>		<b>15,565,663</b>			

UNDP Direct Project Services as requested by Government. Any services to be provided by the UNDP Country Office will be determined during the Project Inception Phase. This project is under NIM, UNDP will provide direct project services. The services would follow the UNDP DPC policies on GEF funded projects on the recovery of direct costs. As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, duly identified in the project budget as Direct Project Costs. Eligible Direct Project Costs should not be charged as a flat percentage. They should be calculated on the basis of estimated actual or transaction based costs and should be charged to the direct project costs account codes: “64397- Services to projects – CO staff” and “74596 – Services to projects – GOE for CO”.

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan, allowing the Technical Project Coordinator to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Technical Project Coordinator and UNDP Country Office will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>82</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>83</sup>.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

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<sup>82</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

<sup>83</sup> See [https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PPM\\_Project%20Management\\_Closing.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default).

## I. TOTAL BUDGET AND WORK PLAN

<b>Atlas Award No.</b>	00108255	<b>Atlas Project No.</b>	00108406
<b>Atlas Proposal or Award Title:</b>	Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach		
<b>Atlas Business Unit</b>	KEN10		
<b>Atlas Primary Output Project Title</b>	Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach		
<b>UNDP-GEF PIMS No.</b>	5468		
<b>Implementing Partner</b>	MENR		

GEF Outcome/Atlas Activity	Atlas Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)	Budget Note
Outcome 1. Increased national and local capacity to fight wildlife crime	MENR	62000	GEF TF	71300	National Consultants	\$34,000	\$30,000	\$30,000	\$30,000		\$124,000	1
				71200	International Consultants	\$78,000					\$78,000	2
				71400	Contractual Services - individuals	\$36,000	\$36,000	\$36,000	\$36,000	\$36,000	\$180,000	3
				71600	Travel	\$20,000	\$25,000	\$15,000	\$5,000	\$5,000	\$70,000	4
				72200	Equipment and Furniture	\$36,000	\$15,000	\$15,000			\$66,000	5
				75700	Training, Workshops and Confer	\$89,400	\$99,400	\$89,400	\$99,400	\$99,400	\$477,000	6
					<b>sub-total outcome 1</b>	<b>\$293,400</b>	<b>\$205,400</b>	<b>\$185,400</b>	<b>\$170,400</b>	<b>\$140,400</b>	<b>\$995,000</b>	
					<b>Total GEF Outcome 1</b>	<b>\$293,400</b>	<b>\$205,400</b>	<b>\$185,400</b>	<b>\$170,400</b>	<b>\$140,400</b>	<b>\$995,000</b>	
Outcome 2. Increased effectiveness of PAs, local law enforcement agencies and communities to control poaching and IWT in Tsavo and Maasai Mara Ecosystems	MENR (Masai Mara)	62000	GEF TF	72100	Contractual Services-Companies	\$9,900	\$9,900	\$9,900	\$9,900	\$9,900	\$49,500	7
				71400	Contractual Services - individuals	\$9,600	\$9,600	\$9,600	\$9,600	\$9,600	\$48,000	8
				72200	Equipment and Furniture	\$166,000	\$116,000				\$282,000	9
				75700	Trainings and workshops	\$24,000	\$24,000				\$48,000	10
					<b>Sub-total outcome 2</b>	<b>\$209,500</b>	<b>\$159,500</b>	<b>\$19,500</b>	<b>\$19,500</b>	<b>\$19,500</b>	<b>\$427,500</b>	
	MENR (Tsavo)	62000	GEF TF	72100	Contractual Services-Companies	\$22,300	\$10,300	\$10,300	\$10,300	\$10,300	\$63,500	11
				71400	Contractual Services - individuals	\$9,600	\$9,600	\$9,600	\$9,600	\$9,600	\$48,000	12
				71600	Travel	\$35,000	\$30,000	\$30,000	\$30,000	\$30,000	\$155,000	13
				72200	Equipment and Furniture	\$117,632	\$52,948	\$29,948	\$29,948	\$29,948	\$260,424	14
				72300	Materials and Goods	\$154,167	\$154,168				\$308,335	15
				75700	Training, Workshops and Confer	\$20,000					\$20,000	16
					<b>Sub-total outcome 2</b>	<b>\$358,699</b>	<b>\$257,016</b>	<b>\$79,848</b>	<b>\$79,848</b>	<b>\$79,848</b>	<b>\$855,259</b>	
					<b>Total Outcome 2</b>	<b>\$568,199</b>	<b>\$416,516</b>	<b>\$99,348</b>	<b>\$99,348</b>	<b>\$99,348</b>	<b>\$1,282,759</b>	
Outcome 3. Strengthened Community Wildlife Conservancies and benefits for local communities from	MENR (Masai Mara)	62000	GEF TF	72100	Contractual Services-Companies	\$38,100	\$48,100	\$48,100	\$28,100	\$28,100	\$190,500	17
				71400	Contractual Services - individuals	\$9,000	\$9,000	\$9,000	\$9,000	\$9,000	\$45,000	18
				72300	Materials and Goods		\$20,000	\$20,000	\$10,000		\$50,000	19
				75700	Training, Workshops and Confer	\$15,000	\$20,000	\$15,000	\$5,000	\$5,000	\$60,000	20
					<b>Sub-total outcome 3</b>	<b>\$62,100</b>	<b>\$97,100</b>	<b>\$92,100</b>	<b>\$52,100</b>	<b>\$42,100</b>	<b>\$345,500</b>	

GEF Outcome/Atlas Activity	Atlas Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)	Budget Note
CBWM and SLM in Tsavo and Maasai Mara Ecosystems	MENR (Tsavo)	62000	GEF TF	72100	Contractual Services-Companies	\$7,300	\$7,300	\$7,300	\$7,300	\$7,300	\$36,500	21
				71400	Contractual Services - individuals	\$52,200	\$52,200	\$47,200	\$37,200	\$37,200	\$226,000	22
				71600	Travel	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$50,000	23
				72200	Equipment and Furniture	\$29,000	\$23,000				\$52,000	24
				72300	Materials and Goods		\$20,000	\$20,000	\$10,000		\$50,000	25
				75700	Training, Workshops and Confer	\$10,000	\$10,000	\$10,000	\$5,000	\$5,000	\$40,000	26
					Sub-total outcome 3	\$108,500	\$122,500	\$94,500	\$69,500	\$59,500	\$454,500	
	MENR	62000	GEF TF	72100	Contractual Services-Companies	\$15,000	\$15,000	\$15,000	\$15,000	\$15,000	\$75,000	27
				75700	Training, Workshops and Confer	\$15,000	\$15,000	\$10,000			\$40,000	28
	UNDP			72600	Grants	\$40,000	\$70,000	\$40,000			\$150,000	29
					Sub-total outcome 3	\$70,000	\$100,000	\$65,000	\$15,000	\$15,000	\$265,000	
					Total Outcome 3	\$240,600	\$319,600	\$251,600	\$136,600	\$116,600	\$1,065,000	
Lessons learned by the project through participatory M&E and gender mainstreaming are used nationally and internationally	MENR	62000	GEF TF	71200	International Consultants	\$13,000		\$19,500		\$19,500	\$52,000	30
				71300	Local Consultants			\$12,000		\$12,000	\$24,000	31
				71400	Contractual Services - individuals	\$24,000	\$24,000	\$24,000	\$24,000	\$24,000	\$120,000	32
				71600	Travel	\$2,000	\$2,000	\$6,000	\$5,000	\$6,000	\$21,000	33
				72500	Supplies	\$2,500	\$500	\$500	\$500	\$627	\$4,627	34
				74100	Professional Services	\$3,000	\$3,000	\$3,000	\$3,000	\$3,000	\$15,000	35
				74200	Audio Visual&Print Prod Costs			\$5,000	\$10,000	\$5,000	\$20,000	36
				75700	Training, Workshops and Confer	\$15,000	\$5,000	\$15,000	\$5,000	\$5,000	\$45,000	37
					Sub-total outcome 4	\$59,500	\$34,500	\$85,000	\$47,500	\$75,127	\$301,627	
					Total Outcome 4	\$59,500	\$34,500	\$85,000	\$47,500	\$75,127	\$301,627	
Project Management Unit	MENR	62000	GEF TF	71400	Contractual Services - individuals	\$24,000	\$24,000	\$24,000	\$24,000	\$24,000	\$120,000	38
				71600	Travel	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000	\$10,000	39
				72200	Equipment and Furniture	\$13,000	\$2,000	\$1,000	\$500	\$719	\$17,219	40
				72500	Supplies	\$1,000	\$1,000	\$1,000	\$1,000	\$1,000	\$5,000	41
				74596	Direct Project Costs	\$20,000	\$10,000	\$0	\$0	\$0	\$30,000	42
					Sub-total of PMU	\$60,000	\$39,000	\$28,000	\$27,500	\$27,719	\$182,219	
					Total Project Management	\$60,000	\$39,000	\$28,000	\$27,500	\$27,719	\$182,219	
PROJECT TOTAL						\$1,221,699	\$1,015,016	\$649,348	\$481,348	\$459,194	\$3,826,605	



## Summary of Funds

Source of Funds	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Total
<b>GEF</b>	\$1,221,699	\$1,015,016	\$649,348	\$481,348	\$459,194	<b>\$3,826,605</b>
<b>Government (Ministry of Environment and Natural Resources)</b>	\$1,500,000	\$1,500,000	\$1,750,000	\$2,000,000	\$2,000,000	<b>\$8,750,000</b>
<b>County Government of Taita Taveta</b>	\$100,000	\$150,000	\$200,000	\$250,000	\$260,211	<b>\$960,211</b>
<b>Tsavo Conservation Group</b>	250000	320000	430000	540000	720452	<b>\$2,260,452</b>
<b>Kenya Wildlife Conservancies Association</b>	50000	53000	55000	58000	59000	<b>\$275,000</b>
<b>Maasai Mara Conservancy Association</b>	\$500,000	\$560,000	\$560,000	\$750,000	\$750,000	<b>\$3,120,000</b>
<b>TOTAL</b>	<b>\$3,621,699</b>	<b>\$3,598,016</b>	<b>\$3,644,348</b>	<b>\$4,079,348</b>	<b>\$4,248,857</b>	<b>\$19,192,268</b>

Budget Notes	
Component 1	
1	<b>National Consultants:</b> National expert on IWT planning support to develop the Strategy and Operational Plan USD 40,000 (output 1.1); Border post assessment for the establishment of one Multi-Agency Unit along the Kenya-Tanzania border USD 14,000 (output 1.2); Trans-frontier consultations, planning and drafting of international agreements between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and Tsavo-Mkomazi Trans-Frontier Conservation Areas (TFCAs) (Output 1.4) (USD 70,000) <b>TOTAL: USD 124,000</b>
2	<b>International Consultant:</b> Inception phase support advisor to undertake further consultations, further articulate Project inputs and outputs, develop technical ToR, identify qualified service providers. (Outputs under Outcome 1-3) (100 days at 600= USD 60,000) Wildlife security safeguard consultant to develop a robust law-enforcement approach based on integrity throughout the Project (Outputs 1.2, 1.3, 2.1, 2.2) USD 600/day x 30 = USD 18,000. <b>Total USD 78,000</b>
3	<b>Contractual Services Individual:</b> Technical Project Coordinator for coordination of project inputs to support the Working Committee for the development of the Wildlife Strategy to lead the participatory process with all interested stakeholders in discussions and the development of the Anti-Poaching Strategy document; and strengthening national, inter-agency coordination and vertical coordination (national – local) (Output 1.1); development of a pilot MAU process on the Tanzanian border, and evaluation and sharing of the results through GWP (Output 1.2); Facilitate agency inputs to training programmes (Output 1.3); facilitate Trans-frontier consultations, planning and drafting of international agreements between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and Tsavo-Mkomazi Trans-Frontier Conservation Areas (TFCAs), and development of partnership agreements with other donors (Output 1.4) (60 months at USD 3000 = USD 180,000).
4	<b>Travel:</b> MENR team travel for IWT strategy development consultations USD 20,000 (output 1.1); Exchange visits for the MAU to other WCO Units: 10,000 x 2 years = USD 20,000 (output 1.2); Trans-frontier consultation meetings for international agreements between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and Tsavo-Mkomazi TFCAs - USD 30,000 (output 1.4) <b>TOTAL: USD 70,000</b>
5	<b>Equipment &amp; Furniture:</b> Project vehicle (USD 46,000) (output 1.1); Equipment for Multi Agency Unit (USD 20,000) (output 1.2) <b>TOTAL USD 66,000</b>

Budget Notes	
6	<b>Training &amp; consultations:</b> Output 1.1 & Output 1.2. \$35,000 – for meetings and consultations with stakeholders on Strategy and Operational Plan. Establishment of the MAU Steering Committee and operational sub-committee, development of TORs for MAU; Output 1.2.: Training programme for MAU/s: Theoretical training on CCP (7 days): 34,000 ; Practical training on CCP (7 days): 34,000 ; UNODC/WCO mentoring (3 years): 21,000 ; Advanced - Specialized Training on Container Control Programme: 20,000; Wildlife product detection and identification and CITES regulations training for MAUs: 20,000; Output 1.3.: Prosecution skills for KWS and OPDD prosecutors trainings: \$12,000 x 4 trainings = 48,000; Basic investigation for KWS and KFS investigators trainings: \$20,000 x 2 trainings (\$ 40,000) ; Scene of crime management for first respondents for KWS inspectors: \$20,000 x 4 trainings (\$80,000); Judiciary sensitization training: \$20,000 x 3 trainings (\$60,000); Awareness-raising and education (\$25,000)iCITES regulations and permits for KWS and KRA: \$,5000 x 5 trainings (\$25,000); Identification of wildlife specimens manual (\$10,000); DNA Forensic Training in South Africa (\$25,000) - <b>TOTAL USD 477,000</b>
Component 2	
7	<b>Subcontracted inputs for Maasai Mara ecosystem partner:</b> Output 2.2: Establishment and initial operations of the Maasai Mara National Reserve – Conservancy Anti-Poaching Task Force in Narok County, including collaboration agreement with stakeholders, Coordinating Committee development, implementation of joint Task Force operations, exchange of information, and capacity development - <b>TOTAL USD 49,500</b>
8	<b>Contracted services individuals:</b> Landscape Coordinator for Masaai Mara Ecosystem – to coordinate overall project inputs, facilitate stakeholder engagement and gender mainstreaming, reporting (Output 2.2) 24 months at USD 2000 = <b>USD 48,000</b>
9	<b>Maasai Mara ecosystem:</b> Output 2.2: Four 4x4 vehicles at \$58,000 each; uniforms and equipment for 30 NR and 30 Community rangers each (at \$500); VHF radio and equipment - <b>TOTAL: USD 282,000</b>
10	<b>Maasai Mara ecosystem:</b> Output 2.2: Training of 20 NR and 200 Community rangers at KWS Manyati Training Academy. <b>TOTAL USD 48,000.</b>
11	<b>Subcontracted inputs for Tsavo ecosystem partner:</b> Output 2.1: Build and strengthen inter-agency anti-poaching efforts in the Taita Ranches through organizing a complex wildlife security system including: A Wildlife Security Hub (base) located in Lumo Ranch, 5 patrolling community ranger groups, One Quick Response Unit, Coordination and cooperation with the other 16 anti-poaching brigades in the area. <b>TOTAL USD 51,500</b>
	<b>Feasibility Study for wildlife-friendly solutions to the Mombasa-Nairobi highway (study to be used in advocacy) (USD 12,000) - TOTAL USD 63,500</b>
12	<b>Contracted services individuals:</b> Landscape Coordinator for Tsavo Ecosystem – to coordinate overall project inputs, facilitate stakeholder engagement and gender mainstreaming, reporting (Output 2.1) 24 months at USD2000 = <b>USD 48,000</b>
13	<b>TCG:</b> Output 2.1: Support for vehicle running costs for anti-poaching patrolling operations across rough terrain (estimated at 1,500km per month per vehicle; USD 83,000); Aircraft running costs (\$300 per hour, 240 hours flying time = USD 72,000). <b>TOTAL USD 155,000.</b>
14	<b>TCG:</b> Output 2.1: Maintenance of new infrastructure and equipment; 50% of cost of two Land Cruisers (or similar cars) to support patrol groups in case of emergency (RRF) and for logistics. (USD 52,000); Radio Net expansion: Radios and Communications equipment, Tracking equipment, Solar Power; copy machine, phones <b>TOTAL USD 260,425.</b>
15	<b>TCG:</b> Output 2.1: Infrastructure security hub: Built Infrastructure: Operations Room, Radio room, Secure Armoury, Liaison/Community Office, Medical (Treatment Room), Accommodation, Stores, Holding Cells, Vehicle Ports, Room containing washing facilities and toilets, Airstrip, Bore hole, electricity. <b>TOTAL USD 330,335.</b>
16	<b>TCG:</b> Output 2.1: Taita Taveta Community Ranger trainings at KWS Manyani Academy (\$20,000). <b>Total USD 20,000</b>
Component 3	
17	<b>Subcontracted inputs for Maasai Mara ecosystem partner:</b> Output 3.1: Development of a Mara ecosystem plan, introduction and implementation of FLOD against wildlife crime approach to inform the planning process, support for Ecosystem Committee with representatives of key stakeholders to facilitate the implementation, monitoring and evaluation of the plan in a fully participatory manner. Output 3.2: Support for setting up conservancy governance structures, providing necessary conservancy management trainings, developing legal entity and land leasing documents, preparing Conservancy plans (resources mapping, management plan, sustainability and grazing plans), and setting up a conservancy volunteers campsite and wildlife tourism programmes. <b>TOTAL USD 190,500.</b>

Budget Notes	
18	<b>Contracted services individuals:</b> Landscape Coordinator for Masaai Mara Ecosystem – to coordinate overall project inputs, facilitate stakeholder engagement and gender mainstreaming, reporting (Outputs 3.1 and 3.2) 36 months at USD1250 = <b>USD 45,000</b>
19	<b>Materials and Goods:</b> Output 3.2: For investments in support of CBNRM and SLM in the two newly established conservancies in Maasai Mara. <b>TOTAL USD 50,000</b>
20	<b>Workshops:</b> EMP consultations for Maasai Mara (output 3.1) USD 15,000, conservancy governance trainings (output 3.2) USD 45,000). <b>TOTAL USD 60,000.</b>
21	<b>Subcontracted inputs for Tsavo ecosystem partner:</b> Output 3.1: Support for developing and implementing range management plans, to be integrated into the ongoing Taita Taveta County LUP. Output 3.2: Support for the process of establishing one large and encompassing Conservancy in the Taita area via a collaborative agreement among 23 ranches and conservancies, including development of appropriate documentation for the larger area to be officially designated as having conservancy status, the elaboration of relevant by-laws and a capacity development plan; Conservancy Committee members will be provided with required training and mentoring. <b>TOTAL: USD 36,500.</b>
22	<b>Contracted services individuals:</b> Landscape Coordinator for Tsavo Ecosystem – to coordinate overall project inputs, facilitate stakeholder engagement and gender mainstreaming, reporting (Outputs 3.1 and 3.2) 36 months at USD1250 = <b>USD 45,000</b> Output 3.2 Joint-Services Hub <u>community-employment</u> : Radio Operators, Storekeepers, Driver/Mechanic, Admin Clerk, Cook, Kitchen assistants/cleaners, Security Watchmen; EMP consultancy <b>USD 181,000. TOTAL USD226,000</b>
23	<b>Travel:</b> Outputs 3.1 and 3.2: Portion of Vehicle running costs for Tsavo range management (1,500km per month per vehicle, USD 20,000); Aircraft running costs (\$300 per hour, for 100 hours flying time = USD 30,000). <b>TOTAL USD 50,000.</b>
24	<b>Equipment:</b> Outputs 3.1 and 3.2: 50% of cost of two Land Cruisers (or similar cars) to support patrol groups in case of emergency (RRF) and for logistics at Tsavo. <b>Total: USD 52,000.</b>
25	<b>Materials and Goods:</b> Output 3.2: For investments in the newly established conservancy at Tsavo. <b>Total USD 50,000</b>
26	<b>Workshops and Meetings:</b> Outputs 3.1 and 3.2: EMP consultations (output 3.1) USD 15,000, conservancy governance training at Tsavo (output 3.2) USD 25,000. <b>Total USD 40,000</b>
27	<b>Subcontract:</b> Output 3.4: Consultancy to provide technical support/advice for the establishment of the Wildlife Conservation Trust Fund within KWCA to service Kenya's conservancies (USD 75,000).
28	<b>Workshops and Training:</b> Output 3.2: LAMP training for project partner conservancies in Maasai Mara ecosystem (25,000 USD) and Tsavo ecosystem (15,000 USD): <b>Total: USD 40,000</b>
29	<b>Grants:</b> Output 3.3: Provision of grants to the newly established conservancies through UNDP's Micro-Capital Grant Mechanism to pilot revenue generating options within the target conservancies for women in particular. <b>Total USD 150,000</b>
Component 4	
30	<b>International consultants:</b> 30 and 30 days at \$650 for MTR (Y3) and TE (Y5) (\$39,000); 20 days at \$650 for additional social impact assessment of proposed project interventions at the inception phase due to the project categorization as moderate risk (USD 13,000) (Output 4.2). <b>TOTAL: 52,000</b>
31	<b>National Consultants:</b> 30 and 30 days at \$400 for MTR and TE - <b>TOTAL USD 24,000</b> (Output 4.2)
32	<b>Contractual Services Individual:</b> M&E Specialist coordination support for project M&E inputs (60 months at USD 2000 / month) <b>TOTAL = USD120,000.</b>
33	<b>Travel:</b> Travel: for communications and knowledge management activities (\$3000), and participation in GWP events and presenting project results at international conferences (eg CITES COP side events (\$3000) (Output 4.1); for MTR (\$5000) and TE (\$5000); annual monitoring of project RF indicators (\$5000) (Output 4.2) <b>TOTAL USD 21,000</b>
34	<b>Supplies:</b> for production of project communications materials - reports, etc (\$4,627) (Output 4.1)
35	<b>Professional services:</b> Annual audit (\$3000/ year) total \$15,000;(Output 4.2). <b>TOTAL 15,000</b>
36	<b>AV and printing:</b> for project reports and communications materials (\$10,000), and case studies and lessons learned (\$10,000) (Output 4.1) <b>TOTAL USD 20,000</b>

Budget Notes	
37	<b>Workshops:</b> Inception workshop \$10,000 (Y1), MTR workshop \$10,000 (Y3), Semi-annual PB meetings at \$1500 (\$15,000); Semi-annual TAC meetings at \$1000 (\$10,000) (Output 4.2) <b>TOTAL: USD 45,000</b>
Project Management	
38	<b>Contractual Services Individual:</b> PMU Finance Officer 60 months at \$2,000 = <b>\$120,000</b>
39	<b>PMU travel:</b> For Project oversight and operationalization, including site inspections and participation in activities in the project sites. Also includes travel to Inception Workshop, Mid-Term Review and Terminal Evaluation. <b>Total: USD 10,000</b>
40	<b>Office equipment and furniture for the PMU office:</b> Up to 3 computers (at up to USD 1,000 per computer), printer/scanner, communication equipment (telephones, cell phones) etc. <b>Total: USD 17,219</b>
41	<b>PMU office supplies:</b> Including car maintenance (vehicle budgeted under Component 1) and fuel supplies for Project-related activities of the PMU. <b>Total: USD 5,000</b>
42	<b>Direct Project Costs:</b> Estimated charges by Kenya UNDP Country Office of USD 30,000 reserved for DPC. Exact DPC will be calculated based on the approved annual work plan and charged to the project budget accordingly. <b>Total: USD 30,000</b>

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## II. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Kenya and UNDP, signed on 17 January 1991. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the Ministry of Environment and Natural Resources (MENR) (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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### III. RISK MANAGEMENT

Consistent with the Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, Project partners, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', partners', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with Project partners, subcontractors and sub-recipients.

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each partner, responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

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#### **IV. MANDATORY ANNEXES**

- A. Multi-year Workplan
- B. GWP Tracking Tool (s) at baseline (including for METT Maasai Mara National Reserve)
- C. Overview of technical consultancies/subcontracts
- D. Terms of Reference for Project Board, Technical Project Coordinator, Chief Technical Advisor and other positions as appropriate
- E. UNDP Social and Environmental and Social Screening Template (SESP) and Environmental and Social Management Plan (ESMP) for moderate and high-risk projects
- F. List of Stakeholders consulted during project preparation
- G. Gender Analysis and Action Plan
- H. UNDP Risk Log
- I. Results of the capacity assessment of the project implementing partner and HACT micro assessment
- J. ICCWC Framework Indicators Assessment report
- K. Co-financing letters
- L. LOA between UNDP and Government of Kenya for DPC
- M. UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system by UNDP Country Office, does not need to be attached as separate document)



## Annex A: Multi Year Work Plan

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
PROJECT START UP	Recruit PMU members of PMU team	PMU	X	X																		
	Orient PMU members		X	X																		
	National Inception workshop			X																		
	Local level inception workshops			X																		
Gender mainstreaming	Detailed analysis of gender mainstreaming needs	PMU		X	X																	
	Development of gender mainstreaming strategy				X																	
	Monitoring and follow-up of gender mainstreaming effectiveness					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Monitoring and evaluation	Review of logical framework and indicators	PMU		X			X		X		X		X		X		X		X		X	
	Generation of missing baseline data for indicators			X	X																	
	Drafting and implementation of Indigenous People's Plan			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Drafting and implementation of Risk Management Plan for Law Enforcement			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Measurement of indicators	CO			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Internal review and organisation of indicator data				X																	
	Set-up Grievances Redress Mechanism and implement it																					
	Mid-term review	CO									x	x										
	Final evaluation	CO																		x	X	
	PROJECT CLOSURE	Negotiation of details of exit/sustainability strategy	PMU																		X	X
Review/feedback workshop																						X
Administrative closure																						
OUTCOME 1																						
Output 1.1. Kenya’s National Strategy to Combat Poaching and Illegal Wildlife Trade developed, officially approved, and implemented	Convene Working Committee for the Wildlife Strategy	MENR/ KWS	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Undertake consultations	MENR			X	X	X	X														
	Draft Strategy & Operational Plan	MENR							X	X	X	X										
	Submit final strategy documents for official approval	MENR										X										
	Undertake biennial ICCWC indicator framework assessment to track progress	MENR								X									X			
Output 1.2. Multi-Agency Unit approach to control illegal wildlife and forest trafficking on the Kenya-	Development of TOR for the Unit and interagency agreements	MENR			X	X																

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Tanzania border strengthened and replicated.	Procurement of the equipment for the Unit	MENR				X	X	X														
	Trainings and mentoring of the Unit	MENR						X	X	X	X	X	X	X	X	X	X	X				
	Exchange visits to other MAUs established by WCO and UNODC	MENR						X								X						
<b>Output 1.3.</b> Training on wildlife crime related issues conducted for KWS, KRA, NPS and judges in the project areas	Development of training programmes	MENR		X	X	X																
	Delivery of the training programmes in the project areas	MENR				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 1.4.</b> International agreement between Kenya and Tanzania on protection and management of Maasai Mara - Serengeti and Tsavo-Mkomazi Trans-Frontier Conservation Areas (TFCAs) developed, submitted to the country governments for signing	Drafting MOUs on intention of establishment of Mara-Serengeti and Tsavo TFCAs and related consultations	MENR				X	X	X	X	X	X											
	Drafting a Treaty between Governments of Kenya and Tanzania	MENR								X	X	X	X	X	X							
	Development Terms of References for organizational and operational arrangements	MENR												X	X	X						
	Follow-up donor mobilization and strategic planning	MENR														X	X	X	X	X	X	X
<b>OUTCOME 2</b>																						
<b>Output 2.1.</b> Inter-agency-community Wildlife Security Hub in Taita	Set up multi-agency Wildlife Security Hub; establish governance structure &	Relevant Conservancies Association/s	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Ranches (Tsavo Ecosystem) established and functional	operational plan and implement																					
	Develop needed infrastructure to support hub	Relevant Conservancies Association/s	X	X	X	X	X															
	Implement training for community-scouts	Relevant Conservancies Association/s				X	X	X	X				X				X					
	Implement community engagement and awareness raising	Relevant Conservancies Association/s			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Implement joint LE responses and track efforts and successes (M&E system, SMART, WILD others already used in area)	Relevant Conservancies Association/s			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Review integrated response and undertake adaptive planning	Relevant Conservancies Association/s	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 2.2.</b> Maasai Mara National Reserve – Conservancy Anti-Poaching Task Force established and supported with trainings and equipment	Establish Maasai Mara National Reserve – Conservancy Anti-Poaching Task Force (TF) and draft collaboration agreement	Relevant Conservancies Association/s			X	X																
	Operationalise Coordinating Committee overseeing the TF work (annual plans for the TF; annual reports)	Relevant Conservancies Association/s				X	X															

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Train rangers at the KWS Law Enforcement Academy in Manyani	Relevant Conservancies Association/s					X	X	X	X												
	Equip TF and facilitate operations	Relevant Conservancies Association/s					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Track efforts and successes (M&E system, SMART, WILD other already used in area)	Relevant Conservancies Association/s					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Outcome 3																						
<b>Output 3.1.</b> Ecosystem Management Plans for Tsavo and Maasai Mara Ecosystems are developed, officially approved, and implemented in cooperation with local communities, NGOs, and private sector.	Develop concept for Ecosystem Management Plan (EMP) incl. FloD approach	Relevant Conservancies Association/s PMU support			X	X	X															
	Formulate Tors and recruit technical partners to conduct process	Relevant Conservancies Association/s					X	X	X													
	Set up or use existing multi-stakeholder platforms for consultation and discussion of expert inputs; facilitate stakeholder engagement	Relevant Conservancies Association/s				X	X	X	X	X	X	X	X	X								
	Develop and agree to EMP and relevant implementation mechanism	Relevant Conservancies Association/s										X	X	X	X	X	X	X	X	X	X	X
	Monitor implementation and report back to county	Relevant Conservancies Association/s				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	governments on progress																					
<b>Output 3.2.</b> At least two Community Wildlife Conservancies (Mgeno Ranch in Tsavo, and one in Maasai Mara ecosystem) are formally established and have sufficient management capacity.	Confirm pre-identified Conservancies	Relevant Conservancies Association/s	X	X																		
	Implement LAMP training and set up relevant governance improvements incl. at CA level	Relevant Conservancies Association/s			X	X	X	X														
	Develop conservancy management plans	Relevant Conservancies Association/s					X	X	X	X												
	Linked to outcome 2, invest into community LE approaches	Relevant Conservancies Association/s					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Identify and support priority small grant type investments	Relevant Conservancies Association/s					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Implement community engagement and awareness activities	Relevant Conservancies Association/s					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Help access of follow-up funding for small investments (linked to KWCA and output 3.3 and 3.4)	Relevant Conservancies Association/s with PMU and KWCA					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Facilitate community grievance mechanism and monitor community benefits	Relevant Conservancies Association/s with PMU	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 3.3.</b> Revenue-generating options are piloted within the target	Identification of new revenue-generating activities	Relevant Conservancies Association/s with KWCA	X	X	X																	

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
conservancies in Tsavo and Maasai Mara Ecosystems	Piloting of the activities identified during Inception	Relevant Conservancies Association/s with KWCA				X	X	X	X	X	X	X										
	Identification of new revenue-generating activities from the Management Plan for Maasai Mara (Output 3.2)	Relevant Conservancies Association/s with KWCA									X	X	X	X	X							
	Piloting of the activities identified in the Management Plan for Maasai Mara	Relevant Conservancies Association/s with KWCA												X	X	X	X	X	X	X	X	X
	Identification of new revenue-generating activities from the Management Plan for Tsavo (Output 3.2)	Relevant Conservancies Association/s with KWCA									X	X	X	X	X							
	Piloting of the activities identified in the Management Plan for Tsavo	Relevant Conservancies Association/s with KWCA												X	X	X	X	X	X	X	X	X
	Develop relevant knowledge management products on learning																X	X	X	X	X	X
<b>Output 3.4.</b> Small Grant Facility for Conservancies is established and managed by KWCA and provides support to target conservancies in Tsavo and Maasai Mara Ecosystems	Develop concept paper for small-grant type facility for project targets conservancies, and all KWCA membership	KWCA	X	X	X	X																

Outputs	Activities	Resp. entity	Year 1				Year 2				Year 3				Year 4				Year 5			
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Solicit supporters for small grant-type facility	KWCA			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Establish governance mechanism for facility	KWCA			X	X	X	X														
	Operationalize small-grants facility	KWCA					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Monitor implementation and report; implement adaptive management	KWCA	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Develop relevant knowledge management products on learning	KWCA															X	X	X	X	X	X
<b>Outcome 4</b>																						
<b>Output 4.1.</b> Detailed gender mainstreaming strategy developed and used to guide project implementation, monitoring and reporting	See Gender Mainstreaming above	MENR			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 4.2.</b> Participatory project monitoring, evaluation and learning framework is developed and implemented	See M&E above	MENR	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 4.3.</b> Lessons learned from the project are shared with GWP and other conservation programmes	Lessons learnt documents and shared	MENR	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X



## **Annex B: GWP Tracking Tool at baseline**

Please see separate file.

## Annex C: Overview of Technical Consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
<b>For Technical Assistance</b>		
<b>Outcome 1</b>		
<b>Local / National contracting</b>		
<b>Inception Phase Support Advisor</b> Lumpsum \$ 60,000	100 days over first 6 months	<ul style="list-style-type: none"> <li>Undertake further consultations</li> <li>Further articulate Project inputs and outputs</li> <li>Develop technical ToRs</li> <li>Identify qualified service providers</li> </ul>
<b>Consultancy to develop national strategy</b> Lumpsum \$ 40,000	100 days over three years	<ul style="list-style-type: none"> <li>Facilitate multi-stakeholder process of strategy development; work with and support established committee</li> <li>Draft strategy; with PMU and MENR refine through review process</li> <li>Support MENR in preparing strategy for government approval</li> </ul>
<b>Consultancy for border post assessment</b> Lumpsum \$ 14,000	1,5 months	<ul style="list-style-type: none"> <li>Undertake border-post assessment according to applicable standards</li> <li>Make recommendations for follow-on investments</li> </ul>
<b>Wildlife Security Safeguard consultant</b> Lumpsum \$ 18,000	30 days over 6 months	<ul style="list-style-type: none"> <li>Develop a robust law-enforcement approach based on integrity throughout the Project</li> <li>Specify how the approach shall be implemented</li> <li>Specify how the approach shall be monitored</li> </ul>
<b>Consultancy to support transfrontier planning</b> Lumpsum \$ 70,000	7 months over 4 years	<ul style="list-style-type: none"> <li>Facilitate multi-stakeholder process of TFCA agreement and strategy development; work with and support established committees, including ensuring that relevant gender aspects (representation in decision-making and proper treatment of issues of particular importance to women) are appropriately considered</li> <li>Draft strategy; with PMU and MENR refine through review process</li> <li>Support MENR in preparing MOUs, and other agreements</li> <li>Support preparation of international agreements between Kenya and Tanzania</li> </ul>
<b>Technical Project Coordinator</b> Lumpsum \$180,000	60 months / over 5 years	See detailed TORs in Annex D.
<b>Outcome 2</b>		

Consultant	Time Input	Tasks, Inputs and Outputs
<b>Local / National contracting</b>		
<b>Subcontracted inputs, Maasai Mara ecosystem partner</b> Total: \$49,500		<ul style="list-style-type: none"> <li>Establishment and initial operation of Maasai Mara National Reserve</li> <li>Collaboration agreement with stakeholders</li> <li>Coordinating committee development</li> <li>Implementation of joint task force operations</li> <li>Exchange of information</li> <li>Capacity development</li> </ul>
<b>Landscape coordinator, Maasai Mara Ecosystem (also for Outcome 3)</b> Lumpsum \$48,000	24 months over 5 years	<ul style="list-style-type: none"> <li>Coordinate multi-stakeholder implementation of project</li> <li>Provide advice on how best to ensure collaboration among stakeholders and complementary of the different Project Components as well as with efforts by other stakeholders,</li> <li>Perform a coordination and liaison function among all stakeholders, including but not limited to: the conservancies in each landscape; national and local government entities, NGOs, project management, UNDP, the private sector, academia etc.</li> <li>Ensure the timely progress of landscape-level activities as well as for their quality</li> <li>Assist the Project Management with both day-to-day and strategic coordination activities required to support a cohesive functioning of the Project within each landscape.</li> </ul>
<b>Subcontracted inputs, Tsavo ecosystem partner</b> Total: \$51,500		<ul style="list-style-type: none"> <li>Build and strengthen inter-agency anti-poaching efforts in Taita Ranches</li> <li>Organize wildlife security hub, 5 patrolling community ranger groups, quick response unit</li> <li>Coordination with other anti-poaching brigades</li> </ul>
<b>Landscape coordinator, Tsavo Ecosystem (also for Outcome 3)</b> Lumpsum \$48,000	24 months over 5 years	<ul style="list-style-type: none"> <li>Coordinate multi-stakeholder implementation of project</li> <li>Provide advice on how best to ensure collaboration among stakeholders and complementary of the different Project Components as well as with efforts by other stakeholders,</li> <li>Perform a coordination and liaison function among all stakeholders, including but not limited to: the conservancies in each landscape; national and local government entities, NGOs, project management, UNDP, the private sector, academia etc.</li> <li>Ensure the timely progress of landscape-level activities as well as for their quality</li> <li>Assist the Project Management with both day-to-day and strategic coordination activities required to support a cohesive functioning of the Project within each landscape.</li> </ul>
<b>Subcontracted feasibility study for wildlife-friendly solutions to the</b>	1 month over 3 months	<ul style="list-style-type: none"> <li>Identify various wildlife-friendly options for the construction of the Mombasa-Nairobi highway</li> <li>Identify consequences for wildlife movements of the different options</li> <li>Provide preliminary costings of the various options</li> <li>Identify advocacy messages</li> </ul>

Consultant	Time Input	Tasks, Inputs and Outputs
<b>Mombasa-Nairobi highway</b> Lumpsum \$12,000		
<b>Outcome 3</b>		
<b>Local / National contracting</b>		
<b>Subcontracted inputs, Maasai Mara ecosystem partner</b> Total: \$190,500	1,5 years over 4,5 years	<ul style="list-style-type: none"> <li>Develop Masaai Mara ecosystem plan</li> <li>Introduce FLOD</li> <li>Support Ecosystem Committee with representatives of key stakeholders</li> <li>Participatory M&amp;E of plan</li> <li>Support setting up of conservancy governance structures, including trainin, legal documents, and plans</li> </ul>
<b>Subcontracted inputs, Tsavo ecosystem partner</b> Total: \$36,500		<ul style="list-style-type: none"> <li>Support development and implementation of range management plas</li> <li>Support establishment of Taita conservancy, including documentation, by-laws, development plan, and training</li> <li>Development of documentation for a larger conservancy area</li> <li>Provide training to Conservancy Committee Members</li> </ul>
<b>Joint services hub community employment – Taita Taveta</b> Total \$181,000	Various contracts over 5-4 years	<ul style="list-style-type: none"> <li>Radio operators,</li> <li>stock keepers,</li> <li>drivers/ mechanic,</li> <li>admin clerk, cook,</li> <li>kitchen assistants,</li> <li>cleaner,</li> <li>security watchmen</li> </ul>
<b>Consultancy for the establishment of the Wildlife Conservation Trust Fund within KWA</b> Lumpsum \$75,000	5 months over 1 year	<ul style="list-style-type: none"> <li>Develop Trust Fund concept for project target conservancies and overall KWCA membership. Incl. financial sustainability plan and that gender aspects have been considered, as relevant</li> <li>Secure funding and establish a financing mechansim i.e. from social and corporate responsibility programmes</li> <li>Estblish governance mechansim for facility and operationlise</li> <li>Document lessons learnt</li> </ul>
<b>Outcome 4</b>		
<b>Local / National contracting</b>		
<b>International consultancy for project evaluation</b> Lumpsum \$52,000	80 days	<ul style="list-style-type: none"> <li>Social impact assessment of proposed project interventions at the inception phase (due to categorization of project as moderate risk)</li> <li>MTR (year 3)</li> <li>TE (year 5)</li> </ul>

Consultant	Time Input	Tasks, Inputs and Outputs
<b>National consultancy for project evaluation</b> Lumpsum \$24,000	60 days	<ul style="list-style-type: none"> <li>MTR (year 3)</li> <li>TE (year 5)</li> </ul>
<b>M&amp;E Specialist</b> Lumpsum \$120,000	60 months over 5 years	<ul style="list-style-type: none"> <li>See detailed TORs in Annex D.</li> </ul>
<b>For Project Management</b>		
<b>Local / National contracting</b>		
<b>Project Finance Officer / Accountant</b> Total: \$120,000	60 months / over 5 years	See detailed TORs in Annex D.

## **Annex D: Terms of Reference**

### **Terms of Reference for the Project Board**

The Project Board (PB) will serve as the project's decision-making body. It will meet according to necessity, at least twice each year, to review project progress, approve project work plans and approve major project deliverables. The PB is responsible for providing the strategic guidance and oversight to project implementation to ensure that it meets the requirements of the approved Project Document and achieves the stated outcomes. The PB's role will include:

- Provide strategic guidance to project implementation;
- Ensure coordination between various donor funded and government funded projects and programmes;
- Ensure coordination with various government agencies and their participation in project activities;
- Approve annual project work plans and budgets, at the proposal of the Technical Project Coordinator;
- Approve any major changes in project plans or programmes;
- Oversee monitoring, evaluation and reporting in line with GEF requirements;
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project;
- Negotiate solutions between the project and any parties beyond the scope of the project;
- Ensure that UNDP Social and Environmental Safeguards Policy is applied throughout project implementation, that relevant gender aspects are integrated, and address related grievances as necessary.

These terms of reference will be finalized during the Project Inception Workshop.

### **Terms of Reference for the Technical Advisory Committee (TAC)**

The TAC will provide technical advice and inputs relating to project implementation and will be chaired by the PD with support from the PM. The members of the TAC will consist of representatives from the Ministry of Environment and Natural Resources, Kenya Wildlife Services (KWS), UNDP, other relevant government agencies, research and educational organizations, NGOs including the partner NGOs such as Tsavo Conservation Group and the Kenya Wildlife Conservancy Association (KWCA), technical experts and other relevant stakeholders to be agreed by the Project Board. Technical experts may be invited in to discuss specific issues. Indicative Terms of Reference are as follows. These will be reviewed by the Project Board during project inception and may be extended as necessary.

- Review planned activities and ensure that they are technically sound and that, wherever possible, there is integration and synergy between the various project components during planning and implementation;
- Promote technical coordination between institutions, where such coordination is necessary and where opportunities for synergy and sharing of lessons exist;
- Provide technical advice and guidance on specific issues concerning illegal and unsustainable wildlife trade as well as effective community engagement, including that gender issues are addressed as relevant;
- Share information on project progress and lessons learned with related stakeholders at the national level;
- The TAC or a subset of its members may be requested to undertake specific project-related tasks, such as preparing or reviewing analytical reports, strategies and action plans, etc.;
- Other tasks as indicated by the Project Board

### **Terms of Reference for Key Project Staff**

## **National Project Director**

### Background

The National Project Director (NPD) is the Director of Wildlife Conservation of MENR, who will be accountable to the MENR and UNDP for the achievement of objectives and results in the assigned Project. The NPD will be part of the Project Board and answer to it. The NPD will be financed through national government funds (co-financing).

### Duties and Responsibilities

- Serve as a member of the Project Board.
- Supervise compliance with objectives, activities, results, and all fundamental aspects of project execution as specified in the project document.
- Supervise compliance of project implementation with MENR policies, procedures and ensure consistency with national plans and strategies.
- Facilitate coordination with other organizations and institutions that will conduct related conservation activities for the protected area system, same target landscapes or same themes from elsewhere in Kenya.
- Participate in project evaluation, testing, and monitoring missions.
- Coordinate with national governmental representatives on legal and financial aspects of project activities.
- Coordinate and supervise government staff inputs to project implementation.
- Coordinate, oversee and report on government cofinancing inputs to project implementation.

## **Technical Project Coordinator**

### Background

The Technical Project Coordinator (Technical Coordinator), will be locally recruited following UNDP's procedures, with input to the selection process from the Project partners. The position will be appointed by the project implementing agency and funded entirely from the Project. The Technical Coordinator will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors. The Technical Coordinator will report to the PD in close consultation with the assigned UNDP Programme Manager for all of the Project's substantive and administrative issues. From the strategic point of view of the Project, the Technical Coordinator will report on a periodic basis to the Project Board, based on the PD's instruction. Generally, the Technical Coordinator will support the PD who will be responsible for meeting government obligations under the Project, under the NIM execution modality. The Technical Coordinator will perform a liaison role with the government, UNDP and other UN agencies, CSOs and project partners, and maintain close collaboration with other donor agencies providing co-financing. The Technical will work closely with the Project partners in the Tsavo and Maasai Mara Ecosystem, respectively. The Technical Coordinator will take on additional M&E functions and serve as the Gender Focal Point for the project.

### Duties and Responsibilities

- Provide technical advice to ensure that the Project leads to the intended outcomes
- Plan the activities of the project and monitor progress against the approved work plan.
- Supervise and coordinate the production of project outputs, as per the project document in a timely and high quality fashion.
- Coordinate all project inputs and ensure that they adhere to UNDP procedures for nationally executed projects.
- Supervise and coordinate the work of all project staff, consultants and sub-contractors ensuring timing and quality of outputs.
- Coordinate Project inputs to support the Working Committee for the development of the Wildlife Strategy to lead the participatory process with all interested stakeholders in discussions and the development of the Anti-Poaching Strategy document
- Strengthen national, inter-agency coordination and vertical coordination (national – local)
- Facilitate agency inputs to training programmes

- Coordinate the recruitment and selection of project personnel, consultants and sub-contracts, including drafting terms of reference and work specifications and overseeing all contractors' work.
- Develop a pilot MAU process on the Kenya-Tanzania border
- Facilitate Trans-frontier consultations, planning and drafting of international agreements between Kenya and Tanzania on the protection and management of the Maasai Mara - Serengeti and Tsavo-Mkomazi Trans-Frontier Conservation Areas (TFCAs),
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the UNDP provided format.
- Prepare, revise and submit project work and financial plans, as required by Project Board and UNDP.
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, submitted on a quarterly basis.
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log.
- Liaise with UNDP, Project Board, relevant government agencies, and all project partners, including donor organisations and CSOs for effective coordination of all project activities.
- Facilitate administrative support to subcontractors and training activities supported by the Project.
- Oversee and ensure timely submission of the Inception Report, Project Implementation Report, Technical reports, quarterly financial reports, and other reports as may be required by UNDP, GEF and other oversight agencies.
- Disseminate project reports and respond to queries from concerned stakeholders.
- Report progress of project to the steering committees, and ensure the fulfilment of PSC directives
- Share progress and results with the GWP
- Oversee the exchange and sharing of experiences and lessons learned with relevant community based integrated conservation and development projects nationally and internationally.
- Assist community groups, municipalities, CSOs, staff, students and others with development of essential skills through training workshops and on the job training thereby increasing their institutional capabilities.
- Encourage staff, partners and consultants such that strategic, intentional and demonstrable efforts are made to actively include women in the project, including activity design and planning, budgeting, staff and consultant hiring, subcontracting, purchasing, formal community governance and advocacy, outreach to social organizations, training, participation in meetings; and access to program benefits.
- Assist and advise the Project Implementation Units responsible for activity implementation in the target sites.
- Carry out regular, announced and unannounced, inspections of all sites and the activities of the Project Implementation Units.
- Develop partnership agreements with other donors

Specific M&E responsibilities include:

- Monitor project progress and participate in the production of progress reports, ensuring that they meet the necessary reporting requirements and standards, including based on the inputs from all project partners;
- Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-GEF; develop project-specific M&E tools as necessary;
- Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;
- Oversee/develop/coordinate the implementation of the stakeholder engagement plan;
- Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
- Facilitate mid-term and terminal evaluations of the project; including management responses;
- Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;
- Support project site M&E and learning missions;



- Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.

#### Specific Gender Focal Point responsibilities include:

- Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met and the reporting requirements are fulfilled;
- Oversee/develop/coordinate implementation of all gender-related work;
- Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary;
- Ensure reporting, monitoring and evaluation fully address the gender issues of the project.

#### Required skills and expertise

- A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
- At least 15 years of professional experience in natural resource management (including wildlife conservation and law enforcement related to illegal trade in wildlife).
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

#### Competencies

- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
- Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
- A good understanding of M&E procedures.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
- Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English, Swahili and other relevant local languages.

#### **M&E Specialist**

Under the guidance and supervision of the Technical Coordinator, the M&E Specialist will carry out the following tasks:

- Assist the Technical Coordinator in day-to-day management and oversight of project activities;
- Assist the Technical Coordinator in matters related to M&E and knowledge resources management;
- Assist the Technical Coordinator in matters related to the implementation and reporting on the Gender Action Plan;
- Assist in the preparation of progress reports;
- Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;
- Provide PMU-related administrative and logistical assistance.

The M&E Specialist will be recruited based on the following qualifications:

- A Bachelor's degree or an equivalent qualification;
- Excellent knowledge of monitoring and evaluation;
- At least three years of work experience preferably in a project involving biodiversity conservation, natural resource management and/or sustainable livelihoods. Previous experience with UN project will be a definite asset;
- Very good inter-personal skills;
- Proficiency in the use of computer software applications especially MS Word and MS Excel.
- Excellent language skills in English (writing, speaking and reading) and in local languages

#### **Project Finance and Procurement Officer / Accountant**

Under the guidance and supervision of the Technical Coordinator, the Project Finance and Procurement Officer/ Accountant will have the following specific responsibilities:

- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Technical Coordinator;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;
- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);
- Review annual budgets and project expenditure reports, and notify the Technical Coordinator if there are any discrepancies or issues;
- Consolidate financial progress reports submitted by Project partners for implementation of project activities;
- Liaise and follow up with the Project partners for implementation of project activities in matters related to project funds and financial progress reports.

The Project Finance and Procurement Officer/ Accountant will be recruited based on the following qualifications:

- A Bachelor's degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in local languages.

#### **Landscape Coordinator**

##### Background

The Landscape Coordinators will be locally recruited following UNDP's procedures, with input to the selection process from the Project partners. Two Coordinators will be hired, one each for the Maasai Mara and Tsavo ecosystems. Each Landscape Coordinator will provide advice on how best to ensure collaboration among stakeholders and complementarity of the different Project Components as well as with efforts by other stakeholders, and perform a coordination and liaison function among all stakeholders, including but not limited to: the conservancies in each landscape; national and local government entities, NGOs, project management, UNDP, the private sector, academia etc. The Landscape Coordinator is responsible for the timely progress of landscape-level activities as well as for their quality and will assist the Project Management with both day-to-day and strategic coordination activities required to support a cohesive functioning of the Project within each landscape.

##### Duties and Responsibilities

- Provide technical and strategic advice and guidance as well as operational support to project management and others for planning and implementation of landscape- or community-specific activities;
- Liaise with regional government for coordination of landscape-specific project inputs;

- Participate in relevant project activities, including but not limited to development of landscape-level strategies and plans for community engagement, resource management and conservation;
- Liaise with project management through at least quarterly meetings to share information on progress on project activities, needs arising and key issues requiring attention from the project, including information relevant to project compliance with all relevant policies and objectives;
- Provide information to the PM for use in communications and support the PM in developing project progress reports, donor reports and technical reports;
- Coordinate to maintain relationships and engagement with important landscape-level stakeholders such as regional government, ministries, line departments, civil society organizations, universities, LNGOs, INGOs and donors;
- Organize meetings of landscape-level stakeholders in a timely and efficient manner;
- Ensure that necessary documents (agenda, relevant background documents and technical reports, etc) for meetings are circulated to members two weeks in advance, and that minutes of meetings are produced and disseminated within a week after the meeting
- Provide strategic guidance to project management regarding landscape level activities
- Oversee day-to-day implementation of landscape level project activities

#### Qualifications

- Bachelor's degree in related to biodiversity, or other relevant education;
- At least 7 5 years of relevant work experience, related to biodiversity conservation, combatting illegal trade in wildlife, community-based natural resource management and/or sustainable livelihoods.
- Excellent interpersonal skills;
- Excellent administrative and coordination skills;
- Excellent communicaiton skills, especially relating to reporting of information;
- Excellent command of English and Kiswahili;
- Awareness and knowledge of landscape-level context, including political and environmental aspects;
- Excellent ability to organize, coordinate, facilitate, and manage meetings in a timely, efficient, and thorough manner.

## Annex E: UNDP Social and Environmental Screening Procedure

### Project Information

<b>Project Information</b>	
Project Title	Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach
Project Number	9158
Location (Global/Region/Country)	Kenya

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project mainstreams the human rights based approach to development in the following ways:

The main objective of the project is to combat poaching and illegal wildlife trafficking in Kenya through an integrated approach. This includes; a) Strengthening national and local capacity for effective IWT control in Kenya by developing and facilitating implementation of the National Strategy to Combat Poaching and Illegal Wildlife, b) Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara Ecosystems by supporting community security. The support includes enhancing coordination within and between wildlife management and law enforcement authorities and Wildlife Conservancies established by local communities, c) Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara Ecosystems by developing an integrated ecosystem management plans and thus laying the foundation for locally-managed natural resources and grazing systems through Community Conservancies.

The project is therefore expected to improve the lives and livelihoods of the local communities by protecting biodiversity and also improve human security as communities in the areas have suffered because of the human-wildlife conflicts, insecurity caused by poachers and loss of livelihoods due to diminishing biodiversity; which provides direct employment (i.e. tourism sector) and deprive people of full utilization of their environment, thus affecting livelihood diversification and food security.

The project therefore enhances human dignity by protecting the environment and their livelihoods. This is in line with the Article 1 of Universal Declaration of Human rights: 'all human beings are born free and equal in dignity', as it enables communities to live a dignified life. In the Constitution of Kenya, it also addresses Article 42: On Environment 'Every person has the right to a clean and healthy environment, and Article 43 on Economic and social rights, 'Every person has the right--(c) to be free from hunger, and to have adequate food of acceptable quality' through protection of livelihoods.

**Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment**

The Maasai who are the dominant community in the Mara landscape are a highly patriarchal society. There are already ongoing women and girl child empowerment interventions in the project site by the Maasai Mara Wildlife Conservancy Association. The action was informed by a gender analysis and the main focus is on women inclusion in governance and enhancing their socioeconomic empowerment. In the Tsavo landscape, men are the household heads and main

opinion shapers. The education and emigration of residents in search of employment and trade to the regional and coastal urban centres has enabled better reception of gender mainstreaming, with more women now occupying positions of decision making and elective representation.

The focus of the project, poaching and illegal wildlife trade, is mainly a male dominated action given the harsh and high-risk conditions under which these actions take place. Thus, the project will need to proactively avoid gender and minority rights challenges, by ensuring equitable participation and access to target beneficiaries of the project. The project activities have been derived from a broad-based consultative process, including women at all levels. The project includes a gender mainstreaming strategy and will use it to guide project implementation and monitoring. More specific measures will also be undertaken to ensure gender balance; for example, all consultation and capacity building programs will be designed to achieve the Kenyan Constitution 2010 requirement of a third gender target for governance and participation; the M&E system will include indicators to track gender mainstreaming, including use of gender segregated indicators; balancing of women participants in the capacity development activities and the extent to which gender issues inform workshop deliberations and recommendations. The project document makes specific reference to three GEF requirements for mainstreaming gender issues in projects:

- a. Gender mainstreaming and capacity building within GEF project staff to improve socio-economic understanding of gender issues;
- b. A designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally;
- c. Working with experts in gender issues to utilize their expertise in developing and implementing GEF projects.

These requirements will be monitored by the UNDP Gender Focal Point during project implementation. This will include facilitating gender equality in environmental management and women's empowerment and participation in the project activities.

- *Gender transformative efforts e.g. increasing women's participation in planning, decision making, implementation and monitoring and evaluation of activities related to law enforcement*
- *Gender targeting of employment in the project activities e.g. community-based security ad enterprise*
- *Participatory and transparent governance broadly increasing voice and participation of women*
- *Gender responsive distribution of benefits from project activities (e.g. through employment, enterprise investments, etc.)*

***Briefly describe in the space below how the Project mainstreams environmental sustainability***

The project aims to reduce threats to wildlife population in Kenya, manage the competing land use claims on the rangelands and improve wildlife security and PA adjacent community engagement in the Maasai Mara and Tsavo landscapes. This will build the enforcement capacity for the reduction of bushmeat hunting; retaliatory attacks to wildlife predation and destruction; poaching; and illegal wildlife trafficking.

The project therefore directly supports environmental sustainability by tackling poaching and illegal wildlife trade through application of incentives and disincentives as well as improving the enabling environment for enforcement of wildlife protection laws. Likewise, improved operations, intelligence and prosecution of wildlife crime perpetrators will lead to effective law enforcement and provide sufficient deterrence against wildlife crime. Strengthening of the conservancies in the PA adjacent areas will create space for wildlife dispersal and distribution within their traditional range; and the increased benefits to the community will enlist their engagement as frontline wildlife security actors by provision of the intelligence and non-engagement in poaching. Also, through benefit sharing mechanisms and provision of sustainable livelihood strategies, local communities will be motivated to align their land use and livelihood activities with conservation goals and refrain from illegal activities that are ecologically destructive.

Rangeland management regimes to be adopted will also enhance the carrying capacity of the landscape that will positively impact the pastoralist livelihoods of the Maasai community and also address the human wildlife conflicts that arise from competing land uses in two landscapes.

## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>	<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
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<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
<b>Principle 1: Human Rights</b> 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? 6. Is there a risk that rights-holders do not have the capacity to claim their rights?	I = 2 P = 2	Low	The project can potentially lead to violation of human rights of local people in the project area in some ways, however, the probability is low. E.g., the project support the antipoaching operations of law enforcement agencies and community rangers that may impose potential danger to local people involved in poaching via risk of collateral damage and potential extrajudicial treatment of poachers.  Inappropriate and exclusive Ecosystem Management planning for Tsavo and Masai	This project aims to strengthen the coordinated capacity for law enforcement to improve the effectiveness and professionalism of handling all aspects of wildlife protection (patrolling, arrests, seizures, speedy and fair trials etc.); and, expedite identification and implementation of measures to reduce depredation.  The project will ensure monitoring is put in place in this regard and that law enforcement officials are aware of the boundaries of their role. The project will also increase transparency to the operations of law enforcement and will include human right issues in all trainings for LE personal and community rangers. More action may be identified in the stand-alone Risk Management Plan for the law enforcement operations that will be developed and implemented.  Moreover, the project will work with communities to increase their participation and role in the management of wildlife and other natural resources. This project places a heavy emphasis on empowering the

7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?			<p>Mara Ecosystems can potentially restrict access to pastures other critical natural resources for some marginalized individuals and groups of different ethnicities (e.g., migrating herders).</p> <p>Some risk exist that local people will not be able to claim there rights during the process of the Conservancy establishment, however, probability of this risk is low.</p>	<p>communities, including local community groups to increase their participation in all project activities. It will support the participation in wildlife management, benefits and security through the conservancy.</p> <p>Communities will have a voice in the SLM/NRM coordination through their participation in especially the landscape based land use planning, and monitoring the effectiveness and impacts of improved NRM practices on livelihoods.</p> <p>It will also use a gender strategy to ensure that project activities are built on best practices.</p> <p>It will also build community capacities to improve economic returns from NRM activities. All management planning will be organized in highly participatory and inclusive manner. No special magers to manage this risk are required</p>
<p><b>Principle 2: Gender Equality and Women's Empowerment</b></p> <p>2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</p> <p>4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of</p>	I = 3 P = 3	Moderate	<p>Anti-poaching and environmental management activities that will be supported by the project are traditional male domain in Kenya. Thus, the project can potentially give some advantages in this field to males and potentially discriminate females from participation in the project management, review of anti-poaching strategies, LE trainings, establishment and management of Community Conservancies</p> <p>The project will significantly strengthen law enforcement in</p>	<p>The Gender Analysis clearly indicated insufficient women involvement in wildlife crime enforcement and NRM in Kenya, including the project areas. To avoid this potential disbalance in the project implementation Gender Mainstreaming Plan designed to ensure women inclusion in delivery of all project Outputs was carefully developed (Annex I). Moreover, the project will build a comprehensive Gender Mainstreaming Strategy (Output 4.3) to ensure gender equality and equal benefits to women from the project implementation</p> <p>The key project strategy to mitigate the potential negative impact is to involve women as well as poorest and marginalized people in development of Ecosystem Mangement Plans and establishment and management of Conservancies, and participation in wildlife and other NRM activities in the target communities. Additionally during trainings for law enforcement staff the project will promote women inclusion in all appropriate training</p>

women and men in accessing environmental goods and services?			<p>the Tsavo and Masai Mara Ecosystems and suppress poaching and woodland abuse by different offenders potentially including women involved in gathering of firewood and other resources in PAs for their livelihood.</p> <p>Inappropriate and exclusive development of Conservancies may potentially limit women participation in planning and management of these entities worsening their social position and access to critical resources like water, pastures, and firewood in marginalized communities and groups</p>	<p>programmes. Strong Grievance Redress Mechanism will be established in the project area to mitigate potential adverse impact of increased law enforcement on marginalized local people as a risk group, including women.</p> <p>To control appropriate support of the women rights and gender equality during the project implementation all monitoring and evaluation mission for the project will be designed using fully participatory approach (Output 4.1) with opportunity for women to ensure their voices are heard and taken in account in the project management.</p>
<p><b>Standard 1: Biodiversity</b></p> <p>Conservation and Sustainable <a href="#">Natural</a> Resource Management</p> <p>1.2 Are there any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>	<p>I = 1</p> <p>P = 1</p>	Low	<p>The Tsavo and Masai Mara Ecosystems with significant wildlife populations are key targets for the project interventions to develop effective law enforcement, sustainable wildlife NR Mangement, and establish strong community Conservancies. These areas are critical also for sustainability of local communities. Given the project focus only positive impact is envisioned for wildlife, habitat, and communities.</p>	<p>No special mitigation measures are required</p>



2.2. Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	I=2 P=2	Low	The project Outcomes can be potentially affected by the climate change, especially sustainability of the water sources, productivity of pastures, and woodlands in the area that depend on the rainfall.	The project is designed to develop appropriate sustainable model for wildlife and habitat management in the project areas to increase resilience of ecosystems and communities to potential impact of climate change. Climate change issues will be included in the Ecosystem Management Planning. No special measures required to manage this risk.
<p>Standard 3: Community Health, Safety and Working Conditions</p> <p>3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?</p>	I=3 P=3	Moderate	Component 2 is designed to support the anti-poaching activities in the project area by KWS and Community Rangers. Due to risky nature of anti-poaching operations the LE staff may impose some risk for health and life of local people involved in poaching directly or indirectly (e.g., risk of collateral damage and potential extrajudicial killings and injuries of poachers) or people located in the area of poaching incidents or sting operations of the LE personnel	In some cases poorly trained law enforcement LE staff potentially can impose significant risk to health and safety of some local individuals involved in poaching and illegal consumption of other natural resources or accidentally present in the area of the anti-poaching operations. To avoid the risk the project will invest considerable resources to train and mentor the law enforcement personal in accordance with the highest standards for security and personal safety, including treating arrested or suspected offenders, during patrolling and special operations.
<p><b>Standard 6: Indigenous Peoples</b></p> <p>6.1 Are indigenous peoples present in the Project area?</p> <p>6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?</p> <p>6.3 Would the proposed Project potentially affect the rights, lands and territories</p>	I=2 P=3	Moderate	The Maasai are indigenous peoples, pastoralists who have lived with wildlife and they are present in the project areas. The Constitution of Kenya 2010 recognises this distinction, and affords them special privileges to their cultural self-identify. The livelihoods of the Maasai communities, even today, are informed by their pastoralist and non-consumption of game	<p>The project land use planning and improvement of rangeland is fully compatible with the Maasai culture and traditional way of life. It will further protect the landscape from the fragmented and fenced agricultural landscape that threatens to replace free range grazing, which has negative effects on the Maasai way of life.</p> <p>The Project will develop an Indigenous Peoples Plan (or equivalent) in its first stage of implementation, following a full assessment of associated risks. The need to ensure full prior and informed consent from indigenous peoples</p>

<p>of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?</p>			<p>meat cultural heritage. Thus, poaching and IWT enhancement in the landscape would not be expected to negatively impact their livelihood alternatives and weaken their food security. However, the Maasai communities are often involved in retaliatory killing of elephants and lions and increased LE may have negative effects on them.</p> <p>Conservancies will be established by Masai people themselves, thus they are not expected to provide significant negative impact on the rights and lands of these indigenous people.</p>	<p>and local communities in the project areas will be explored at the same time.</p> <p>In addition, the project, through the Country Office will set up a stakeholder grievance mechanism, to allow local communities to raise any issues, including grievances, that may emerge out of project implementation. The local communities also have access to the offices of NGOs currently operating in the area, though which concerns can be raised. All concerns raised by individual community members will be handled with confidentiality and strictness to protect the identity of the individuals. The grievance mechanism will also be communicated to the community members (e.g. during the inception workshop) to ensure that awareness is raised about the existence of such a mechanism.</p>
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>
	<i>Low Risk</i>			
	<i>Moderate Risk</i>			<p><b>X</b></p> <p>The project has overall Moderate Risk rating given its potential negative impact on Gender Equality and Women's Empowerment and Community Health, Safety and Working Conditions</p>
	<i>High Risk</i>			
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	Check all that apply			<b>Comments</b>
	<i>Principle 1: Human Rights</i>			

	<b>Principle 2: Gender Equality and Women's Empowerment</b>	<b>X</b>	To avoid this potential disbalance in the project implementation Gender Mainstreaming Plan designed to ensure women inclusion in delivery of all project Outputs was carefully developed (Annex I). Moreover, the project will build a comprehensive Gender Mainstreaming Strategy (Output 4.3) to ensure gender equality and equal benefits to women from the project implementation
	<b>1. Biodiversity Conservation and Natural Resource Management</b>		
	<b>2. Climate Change Mitigation and Adaptation</b>		
	<b>3. Community Health, Safety and Working Conditions</b>	<b>X</b>	To avoid the risk the project will invest considerable resources to train and mentor the law enforcement personal in accordance with the highest standards for security and personal safety, including treating arrested or suspected offenders, during patrolling and special operations (Outputs 1.2, 1.3, 2.1, and 2.2)
	<b>4. Cultural Heritage</b>		
	<b>5. Displacement and Resettlement</b>		
	<b>6. Indigenous Peoples</b>		
	<b>7. Pollution Prevention and Resource Efficiency</b>		

#### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor		
QA Approver		
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>84</sup>	Yes
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
6. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
9. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No

<sup>84</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Yes
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable <a href="#">Natural</a> Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No

1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>85</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes

<sup>85</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

2.3	Is the proposed Project likely to directly or indirectly increase social and environmental <a href="#">vulnerability to climate change</a> now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	Yes
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible	No

	forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>86</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No

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<sup>86</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.



6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or <a href="#">transboundary impacts</a> ?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

## Annex F: Stakeholder Engagement Plan

The project was developed using a transparent, and participatory approach, involving all relevant stakeholder groups (government organizations, multilateral and bilateral agencies, NGOs, local communities, and the private sector) at the national and local levels. Individual and focus group consultations were conducted in Nairobi (Inception Workshop) and in the two project areas, mainly in Narok and Taita Taveta Counties. A significant part of the process was carried out through e-mail exchanges and Skype calls. More than 90 individual stakeholders were consulted (25% female, 75% male)<sup>87</sup>. The key objectives of these consultations were to:

- Inform all stakeholder groups about the preparation of the project,
- Invite them to share concerns about the implementation of the proposed project and participate in project development,
- Evaluate current levels of threats to wildlife and overall biodiversity, and important barriers for their elimination,
- Understand the local, cultural, gender, and political context in the country and proposed project areas,
- Assess capacity of government agencies and local communities to manage wildlife and other natural resources sustainably,
- Define the specific areas for project interventions,
- Develop relevant project outputs based on key national and district needs,
- Collect information on Outcome and Impact Indicators in the project areas,
- Collect information on ongoing relevant baseline programmes and projects, and
- Identify potential partnerships (see Partnerships section) and clarify stakeholders' roles in implementation.

Consultations held during the Project development phase emphasized the need to focus on women as key stakeholders in order to amplify their voices (see the Mainstreaming Gender section of this Project Document, and Annex G: Gender Mainstreaming Analysis and Plan).

As detailed in the table on the next page below, the Project will partner with agencies and organizations at all levels, but particularly at the national level, to build capacity and develop a strategy to fight wildlife crime (component 1). It will partner with wildlife enforcement agencies, such as the Kenya Wildlife Service and the National Police Service, to reduce poaching and illegal wildlife trade in the target areas (component 2). It will partner with conservancy organizations and the private sector to strengthen Community Wildlife Conservancies and provide benefits for local communities in the target areas (component 3). Lastly, the Project will call on all partners, in particular the Implementing Partner (Ministry of Environment and Natural Resources), to ensure that lessons learned from this project are used nationally and internationally, and that gender is a consideration in every aspect of the project.

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<sup>87</sup> See Annex K for details

**Table 5: Stakeholder Engagement Plan**

Stakeholder	Description	Role in project	Components & outputs
Ministry of Environment and Natural Resources (MENR)	Directorate of Wildlife; national lead on policy, including on IWT	<ul style="list-style-type: none"> <li>Implementing Partner</li> <li>Chair of project Steering Committee</li> <li>Will supervise overall project implementation</li> <li>Will host the PMU</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.1</li> <li>Component 4</li> </ul>
Kenya Wildlife Service (KWS)	Responsible for anti-poaching and anti-trafficking operations at national and district levels, as well as for management of the national network of protected areas	<ul style="list-style-type: none"> <li>Critical linkage between the Tsavo Park and conservancies in Taita Taveta; critical partner in law enforcement and community services</li> <li>Will directly participate in delivery of multiple outputs related to building capacity for IWT control; improving PA management; and transboundary cooperation and wildlife management</li> <li>The Project will use KWS Manyani Law Enforcement Academy for parts of the capacity enhancement</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.1, 1.2</li> <li>Component 2, output 2.1</li> <li>Component 3, output 3.1</li> </ul>
Kenya National Police Service	Provides direct support to anti-poaching and anti-trafficking operations at national and district levels	<ul style="list-style-type: none"> <li>Will directly participate in delivery of multiple outputs related to building capacity for IWT control and law enforcement activities</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.2</li> <li>Component 2, output 2.1</li> </ul>
The judiciary	Responsible for prosecution and sentencing of wildlife crime offenders	<ul style="list-style-type: none"> <li>Will directly participate in delivery of multiple outputs related to building capacity for IWT control and law enforcement activities</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.3</li> <li>Component 2</li> </ul>
Kenya Wildlife Conservancy Association (KWCA)	National umbrella organization for community conservancies; supports members through advice and capacity support	<ul style="list-style-type: none"> <li>Steering Committee member</li> <li>Key partner, especially in implementation of components 2 and 3</li> <li>Will support ecosystem-specific conservancy associations (MMWCA and TTWCA)</li> <li>Will implement LAMP</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.4</li> <li>Component 2</li> <li>Component 3</li> </ul>
NGOs (e.g. AWF, Save the Elephants, WWF, IUCN ESARO, Space for Giants, IFAW, Savory Institute, Northern Rangeland Trust, Save the Elephants)	NGOs whose work includes diverse conservation projects in the country and project areas	<ul style="list-style-type: none"> <li>Will strengthen national level capacity to support socially, environmentally and economically sustainable development, with an emphasis on building capacity for effective management of biodiversity and ecosystems and reduction of poaching and IWT</li> </ul>	<ul style="list-style-type: none"> <li>Component 1, output 1.1, 1.3, 1.4</li> <li>Component 2, output 2.1</li> <li>Component 3, output 3.1, 3.2, 3.3</li> </ul>
Private Sector	Private enterprises and other private actors with an existing interest in biodiversity conservation and sustainable use of natural resources	<ul style="list-style-type: none"> <li>Will invest in strengthening Community Wildlife Conservancies, with an emphasis on</li> </ul>	<ul style="list-style-type: none"> <li>Component 3, output 3.2, 3.3, 3.4</li> </ul>

Stakeholder	Description	Role in project	Components & outputs
		community involvement, for example through tourism operators or meat processors.	
Stakeholders in the Maasai Mara ecosystem and their roles will be determined during the Project Inception Phase, and could include			
County Government of Taita Taveta	Responsible for Taita Taveta County	<ul style="list-style-type: none"> <li>• Key partner for all interventions specific to Tsavo/Taita Taveta</li> <li>• Member of ecosystem-level project coordination group</li> <li>• Will provide linkages with ongoing work, especially regarding law enforcement, land use planning, community development</li> </ul>	<ul style="list-style-type: none"> <li>• Component 2, output 2.1</li> <li>• Component 3</li> </ul>
Kenya Wildlife Service – Tsavo	Warden for Tsavo East Warden for Tsavo West Voi Law Enforcement Unit to be used by the Project Voi Community Services Unit to be used by the Project	<ul style="list-style-type: none"> <li>• Key partner for delivery of outputs 1.3, 2.1, and 3.1</li> </ul>	<ul style="list-style-type: none"> <li>• Component 1, Output 1.3</li> <li>• Component 2, Output 2.1</li> <li>• Component 3, Output 3.1</li> </ul>
Taita Taveta Wildlife Conservancies Association (TTWCA)	Eco-system based umbrella association for all community conservancies in Taita Taveta; has 17 member conservancies; represents individual conservancies' rights and responsibilities	<ul style="list-style-type: none"> <li>• Partner in Tsavo ecosystem interventions under all project components</li> <li>• Will host an ecosystem-based implementation hub, supported by Tsavo Conservation Group (member of TTWCA)</li> </ul>	<ul style="list-style-type: none"> <li>• Component 2</li> <li>• Component 3</li> </ul>
Tsavo Conservation Group	Local NGO which implements community law enforcement projects with USAID funding in the Tsavo ecosystem	<ul style="list-style-type: none"> <li>• Partner, particularly for delivery of outputs 2.1, 3.1 and 3.2</li> </ul>	<ul style="list-style-type: none"> <li>• Component 2, Output 2.1</li> <li>• Component 3, Output 3.1 and 3.2</li> </ul>
Tsavo Trust	Local NGO which implements community law enforcement projects with USAID funding in the Tsavo ecosystem	<ul style="list-style-type: none"> <li>• Project Partner for delivery of outputs 2.1, 3.1 and 3.2</li> </ul>	<ul style="list-style-type: none"> <li>• Component 2, Output 2.1</li> <li>• Component 3, Output 3.1 and 3.2</li> </ul>
David Sheldrik Foundation	Local NGO which implements community law enforcement projects with USAID funding throughout Kenya, including in the Tsavo ecosystem	<ul style="list-style-type: none"> <li>• Project Partner for delivery of outputs 2.1, 3.1 and 3.2</li> </ul>	<ul style="list-style-type: none"> <li>• Component 2, Output 2.1</li> <li>• Component 3, Output 3.1 and 3.2</li> </ul>

## **Annex G: Gender Analysis and Action Plan**

Gender refers to the sociocultural norms about what is considered appropriate for women and men within a society. The relationships that underlie gender roles define the access and control over resources. In the context of wildlife management, gender issues would involve addressing needs, priorities, knowledge and understanding of both women and men, ensuring that both are actively involved in decisions over sustainable wildlife management. The outcome of gender action being the reconciliation of gender equality and sustainable wildlife management for the wellbeing of both people and wildlife populations.

### **Gender Analysis**

The process of stakeholder analysis during the project preparation looked at gender issues without developing a full gender strategy. This included identification of the populous community groups, their sources of livelihoods, their interactions with wildlife, their engagement in wildlife protection and gender disparity in access and control of natural resources. From the assessment, it was recognized that the community stakeholders are quite distinct, having specific cultural norms that impact the social and economic situation at respective sites. The main communities that reside in the Mara landscape are the Maasai who are mainly pastoralists while in the Tsavo landscape are the Taita who are a farming community. The Maasai have maintained their cultural integrity, that is high patriarchal.

### **Tsavo landscape situation**

The field observations and consultations conducted, established that the main activity for both men and women in the community settled areas adjacent to the Tsavo PAs is subsistence farming. The main crops grown are maize, green grams and cowpeas. The average farm size per household is 2 acres and most of the area is under crops during the rainy seasons. The communities mainly keep some goats and sheep, with a few countable households keeping cattle. Within the wider Tsavo adjacent landscape, ranching is major livelihood activity in the area and is male dominated. During the dry seasons, the ranches provide grazing for cattle of immigrant pastoralists from the North-Eastern regions of Kenya and Somalia. These livestock often graze into the Tsavo Parks and are a major threat to the sustainable management of the protected areas. The immigrant pastoralists are mainly male herders.

The semi-arid climate of the area and thus limited economic options, has pushed the men into engaging in charcoal burning and bushmeat hunting as an extra source of income. The preferred species for bushmeat are the small antelopes, Dik diks in particular. These are small in size, hence easier to dispose and reduces the risk of being found out by the wildlife authority. The bushmeat is mainly sold by women, who transport it in their water containers to avoid detection. The portions/pieces sell at about KShs100.00 (USD 1.00) and a whole Dik dik goes for as little as KShs 200.00 (USD 2.00). Because of the bushmeat trade attempts by some residents to operate butcheries at the local trading centres have been completely unsuccessful. Bushmeat also has market at the local brew dens, that are also operated by women within the settled community areas. The bushmeat is central to the community food security during times of extreme climatic conditions such as prolonged drought.

Apart from farming the women spend most of the day fetching water. There is a piped water infrastructure but the taps are distant from many of the settled areas. During the rainy season, local household catchments are the main source of water. The households then spend most of the time protecting the farms from crop damage, especially elephants that are migrant within the area and also baboons in the hill adjacent areas. Crop raids by primates is not covered under the national compensation scheme and this has caused major outcry from the communities. Primates are active during the day and this forces the women and at times children when not in school to spend the entire day guarding the crops. The elephants mostly raid crops in the night and on most occasions the community wake up to find their crops destroyed in the following morning, having not heard the occurrence.

Predation of sheep and goats is also a major source HWC. Incidentally the villages that where the wildlife authorities have identified with high levels of bushmeat hunting and trade incidences are where the reported predation has been high. The County Wildlife Compensation Committee (CWCC) engages in advocacy in these villages where high levels of bushmeat is known to occur, sensitizing the community that the offtake of the bushmeat, the predators'

natural prey from the wild is the major contributor to the increased predation as they stray into homesteads in their search of prey. There has been numerous outcries by the communities on HWC but incidences of retaliatory killings are rare. The government compensation scheme has also not paid out the processed and approved claims, leading to the intolerance of the community of the wildlife and perceptions that they belong to government and should not be allowed space in the community settlement areas.

Those arrested for wrong doing by KWS have mostly been men: they have been arrested with trophies. The few incidences of women being taken to custody have been to get their husbands to surrender to the authorities after attempts to get the men at home have failed. Incidences of arrest of juveniles, mainly herders from the Orma community, was to get their parents when large herds of cattle have been let into the protected area. This has occurred only in exceptional cases when the adults have evaded arrests. The resident community do not engage in poaching and IWT, but the criminals do come with the immigrant pastoralist and transport their gear for the illegal activities hidden within the herds. The local communities fear to give intelligence information on the criminals for fear of retaliation since they are possibly connected to criminal networks.

KWS rangers in the Tsavo Ecosystem number about 150 and include female rangers. The rangers under command of wardens are the main antipoaching and combating IWT enforcers. They have occasional vehicular and air support from other government and non-governmental agencies. The female rangers are not deployed in the frontline combat situations but to duties such as communication, escort and security at operation facilities. During field operations, the teams camp out in the wild for long durations and the living conditions are harsh. This could be challenging to female rangers. Within the ranches the security team are all men and their operations are closely related to the control of the cattle grazing.

Decision making within the ranches is a male affair and there are there no women in the decision-making committees. This is because men own the land and the cattle in the ranches, and the inheritance is mainly on the male lineage. As the ranches establish some of their areas or convert into conservancies, awareness creation is underway by the conservation lobby to the ranches management on the need to engage women in decision-making and even have women/daughters included in the inheritance plans. This is in line with the Constitution of Kenya 2010 that stipulates for 1/3 gender composition of management organs and also the Land Act 201x that provides for consultation on and inheritance by all offspring to ancestral or family land.

Artisanal and small-scale (ASM) and trading in the town centres that are opening up following the construction of the standard gauge railway and planned dual carriage road are emerging livelihoods whose impact on gender dynamis is yet to be fully understood. In other areas with ASM it has been recognized that women have specific roles in the processing and value chains for which they have a comparative advantage. The entrepreneurship opportunities that come with immigration and urbanization that results from these emerging livelihood sources could change the balance in gender relations.

### **Maasai Mara landscape situation**

The Maasai are the main community resident within the Mara landscape. Most landowners are men with the women owned parcels being those inherited when widowed or purchased. Within the conservancies the individual land holdings average about 150 acres. Most of the community live outside of the conservancies area adjacent to the MMNR. The few households within the conservancies area average about 10 acres. These are the 'manayattas' with the houses and the cattle holding pens 'bomas'. The Maasai is a highly patriarchal and community leadership remains a male prerogative, with men charting their economic, political and religious destiny. Women space is restricted to the spheres of reproductive and household tasks, with the public space limited to men and a few elite women<sup>88</sup>.

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<sup>88</sup> How to maximise the contribution of women for the success of Mara conservancies

Within the conservancies, the men as the landowners make the decisions through the annual general meetings of the members and also as members of the boards. The gender mainstreaming interventions of MMWCA has resulted in 50 women members on the boards of various community conservancies<sup>89</sup>. They have proven to be steadfast conservation champions through their ability to engage community members and give feedback from the board meetings. This is evidently endearing other women to take a proactive role in natural resources management and their sustainable with the resultant wider communities' change in perceptions towards the benefits from conservancies.

The use of natural resources is central to the livelihoods of the Maasai. This use of natural resources contributes to conflicts between men who are the main landowners, their spouses and sons: these conflicts are over water resources, human wildlife conflicts and many others within the Mara landscape<sup>90</sup>. At the households, the men make decisions on the family income through the identification of the family assets (mainly livestock) to sell and also do the actual trading of the livestock at the markets. The women mainly engage in the care for manyatta by fixing the houses and boma; care for the animals that include milking and grazing when the young children are away from the homestead; fetching water and if they have time, on beadwork.

HWC occurs from attacks to sheep and goats during grazing in the day time and also at night in the animal bomas. Leopards and lions are the main predators, 70% of the prey being sheep and goats. Being members of conservancies softens the community reactions to HWC. Before the aggrieved community escalates the HWC issues the conservancies will have addressed their grievances to some extent. For example, there is a consolation scheme that has been established by the Mara Conservancy: a small proportion of the lease fee that is due to the members is deducted and forms the funds given out as consolation to the community households that experience predation. Predation bomas have also been established and so far, no loss has been reported from the 10 experimental holdings. HWC impacts on the entire household's income and thus overall wellbeing but the direct impact is on the men who are the owners of the livestock. The threats of retaliatory killing is high if no action is taken by the wildlife authorities to remove persistent predators.

The Maasai do not engage in bushmeat hunting since they do not consume game meat. They do not also engage in poaching as they have long co-existed with wildlife. Bushmeat hunting and poaching threats to wildlife is mainly from the immigrant populations (outsiders) who reside at the trading centres. There are about 270 community rangers tasked with the security of wildlife that disperse outside the MMNR into the conservancies. They also ensure that the grazing plan is adhered to so that there is sufficient fodder for cattle and areas set aside for wildlife are not degraded. Currently all the community rangers are men. A change towards including female community rangers is slow. The engagement of women has started their engagement of female tour guides. Within the conservancies, there is one female manager, at Olchoro Conservancy.

Through the MMWCA the women and girls in the Mara landscape are being capacity built to make meaningful contributions to the governance and leadership of community conservancies. A gender analysis was conducted; and action plan developed; initial trainings undertaken; that has resulted in tens of women now participating in governance committees of conservancies and also engaging in income generation activities such as tour guiding and beading. These interventions must work around the challenges of the strong patriarchal culture of the Maasai's and the low literacy level among the uneducated unemployed women. However, the coping mechanisms of the women against these societal limitations imposed on these women could bring out the best of them.

### **Gender Action Plan**

Following the findings, the project will develop a gender strategy under Component 4 to ensure that project implementation is fully informed by a more refined and comprehensive gender analysis, to:

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<sup>89</sup> How to maximise the contribution of women for the success of Mara conservancies

<sup>90</sup> Gender analysis of Mara conservancies and communities in relation to natural resource management and livelihood sustainability

- ensure that women's and men's knowledge, agency and collective actions are afforded equal opportunity in finding, demonstrating and building more economically, socially and environmentally sustainable pathways to enhance wildlife security
- promote gender mainstreaming and capacity building within its project staff to improve understanding of gender mainstreaming principles and the importance of gender transformative project implementation.
- give the stakeholders the tools to make this project as gender transformative as possible, and will appoint a designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally
- facilitate gender equality in capacity development and women's empowerment and participation in the project activities.
- work with UNDP gender experts to utilize their expertise in developing and implementing projects.

These requirements will be monitored by the UNDP Gender Focal Point during project implementation. Collectively, these measures will ensure that the project builds on good gender practices rather than become a source of exclusion of women, and that its benefits are equitably distributed and make real and lasting change at the household level.

Design section	Responsible	Gender Mainstreaming Actions
<b>Component 1. Strengthening capacity for effective IWT governance in Kenya</b>		
All outputs	MENR	<ul style="list-style-type: none"> <li>• Ensure that the strategies to be developed recognise the differentiated impacts on women and men and the outcomes of particular decisions and actions felt differently by different groups.</li> <li>•</li> </ul>
<b>Component 2. Reducing poaching and illegal wildlife trade in threatened species in Tsavo and Maasai Mara Ecosystems</b>		
All outputs	MENT, MOA, District Administration	<ul style="list-style-type: none"> <li>• Conduct studies to identify the issues related to gender so that gender responsive capacity building and policy interventions can be planned and implemented.</li> <li>• Ensure that training and capacity building takes into consideration the different needs and skills of men and women and ensure that participation protocols /procedures also recognise the different constraints of men and women (e.g. time for conducting training and meetings should recognise household and gender roles for men and women) and ensure they do not exclude some groups.</li> <li>• Ensure that recruitment and participation of beneficiaries seeks a balance between men and women and ensure that financial support recognises the income inequalities between different groups of men and women.</li> <li>• Ensure that approaches and skills promoted at the local/landscape levels take into consideration the different capacities and constraints of men and women, and their different abilities to implement/adopt certain practices, as well as the costs of taking up some of these practices.</li> <li>• Capacity building activities related to wildlife security and benefits for village level committees will in particular target women, in addition to other groups.</li> <li>• To the extent feasible, landscape planning and implementation teams will have local women community mobilizers who would</li> </ul>



Design section	Responsible	Gender Mainstreaming Actions
		be involved in social mobilization to encourage greater participation of women from local communities.
<b>Component 3. Strengthening Community Wildlife Conservancies in Tsavo and Maasai Mara Ecosystems</b>		
All outputs	MENR, KWS Conservancy organisations, PMU	<ul style="list-style-type: none"> <li>• Ensure that the identification of beneficiaries promotes gender parity.</li> <li>• Ensure that women and men participate in the identification of vulnerabilities and challenges faced by local communities, and are allowed a safe and open platform to identify opportunities.</li> <li>• Ensure that income-generation initiatives consider the different needs and abilities of men and women.</li> <li>• Ensure that the costs and benefits of the different interventions and NRM approaches are equally distributed among different groups of men and women (e.g. poor/rich, female-headed/male headed households) and different resource users (e.g. subsistence vs commercial farmers).</li> <li>• Special investment activities encourage women empowerment, including women-dominant livelihood and value chain activities (beading products, ecotourism products development etc.), and capacity building of women in various sectors related to natural resource management and livestock improvement.</li> </ul>
<b>Component 4. Knowledge Management, M&amp;E and Gender Mainstreaming</b>		
All outputs	MENR KWCA PMU	<ul style="list-style-type: none"> <li>• Develop a comprehensive gender mainstreaming strategy.</li> <li>• Conduct awareness and communication campaigns with a specific gender focus.</li> <li>• Periodic reviews of the project interventions to highlight best practices in mainstreaming gender in the project.</li> <li>• Documentation of gender roles in the management of resources in the landscapes and to inform future interventions.</li> <li>• Use of gender-sensitive indicators and collection of sex-disaggregated data for monitoring project outcomes and impacts.</li> </ul>
<b>Project Management</b>		
	MENR	<ul style="list-style-type: none"> <li>• Apply gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring.</li> <li>• TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation.</li> </ul>

# Annex H: UNDP Risk Log

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Poaching pressure fuelled by the existence of global illegal wildlife trade may fast decimate the elephant population	<i>Child concept stage/ PIF, 2016</i>	<i>Political</i>	Probability = 2 Impact = 4 Risk = Moderate	Given the high level of this risk, one of the pillars of the Project design is to increase Kenya's capacity for surveillance and intelligence driven law enforcement across the poaching hotspots of the country, to fully implement the existing wildlife laws. It will also strengthen the country's capacity for communication with consumer countries in order to make efforts to reduce demand. Still it is clear that this project can only address a small aspect of the overall support interventions that may be needed for an overall systemic overhaul. The design is orchestrated in a manner that especially ecosystem-specific impacts can be achieved in strategic areas of Tsavo and the Maasai Mara, respectively.	<i>PMU</i>			
2	Uncertain political situation	PPG, Nov. 2017	<i>Political</i>	Probability = 4 Impact = 3 Risk = Moderate	The project was prepared during the 2017 election process. The political situation in Kenya is volatile and there is a probability that an uncertain political climate will prevail in the coming months – irrespective of the final election outcomes. This likely will affect all government affairs, as well as the designation of government law enforcement personnel. It is unclear how the leadership of the MENR and other to the project critical Government institutions will be in the future. Overall the project design is a mix of government lead and ecosystem-level local expert institutions, so that a good deal of project work would be implemented even if the government situation would become more difficult.	UNDP			
3	Infrastructure development: highway across	PPG, Nov. 2017	Other	Probability = 4	After the highspeed railway between Mombasa and Nairobi was finalized in 2017, the transformation of the existing main road	UNDP			

	Tsavo National Park & Taita Taveta			Impact = 4 Risk = High	between the two major cities into a four-lane highway is now on the agenda. This development is a priority to national development and citizens safety. It is, however, also clear that such a construction will be a clear cut across the park and will permanently separate Tsavo east from Tsavo West. A key migration route for large mammals such as elephant is inevitable. While conservationists suggest that the construction of corridors will help to maintain such migration routes and habitat connectivity, a major financial effort will be required to support such construction in a meaningful way. Underground construction of the high way may be a way ahead. While there is little that the GEF project can do to influence the decision, it is noted that project gains likely will be hugely impacted by the way this infrastructure project will unfold. The Project will finance a study of how best to design the highway from the perspective of wildlife, to be used in advocacy.				
4	Complexity in establishing the project	<i>Child concept stage/ PIF, 2016</i>	Operational	Probability = 3 Impact = 2 Risk = Moderate	The formalisation of the structure of the project could be delayed due to complexity arising from ensuring stakeholder inclusion and lack of support from national institutions and the local communities. Resistance to the project could delay its implementation as stakeholder support is sought. During the PPG a great deal of emphasis was laid on stakeholder consultation and positioning the project. Two ecosystem-level institutional partners have been identified for leading and coordinating the implementation of components 2 and 3 to ensure that funds can be directly spent on that level.	UNDP			
5	Complexity in stakeholder collaboration	<i>Child concept stage/ PIF, 2016</i>	Operational	Probability = 2 Impact = 2 Risk = Low	The wide range of stakeholders involved in the project make collaboration difficult as access to information and representation of all relevant stakeholders within the project could make coordination of project activities	PMU			

					difficult. Therefore clear mandates and responsibilities have been delegated to lead institutions, who would be tasked with coordinating joint and multi-stakeholder efforts - while concentrating on achieving project impacts on the ground.				
6	Climate change may undermine the conservation objectives of the Project	<i>Child concept stage/ PIF, 2016</i>	Environmental	Probability = 2 Impact = 2 Risk = Low	The Project will work to address the anticipated negative impacts of climate change by increasing resilience of natural landscapes, through promoting sustainable management of natural resources. The elephant is a keystone species of the Tsavo and Mara ecosystems and so its conservation will help to ensure that such habitats and their wildlife remain healthy and robust against climate change. Sound and adaptive natural resource and grazing area management is supported by the project, taking into account climatic variability and change.	UNDP			

## Types of Risks

Environmental	Financial	Organizational	Political	Operational	Regulatory	Strategic	Other
Natural Disasters: storms, flooding, earthquakes	EXTERNAL economic factors: interest rates, exchange rate fluctuation, inflation	Institutional Arrangements	Corruption	Complex Design (size: larger/multi-country project; technical complexity; innovativeness, multiple funding sources)	New unexpected regulations, policies	Partnerships failing to deliver	Other risks that do not fit in any of the other categories
Pollution incidents	INTERNAL:	Institutional/ Execution Capacity	Government Commitment	Project Management	Critical policies or legislation fails to pass or progress in the legislative process	Strategic Vision, Planning and Communication	Might refer to socioeconomic factors such as: population pressures; encroachment – illegal invasions; poaching/illegal hunting or fishing
Social and Cultural	Co-financing difficulties	Implementation arrangements	Political Will	Human Error/Incompetence		Leadership and Management	Poor response to gender equity efforts
Security/Safety	Use of financing mechanisms	Country Office Capacity (specific elements limiting CO capacity)	Political Instability	Infrastructure Failure		Program Alignment	
Economic	Funding (Financial Resources)	Governance	Change in Government	Safety being compromised		Competition	
	Reserve Adequacy	Culture, Code of Conduct and Ethics	Armed Conflict and Instability	Poor monitoring and evaluation		Stakeholder Relations	
	Currency	Accountability and Compensation	Adverse Public opinion/media intervention	Delivery		Reputation	
	Receivables	Succession Planning and Talent Mgt.		Program Management		UN Coordination	
	Accounting/Financial Reporting	Human resources Processes and Procedures		Process Efficiency		UN Reform	
	Budget Allocation and Management			Internal Controls			
	Cash Management/ Reconciliation			Internal and External Fraud			
	Pricing/Cost Recovery			Compliance and Legal			
				Procurement			
				Technology			
				Physical Assets			

**Annex I: Results of the capacity assessment of the project implementing partner and HACT micro assessment**

The capacity assessments and HACT micro assessments necessary will be undertaken after GEF approval, but before signing of the Project Document .

**Annex J: Additional Agreements**

There are currently no additional agreements.

## V. OTHER ANNEXES

### Annex K: List of stakeholders consulted during project preparation

No.	Name	Organization	Email/ Phone	Consultation engagement
1	Koikai Oloiptip	Amboseli Ecosystem Trust (AET)/Amboseli-Tsavo Group Ranch Conservancy Association (ATGRCA)	<a href="mailto:oloikoikai@outlook.com">oloikoikai@outlook.com</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
2	Kathleen H. Fitzgerald	African Wildlife Foundation (AWF)	<a href="mailto:kfitzgerald@awf.org">kfitzgerald@awf.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
3	Philip Muruthi	African Wildlife Foundation (AWF)	<a href="mailto:pmuruthi@awf.org">pmuruthi@awf.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
4	Per Karlsson	African Wildlife Foundation (AWF)	<a href="mailto:pkarlsson@awf.org">pkarlsson@awf.org</a> ; 0721864644	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
5	Didi Wamukoya	African Wildlife Foundation (AWF)	<a href="mailto:dwamukoya@awf.org">dwamukoya@awf.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
6	Danile Ole Sambu	Big Life Foundation (BLF)	<a href="mailto:predator@biglife.org">predator@biglife.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> <li>Validation meeting, 16 November 2017</li> </ul>
7	Johnson Sipitiek	Chair Narok County Wildlife Community Conservation Committee (CWCCC)/ Africa Conservation Centre (ACC)	<a href="mailto:johnson.sipitiek@acc.or.ke">johnson.sipitiek@acc.or.ke</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
8	Jabes Okumu	East Africa Wild Life Society (EAWLS)	<a href="mailto:Jabes.Okumu@eawildlife.org">Jabes.Okumu@eawildlife.org</a> ; 0729408577	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
9	Krysty McCarville (intern)		<a href="mailto:Krysty.McCarville@eawildlife.org">Krysty.McCarville@eawildlife.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
10	Jack Marubu	FREELAND	<a href="mailto:jack@freeland.org">jack@freeland.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
11	Edwin Brown	International Fund for Animal Welfare (IFAW)	<a href="mailto:ebrown@ifaw.org">ebrown@ifaw.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
12	Akshay Vishwanath	IUCN	<a href="mailto:akshay.vishwanath@iucn.org">akshay.vishwanath@iucn.org</a> ; 0731516534	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
13	Holly T. Dublin	IUCN/SSC African Elephant Specialist Group	<a href="mailto:Holly.dublin@iucn.org">Holly.dublin@iucn.org</a>	<ul style="list-style-type: none"> <li>Various emails; IUCN First Line of Defense approach</li> </ul>
14	Martyn Muchuma	Kenya Wildlife Conservancies Association (KWCA)	<a href="mailto:muchuma@kwakenya.com">muchuma@kwakenya.com</a> ; 0707997707	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
15	Daniel Letoiye		<a href="mailto:dletoiye@kwakenya.com">dletoiye@kwakenya.com</a> ; 0721938409	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
16	Gladys Warigia		<a href="mailto:gwarigia@kwakenya.com">gwarigia@kwakenya.com</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
17	Jacob Sarara	Kenya Wildlife Service (KWS) (see more below #34)	<a href="mailto:sarara@kws.go.ke">sarara@kws.go.ke</a> ; 0720733443	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> </ul>
18	Luka Narisha	Kenya Wildlife Service	<a href="mailto:narisha@kws.go.ke">narisha@kws.go.ke</a> ; 0715272295	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
19	Prof. Simon Seno	Masai Mara University	<a href="mailto:oleseno53@gmail.com">oleseno53@gmail.com</a>	<ul style="list-style-type: none"> <li></li> </ul>
22	Patrick Omondi	MENR	<a href="mailto:pomomdi@environment.go.ke">pomomdi@environment.go.ke</a> ; <a href="mailto:poduor2003@yahoo.co.uk">poduor2003@yahoo.co.uk</a> ; 0722791718	<ul style="list-style-type: none"> <li>24/08 draft prodoc elements shared</li> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
23	Christine Nkrote (intern)	MENR	<a href="mailto:ntoitichristine@gmail.com">ntoitichristine@gmail.com</a> ; 0701616458	<ul style="list-style-type: none"> <li></li> </ul>

24	Stephen Manegene	MENR	<a href="mailto:smanegene@gmail.com">smanegene@gmail.com</a> ; 0722628919	<ul style="list-style-type: none"> <li>• Inception workshop, 19 July 2017</li> <li>• ICCWC Framework workshop, 21/09/2017</li> <li>• Validation meeting, 16 November 2017</li> <li>• Individual consultations</li> </ul>
25	Billiah M'mbasu		<a href="mailto:blmmbasu@yahoo.com">blmmbasu@yahoo.com</a>	<ul style="list-style-type: none"> <li>•</li> </ul>
26	John Mlamba	Taita County Wildlife Community Compensation Committee (CWCCC)	<a href="mailto:mlamba94@gmail.com">mlamba94@gmail.com</a> ; 0726632546	<ul style="list-style-type: none"> <li>•</li> </ul>
27	Charles Oluchina	The Nature Conservancy	<a href="mailto:coluchina@tnc.org">coluchina@tnc.org</a>	<ul style="list-style-type: none"> <li>•</li> </ul>
28	Javier Montano	UNODC	<a href="mailto:javier.montano@unodc.org">javier.montano@unodc.org</a> ; 0719195550	<ul style="list-style-type: none"> <li>• Various meetings</li> <li>• Joint preparation ICCWC workshop 20/09/2017</li> <li>• ICCWC Framework workshop, 21/09/2017</li> </ul>
29	Ben Wandago	USAID/KEA	<a href="mailto:bwandago@usaid.gov">bwandago@usaid.gov</a> ; 0722771235	<ul style="list-style-type: none"> <li>• Consultation meeting</li> <li>• Validation meeting, 16 November 2017</li> </ul>
30	Martin Mulama	WWF	<a href="mailto:mmulama@wwfkenya.org">mmulama@wwfkenya.org</a> ; 0703445201	<ul style="list-style-type: none"> <li>•</li> </ul>
31	Ian Saunders	Tsavo Conservation Group	<a href="mailto:ian@tsavocon.org">ian@tsavocon.org</a> ; <a href="mailto:iansaunders@tsavocon.org">iansaunders@tsavocon.org</a>	<ul style="list-style-type: none"> <li>• Various skype calls and email consultations</li> <li>• 20/09/2017: meeting in Voi</li> </ul>
32	Lawrence Allen	Clemson University	<a href="mailto:lalln@clemson.edu">lalln@clemson.edu</a>	<ul style="list-style-type: none"> <li>• 30/08/2017: Skype call; various emails</li> </ul>
33	Susan Lylis	ICCF	<a href="mailto:susanlylis@iccfoundation.us">susanlylis@iccfoundation.us</a>	<ul style="list-style-type: none"> <li>• 16/08/2017: brief email; later via Ingela ICCF Kenya proposal - Corporate Conservation Initiative (USAID)</li> </ul>
34	Samuel Kasiki	KWS	<a href="mailto:skasiki@kws.go.ke">skasiki@kws.go.ke</a> ; <a href="mailto:ewanyonyi@kws.go.ke">ewanyonyi@kws.go.ke</a> ; <a href="mailto:flesilau@kws.go.ke">flesilau@kws.go.ke</a>	<ul style="list-style-type: none"> <li>• 24/08 draft prodoc elements shared</li> </ul>
35	Jim Karani	Wildlife Direct	<a href="mailto:jimk@wildlifedirect.org">jimk@wildlifedirect.org</a>	<ul style="list-style-type: none"> <li>• 24/08 draft prodoc elements shared</li> </ul>
37	Steve Gulick	Wildland Security	<a href="mailto:sgulick@wildlandsecurity.org">sgulick@wildlandsecurity.org</a>	<ul style="list-style-type: none"> <li>• 22/08: Email: proposal input ideas</li> </ul>
39	Noah Sitali	Maasai Mara Wildlife Conservancies Association	<a href="mailto:noah@maraconservancies.org">noah@maraconservancies.org</a>	<ul style="list-style-type: none"> <li>• 24/08 draft prodoc elements shared</li> </ul>
40	Steve Njumbi	IFAW	<a href="mailto:snjumbi@ifaw.org">snjumbi@ifaw.org</a>	<ul style="list-style-type: none"> <li>• 15/08/2017: proposal input ideas</li> </ul>
41	Zainabu Salim	KWS Tsavo – Senior Warden Community Wildlife Service	<a href="mailto:zsalim@kws.go.ke">zsalim@kws.go.ke</a>	<ul style="list-style-type: none"> <li>• 19/02/2017: meeting in Voi</li> </ul>
42	Felix Mwangangi	KWS Tsavo East – Senior Warden	<a href="mailto:fmwangangi@kws.go.ke">fmwangangi@kws.go.ke</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>
43	Paul Kipkoesch	KWS – Head of Security Tsavo	<a href="mailto:pkipkoesch@kws.go.ke">pkipkoesch@kws.go.ke</a>	<ul style="list-style-type: none"> <li>• 21/02/2017: meeting in Voi</li> </ul>
44	Rhodah Mwashigadi	Taita-Taveta County Government (County Environment Office)	<a href="mailto:Rhoda.mwashigadi@gmail.com">Rhoda.mwashigadi@gmail.com</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>
45	Nathaniel Mwandisha	Taita-Taveta County Government (County Environment Office)	<a href="mailto:Nathanielmwandisha@gmail.com">Nathanielmwandisha@gmail.com</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>
46	Joan Lavoga	Taita-Taveta County Government (County Environment Office)	<a href="mailto:lavogajoan@gmail.com">lavogajoan@gmail.com</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>
47	Louisa Nassibu	TsavoCon	<a href="mailto:nassibu@tsavocon.org">nassibu@tsavocon.org</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> <li>• Validation meeting, 16 November 2017</li> </ul>
48	Kim Davey	TsavoCon	<a href="mailto:kim@tsavocon.org">kim@tsavocon.org</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>
49	Mohammed Kamanya	TsavoCon	<a href="mailto:kamanya@tsavocon.org">kamanya@tsavocon.org</a>	<ul style="list-style-type: none"> <li>• 20/02/2017: meeting in Voi</li> </ul>



50	Donal Mombo	TsavoCon	<a href="mailto:mombo@tsavocon.org">mombo@tsavocon.org</a>	<ul style="list-style-type: none"> <li>20/02/2017: meeting in Voi</li> </ul>
51	Brian Otiende	USAID Kenya and East Africa, PMS Biodiversity/ Water	<a href="mailto:botiende@usaid.gov">botiende@usaid.gov</a>	<ul style="list-style-type: none"> <li>22/02/2017: meeting in Nairobi</li> <li>Validation meeting, 16 November 2017</li> </ul>
52	Beatrice Wamalwa	USAID	<a href="mailto:bwamalwa@usaid.gov">bwamalwa@usaid.gov</a>	<ul style="list-style-type: none"> <li>22/02/2017: meeting in Nairobi</li> </ul>
53	Mikala Lauridsen	USAID	<a href="mailto:mlauridsen@usaid.gov">mlauridsen@usaid.gov</a>	<ul style="list-style-type: none"> <li>22/02/2017: meeting in Nairobi</li> </ul>
54	Nicholas Sadron	International Conservation Cacus Foundation (ICCF)	<a href="mailto:nsadron@internationalconservation.org">nsadron@internationalconservation.org</a> ; 0721428364	<ul style="list-style-type: none"> <li></li> </ul>
55	Lawrence Ole Mbelati	Maasai Mara Wildlife Conservancies	<a href="mailto:lawrence@maraconservancies.org">lawrence@maraconservancies.org</a>	<ul style="list-style-type: none"> <li>12/09/2017 Meeting in Narok town</li> </ul>
56	Stephen Kisotu	Maasai Mara Wildlife Conservancies	<a href="mailto:stephen@maraconservancies.org">stephen@maraconservancies.org</a>	<ul style="list-style-type: none"> <li>12/09/2017 Meeting in Narok town</li> </ul>
57	Nassir Rajab	Maasai Mara Wildlife Conservancies	<a href="mailto:nassir@maraconservancies.org">nassir@maraconservancies.org</a>	<ul style="list-style-type: none"> <li>12/09/2017 Meeting in Narok town</li> </ul>
58	Lena Munge	Executive Member NAROK County (Tourism & Wildlife Minister)	<a href="mailto:Lena.munge@narok.go.ke">Lena.munge@narok.go.ke</a> ; <a href="mailto:lana.munge@gmail.com">lana.munge@gmail.com</a>	<ul style="list-style-type: none"> <li>15/09/2017 Meeting in Narok town; draft prodoc shared</li> </ul>
59	Stephen Koriata	Tourism Officer - Maasai Mara University		<ul style="list-style-type: none"> <li></li> </ul>
60	Simon Ole Seno	Deputy Vice Chancellor-	<a href="mailto:Oleseno53@gmail.com">Oleseno53@gmail.com</a> ; <a href="mailto:dvc.afp@mm">dvc.afp@mm</a>	<ul style="list-style-type: none"> <li>13/09/2017 Meeting in Narok university campus</li> </ul>
61	Salaton Tome	Lecturer NRM - Maasai Mara University	<a href="mailto:salaton@mmarau.ac.ke">salaton@mmarau.ac.ke</a>	<ul style="list-style-type: none"> <li>13/09/2017 Meeting in Narok university campus;</li> <li>Validation meeting, 16 November 2017</li> </ul>
62	Douglas Kamaru	Enonkishu Conservancy		<ul style="list-style-type: none"> <li>14/09/2017 Meeting in Enonkishu training centre</li> </ul>
63	Raphael Kares (Manager)	Mara North Conservancy		<ul style="list-style-type: none"> <li>14/09/2017 Meeting in Mara North/Ojorok offices</li> </ul>
64	Philip xxxx (in charge of security)	Mara North Conservancy		<ul style="list-style-type: none"> <li>14/09/2017 Meeting in Mara North/Ojorok offices</li> </ul>
65	Doris xxx (Manager)	Oljorok Conservancy		<ul style="list-style-type: none"> <li>14/09/2017 Meeting in Mara North/Ojorok offices</li> </ul>
66	Kahembo Odera	African Wildlife Foundation	<a href="mailto:KOdera@awf.org">KOdera@awf.org</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
67	Florence Magoma	Kenya Wildlife Service	<a href="mailto:fmagoma@kws.org">fmagoma@kws.org</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
68	Shamini Jayanathan	Space for Giants	<a href="mailto:shamini@spaceforgiants.org">shamini@spaceforgiants.org</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> <li>Prodoc shared</li> <li>Individual meetings</li> </ul>
69	Touja Chopic	UNODC	<a href="mailto:Touja.chopic@gmx.de">Touja.chopic@gmx.de</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
70	Louise Matthews	UNODC	<a href="mailto:loulah@gmail.com">loulah@gmail.com</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
71	John M. Mbatha	Kenya Forest Service	<a href="mailto:Jmbatha@kenyaforets.go.ke">Jmbatha@kenyaforets.go.ke</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
72	Barnabas Gioche	UNODC	<a href="mailto:bgioche@gmail.com">bgioche@gmail.com</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
74	Mwanahamisi Twalib	Kenya Wildlife Service	<a href="mailto:mwanahamisi@kws.go.ke">mwanahamisi@kws.go.ke</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
76	David Githaiga	UNDP	<a href="mailto:david.githaiga@undp.org">david.githaiga@undp.org</a>	<ul style="list-style-type: none"> <li>Inception workshop, 19 July 2017</li> <li>ICCWC Framework workshop, 21/09/2017</li> <li>Validation meeting, 16 November 2017</li> </ul>
77	Gerard Ngumbi	Kenya Forest Working Group	<a href="mailto:gerards420@gmail.com">gerards420@gmail.com</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
78	Steve Thurlow	UNODC	<a href="mailto:stephen.thurlow@un.org">stephen.thurlow@un.org</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>
80	Jane Otieno	MENR	<a href="mailto:aumaotieno1996@gmail.com">aumaotieno1996@gmail.com</a> ; <a href="mailto:jotieno82@yahoo.com">jotieno82@yahoo.com</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> <li>Prodoc shared</li> </ul>
81	Joseph Anunda	Kenya Forest Service	<a href="mailto:anunda.joseph@yahoo.com">anunda.joseph@yahoo.com</a>	<ul style="list-style-type: none"> <li>ICCWC Framework workshop, 21/09/2017</li> </ul>

82	Sarah Muriithi	Kenya Forest Service	<a href="mailto:murithisarah59@yahoo.com">murithisarah59@yahoo.com</a>	<ul style="list-style-type: none"> <li>• ICCWC Framework workshop, 21/09/2017</li> </ul>
83	Caroline Wanjiku	Forestry Society of Kenya	<a href="mailto:keforsoc@gmail.com">keforsoc@gmail.com</a> ; <a href="mailto:carolesluks@gmail.com">carolesluks@gmail.com</a>	<ul style="list-style-type: none"> <li>• ICCWC Framework workshop, 21/09/2017</li> </ul>
84	Joseph Sarara	Kenya Wildlife Service	<a href="mailto:sarara@kws.go.ke">sarara@kws.go.ke</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
85	Charles Mwangi	East African Wildlife Society	<a href="mailto:charles.mwangi@eawildlife.org">charles.mwangi@eawildlife.org</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
86	Majala Mlagui	Taita Taveta County Government	<a href="mailto:majalamlaghui@gmail.com">majalamlaghui@gmail.com</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
87	Claris Mnyambo	Taita Taveta County Government	<a href="mailto:mcnjoli@gmail.com">mcnjoli@gmail.com</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
88	Fiesta Warinwa	African Wildlife Foundation	<a href="mailto:fwarinwa@awf.org">fwarinwa@awf.org</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
89	Jim Nyamu	Elephant Neighbours Centre	<a href="mailto:jim.nyamu@elephantneighborscentre.org">jim.nyamu@elephantneighborscentre.org</a>	<ul style="list-style-type: none"> <li>• Validation meeting, 16 November 2017</li> </ul>
91	Adam Masurovsky	ICCF	<a href="mailto:amasurovsky@iccfoundation.us">amasurovsky@iccfoundation.us</a>	<ul style="list-style-type: none"> <li>• Email contact</li> </ul>
92	Ashley Baker	IFAW	<a href="mailto:abaker@ifaw.org">abaker@ifaw.org</a>	<ul style="list-style-type: none"> <li>• Email contact; proposal input ideas 15/08/2017</li> </ul>
93	Brett Wright	Clemson University	-	<ul style="list-style-type: none"> <li>• Various emails</li> </ul>
94	Wayne Freimund	Clemson University	-	<ul style="list-style-type: none"> <li>• Various emails</li> </ul>
95	Mr. Wanyonyi	KWS		<ul style="list-style-type: none"> <li>• Project doc shared</li> </ul>
96	Mr. Lesilau	KWS		<ul style="list-style-type: none"> <li>• Project doc shared</li> </ul>
97	Paula Kalumbu	Wildlifef Direct	<a href="mailto:paula@wildlifedirect.org">paula@wildlifedirect.org</a>	<ul style="list-style-type: none"> <li>• Project doc shared</li> </ul>
98	Tanya Saunders	Tsavo Conservation Group	-	<ul style="list-style-type: none"> <li>• 09/09/2017: Email: proposal input ideas</li> </ul>
99	Dickson Kaelo		<a href="mailto:dkaelo@kwakenya.com">dkaelo@kwakenya.com</a>	<ul style="list-style-type: none"> <li>• 08/2017: proposal input idea</li> <li>• Various Skype calls</li> <li>• Validation meeting, 16 November 2017</li> </ul>
100	Leo Niskanen	IUCN	<a href="mailto:NISKANEN Leo &lt;Leo.Niskanen@iucn.org&gt;">NISKANEN Leo &lt;Leo.Niskanen@iucn.org&gt;</a>	<ul style="list-style-type: none"> <li>• Provided input to the prodoc</li> <li>• Various emails</li> </ul>
101	Daniel Sopia	MMWCA		<ul style="list-style-type: none"> <li>• Various emails</li> <li>• Skype calls</li> <li>• Validation meeting, 16 November 2017</li> </ul>

**Annex L: Co-financing letters**

Please see separate file.

**Annex M: Capacity Assessment Scorecard for law enforcement agency – Kenya Wildlife Service (KWS)**

**Project/Programme Name:** UNDP/GEF Project “Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach”

**Project/Programme Cycle Phase:** PPG. Date of assessment: November 1-7, 2017

**Participants of the assessment:** Mikhail Paltsyn, Wildlife Crime Expert; Edwin Wanyonyi, KWS; Samuel Kasiki, KWS.

**Table 1. UNDP Capacity Assessment Scorecard Summary**

*Summary Results of the UNDP Capacity Development Scorecard for Institutions responsible for combating poaching and IWT*

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	% achieved	Project Scores	Total possible score	% achieved	Project Scores	Total possible score	% achieved	
(1) Capacity to conceptualize and formulate policies, legislations, strategies and programs	5	6	83%	3	3	100%	n/a	n/a	n/a	92%
(2) Capacity to implement policies, legislation, strategies and programs	4	6	67%	13	18	72%	8	12	67%	69%
(3) Capacity to engage and build consensus among all stakeholders	4	6	67%	4	6	67%	2	3	67%	67%
(4) Capacity to mobilize information and knowledge	2	3	67%	n/a	n/a	n/a	2	3	67%	67%
(5) Capacity to monitor, evaluate, report and learn	4	6	67%	4	6	67%	2	3	67%	67%
<b>TOTAL Score and average for %'s</b>	<b>19</b>	<b>27</b>	<b>70%</b>	<b>24</b>	<b>33</b>	<b>73%</b>	<b>14</b>	<b>21</b>	<b>67%</b>	<b>70%</b>

**Table 2. Detailed Results from the Capacity Assessment Scorecard**

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
<b>1. Capacity to conceptualize and formulate policies, legislations, strategies and programs</b>					
	Systemic	The agenda to combat poaching and IWT is being effectively championed / driven forward.	<p>0 -- There is essentially no agenda on combating poaching and IWT;</p> <p>1 -- There are some persons or institutions actively pursuing anti-poaching agenda but they have little effect or influence;</p> <p>2 -- There are a number of persons and institutions that drive the anti-poaching agenda, but more is needed;</p> <p>3 -- There are an adequate number of able "champions" and "leaders" effectively driving forwards anti-poaching and IWT agenda</p>	<b>3</b>	New wildlife legislation (Wildlife Conservation and Management Act 2013) classifies wildlife crime (WC) as a serious crime in Kenya. This also is supported by the Presidential degree that WC is a serious issue to security in the country. Every government official now has mandate to preserve wildlife. KWS is now a part of national security and intelligence committee. Customs, Police, KWS, all have wildlife enforcement departments. National Wildlife Policy has been just drafted and National Wildlife Conservation Strategy is under development under KWS leadership.
	Systemic	There is a strong and clear legal mandate for combating poaching and IWT.	<p>0 -- There is no legal framework to support efforts aimed at combating poaching and IWT;</p> <p>1 -- There is a partial legal framework supporting efforts aimed at combating poaching and IWT, but it has many inadequacies;</p> <p>2 -- There is a reasonable legal framework supporting efforts aimed at combating poaching and IWT but it has a few weaknesses and gaps;</p> <p>3 -- There is a strong and clear legal mandate supporting efforts aimed at combating poaching and IWT;</p>	<b>2</b>	<p>Poaching and wildlife trafficking by organized groups is recognized as a serious crime by the Wildlife Conservation and Management Act 2013: minimum of KSH 20 million of fine or life sentence is the penalty for WC offenders. Nonetheless, the Wildlife Conservation and Management Act (WCMA) still lacks the subsidiary regulations necessary to put it into action. The following serious gaps in wildlife crime legislation and policy need to be addressed:</p> <ul style="list-style-type: none"> <li>• Kenya does not have a National Strategy to Combat Poaching and Illegal Wildlife Trade to guide coordinated actions to eliminate wildlife crime;</li> <li>• The country does not have specific national guidelines on prosecution of wildlife crime;</li> <li>• Kenya is party to several Multilateral Environmental Agreements which automatically become part of Kenya law; however, their provisions and requirements are rarely considered in wildlife enforcement and prosecution.</li> </ul>
	Institutional	Institutions responsible for combating poaching and IWT are able to	<p>0 -- Institutions responsible for combating poaching and IWT have no plans or strategies;</p> <p>1 -- Institutions responsible for combating poaching have strategies and plans, but these</p>	<b>3</b>	In Kenya, strategic planning and implementation is a statutory requirement for state corporations; the KWS is no exception. KWS develop regular 5 year Strategic Plans. According to the University of Nairobi School of Business analysis KWS "has met most of its strategic goals and objectives through an effective process of

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
		strategize and plan.	are old and no longer up to date or were prepared in a totally top-down fashion; 2 -- Institutions responsible for combating poaching and IWT have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation; 3 -- Institutions responsible for combating poaching and IWT have strategies and plans which are relevant, prepared in a participatory manner and regularly updated		formulation, implementation and evaluation of strategies adopted” <sup>91</sup> . KWS has developed and implemented several endangered species conservation strategies such as: <ul style="list-style-type: none"> <li>- Black Rhino Conservation and Management Strategy;</li> <li>- Elephant Conservation strategy</li> <li>- Turtle Strategy</li> <li>- Gravy Zebra Strategy</li> </ul>
<b>2. Capacity to implement policies, legislation, strategies and programs</b>					
	Systemic	There are adequate skills for combating poaching and IWT.	0 -- There is a general lack of skills for combating poaching and IWT; 1-- Some skills exist but in largely insufficient quantities to guarantee effective anti-poaching and prevention of IWT; 2 -- Necessary skills for effective anti-poaching and prevention of IWT do exist but are stretched and not easily available; 3 -- Adequate quantities of the full range of skills necessary for effective anti-poaching and prevention of IWT are easily available	2	All LE agencies are understaffed with respect to WC in Kenya. The existing staff of KWS is a mix of experienced and inexperienced officers. KWS has a new intelligence unit containing 12 analysts. Investigators for WC are recruited in the field or talent spotted internally and externally. There is no special staff at the border crossings to check CITES permits. KWS has special investigation staff, but not enough and not sufficiently trained.  KWS uses screenings and forensics to investigate wildlife crime cases. DNA samples, however, are still sent to South Africa for analysis, which takes some time for the results to be out. Forensic laboratory at KWS currently can analyze bush meat samples and still requires significant support.  ICWC Indicator Framework Assessment indicated insufficient capacity of KWS in the preparation of case files for court, judicial procedures and the giving of evidence in court. Also, KWS prosecutors need more capacity to manage wildlife crime cases.
	Systemic	There is a fully transparent oversight authority for the institutions responsible for	0 -- There is no oversight at all of institutions responsible for combating poaching and IWT; 1 -- There is some oversight, but only indirectly and in a non-transparent manner;	2	KWS has a Board of Trustees (16 persons) to oversee its activities, management, and finance. The Board has an Audit and Risk Committee to assist the Board to review KWS financial statements and oversee of internal control systems. However, local media have reported several rhino horns disappeared from various storerooms managed by the Kenya Wildlife Service (KWS)

<sup>91</sup> <http://business.uonbi.ac.ke/node/924>

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
		combating poaching and IWT.	2 -- There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized) ; 3 -- There is a fully transparent oversight authority responsible for combating poaching and IWT		in recent years. No signs of forced entry suggest theft or complicity by an insider. But KWS rejects claims that public officials are colluding with traffickers <sup>92</sup> .
	Institutional	Institutions responsible for combating poaching and IWT are effectively led.	0 – Institutions responsible for combating poaching and IWT have a total lack of leadership; 1 -- Institutions responsible for combating poaching and IWT exist but leadership is weak and provides little guidance; 2 -- Institutions responsible for combating poaching and IWT have reasonably strong leadership but there is still need for improvement; 3 -- Institutions responsible for combating poaching and IWT are effectively led	2	KWS has relatively strong leadership and management. Human Resource Management at KWS is quite strong as was demonstrated by the study of the University of Nairobi <sup>93</sup> . The study concluded that KWS has demonstrated its effectiveness of the HRM function in various ways thus enhancing its performance in the public service sector. It was recommended that KWS can improve its effectiveness in HRM functions by putting more emphasis on strategy implementation on HRM that would involve; measuring, evaluating, revising and refocusing for the future; setting the direction that would ensure that the parastatals' mission and vision is adhered to; emphasis on the strategic business issues which are likely to highlight numerous implications for human resource management; analysis of economy and industry in which it competes; intensive assessment of company strengths, weakness, and core competencies.
	Institutional	Institutions responsible for combating poaching and IWT have regularly updated, participatorially prepared, comprehensive management plans.	0 -- Institutions responsible for combating poaching and IWT have no management plans; 1 -- Some institutions responsible for combating poaching and IWT have up-to-date management plans but they are typically not comprehensive and were not participatorially prepared; 2 -- Most institutions responsible for combating poaching and IWT have management plans though some are old, not	3	KWS produces and implements regular 5 year Strategic Plans and species conservation strategies such as: <ul style="list-style-type: none"> <li>- Black Rhino Conservation and Management Strategy;</li> <li>- Elephant Conservation strategy</li> <li>- Turtle Strategy</li> <li>- Gravy Zebra Strategy</li> </ul> Also, KWS uses comprehensive the Protected Area Planning Framework (PAPF) to develop and implement management plans for Kenya PAs and Ecosystem Management Plans (e.g., Amboseli

<sup>92</sup> [http://j4t.org/2016/poaching\\_eastafrica.html](http://j4t.org/2016/poaching_eastafrica.html)

<sup>93</sup> <http://erepository.uonbi.ac.ke/handle/11295/96627>

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
			<p>participatorially prepared or are less than comprehensive;</p> <p>3 – All institutions responsible for combating poaching and IWT have a regularly updated, participatorially prepared, comprehensive management plans</p>		Ecosystem Management Plan 2008-2018 and Arabuko Sokoke Forest Strategic Management Plan 2002-2027.
	Institutional	Human resources are well qualified and motivated.	<p>0 -- Human resources are poorly qualified and unmotivated;</p> <p>1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated;</p> <p>2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified;</p> <p>3 -- Human resources are well qualified and motivated.</p>	2	All LE agencies are understaffed with respect to WC in Kenya. The existing staff of KWS is a mix of experienced and inexperienced officers. Investigators for WC are recruited in the field or talent spotted internally and externally. KWS has special investigation staff, but not enough and not sufficiently trained. Forensic laboratory at KWS still requires significant support to make it fully functional. KWS prosecutors have some capacity, but it is insufficient to address all WC cases in the country.
	Institutional	Management plans are implemented in a timely manner effectively achieving their objectives.	<p>0 -- There is very little implementation of management plans;</p> <p>1 -- Management plans are poorly implemented and their objectives are rarely met;</p> <p>2 -- Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met;</p> <p>3 -- Management plans are implemented in a timely manner effectively achieving their objectives</p>	2	According to the University of Nairobi School of Business analysis KWS “has met most of its strategic goals and objectives through an effective process of formulation, implementation and evaluation of strategies adopted” <sup>94</sup> . However, as was demonstrated by Nyamboga et al. 2012 “the implementation of KWS strategic plans is faced by myriad of challenges such as inadequacy of funds, staff shortages, lack of training and motivation, poor orientation of the employees, inappropriate communication flow, and lack of information technology”.
	Institutional	Institutions for combating poaching and IWT are able to adequately	0 -- Institutions responsible for combating poaching and IWT typically are severely underfunded and have no capacity to mobilize sufficient resources;	2	Financial and human resources in KWS as well as in other LE agencies are insufficient to effectively control wildlife crime. “Wildlife conservation in Kenya is primarily financed by income raised from park entry fees (conservation fees), accommodation facilities, rents and leases, government subventions, donors, and

<sup>94</sup> <http://business.uonbi.ac.ke/node/924>



Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
		mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate.	<p>1 -- Institutions responsible for combating poaching and IWT have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate;</p> <p>2 -- Institutions responsible for combating poaching and IWT have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate;</p> <p>3 -- Institutions responsible for combating poaching and IWT are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate</p>		fundraising events held in various national parks. The revenue demands for conservation are much higher than what is annually generated” (Wanyonyi 2012). KWS relies considerably on international support to fight wildlife crime: “the main supporters for conservation in Kenya are the United States Agency for International Development (USAID), Global Environment Facility (GEF), International Fund for Agricultural Development (IFAD), European Union, World Bank, French Development Agency (AFD), and UK’s Department for International Development (DFID)” (Wanyonyi 2012).
	Institutional	Anti-poaching and IWT prevention are effectively carried out	<p>0 -- No enforcement of regulations is taking place;</p> <p>1 -- Some enforcement of regulations but largely ineffective and external threats remain active;</p> <p>2 -- Regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated;</p> <p>3 -- Regulations are highly effectively enforced and all external threats are negated</p>	2	Poaching and wildlife trafficking by organized groups is recognized as a serious crime by the Wildlife Conservation and Management Act 2013: minimum of Ksh 20 million of fine or life sentence is the penalty for WC offenders. ODPP and KWS have cooperation to combat wildlife crime. Head of the KWS Intelligence department came from the Kenya National Intelligence Service. Multi-Agency Port Control Unit is established at Mombasa Port in the framework of the WC Container Control Program. KWS has a police liaison person at the DCI. However, the cooperation can be strengthened. However, all LE agencies in Kenya, including KWS, are understaffed with respect to WC.
	Individual	Individuals are able to advance and develop professionally	<p>0 -- No career tracks are developed and no training opportunities are provided;</p> <p>1 -- Career tracks are weak and training possibilities are few and not managed transparently;</p> <p>2 -- Clear career tracks developed and training available; HR management however has inadequate performance measurement system;</p>	2	KWS has two training centers in Manyani (KWS Law Enforcement Academy) and Naivasha, both include WC training. Also, KWS provide training to other agencies on WC. However, more trainings on investigation, prosecution and intelligence regarding WC is needed on an ad hoc basis.

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
			3 -- Individuals are able to advance and develop professionally		
	Individual	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 -- Individuals are appropriately skilled for their jobs	2	<p>The existing staff of KWS is a mix of experienced and inexperienced officers. Investigators for WC are recruited in the field or talent spotted internally and externally. KWS has a new intelligence unit containing 12 analysts. There is no special staff at the border crossings to check CITES permits. KWS has special investigation staff, but not enough and not sufficiently trained.</p> <p>KWS uses screenings and forensics to investigate wildlife crime cases. DNA samples, however, are still sent to South Africa for analysis, which takes some time for the results to be out. Forensic laboratory at KWS currently can analyze bush meat samples and still requires significant support and staff trainings.</p> <p>ICCCWC Indicator Framework Assessment indicated insufficient capacity of KWS staff in the preparation of case files for court, judicial procedures and the giving of evidence in court. Also, KWS prosecutors need more capacity to manage wildlife crime cases.</p>
	Individual	Individuals are highly motivated	0 -- No motivation at all; 1 -- Motivation uneven, some are but most are not; 2 -- Many individuals are motivated but not all; 3 -- Individuals are highly motivated	2	<p>The study of Bosire and Ntamushobora (2014) revealed that majority of the respondents agreed that KWS has been successful in building team leaders that are highly motivated. However, the study concludes that KWS should create a conducive working environment and come up with plans to engage employees in policy formulations to harness their leadership ability more effectively and increase the level of staff motivation.</p>
	Individual	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	0 -- No mechanisms exist; 1 -- Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 -- Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 -- There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	2	<p>KWS has two training centers in Manyani (KWS Law Enforcement Academy) and Naivasha, both include WC training for KWS staff, including PA rangers. Also, KWS provide training to other agencies and Conservancies on WC. However, more trainings on investigation, prosecution and intelligence regarding WC is needed on an ad hoc basis for KWS staff and other agencies.</p>
<b>3. Capacity to engage and build consensus among all stakeholders</b>					

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
	Systemic	Institutions for combating poaching and IWT have the political commitment they require	<p>0 -- There is no political will at all, or worse, the prevailing political will runs counter to the interests of institutions;</p> <p>1 -- Some political will exists, but it is not strong enough to make a difference;</p> <p>2 -- Reasonable political will exists, but is not always strong enough to fully support institutions;</p> <p>3 -- There are very high levels of political will to support institutions</p>	2	Political commitments to eliminate wildlife crime in Kenya are high. Thus, new wildlife legislation classifies WC as a serious crime in Kenya. This also is supported by the Presidential decree that WC is a serious issue to security in the country. Every government official now has mandate to preserve wildlife. KWS is now a part of national security and intelligence committee. Customs, Police, KWS, all have wildlife enforcement departments. National Wildlife Policy has been just drafted and National Wildlife Conservation Strategy is under development. WC control is a high priority for KWS, but the agency is understaffed
	Systemic	Institutions for combating poaching and IWT have the public support they require	<p>0 -- The public has little interest in institutions responsible for combating poaching and IWT and there is no significant lobby for these institutions;</p> <p>1 -- There is limited support for institutions responsible for combating poaching and IWT;</p> <p>2 -- There is general public support for institutions responsible for combating poaching and IWT and there are various lobby groups such as environmental NGO's strongly pushing them;</p> <p>3 -- There is tremendous public support in the country for institutions responsible for combating poaching and IWT</p>	2	KWS enjoys support of international donors, such as the United States Agency for International Development (USAID), Global Environment Facility (GEF), International Fund for Agricultural Development (IFAD), European Union, World Bank, French Development Agency (AFD), and UK's Department for International Development (DFID), UNODC. National NGOs, such as AWF, Space for Giants, WildlifeDirect, WWF, Tsavo Trust, IFAW and others also support KWS at national and local levels. However, support from local communities is still insufficient and local people often do not feel ownership of Parks and wildlife.
	Institutional	Institutions responsible for combating poaching and IWT are mission oriented	<p>0 -- Institutional mission not defined;</p> <p>1 -- Institutional mission poorly defined and generally not known and internalized at all levels;</p> <p>2 -- Institutional mission well defined and internalized but not fully embraced;</p> <p>3 -- Institutional missions are fully internalized and embraced</p>	2	KWS's mission is <i>"Sustainably conserve, manage and enhance Kenya's wildlife, its habitats and provide a wide range of public uses in collaboration with stakeholders for posterity"</i> . It is well defined and internalized, however, KWS needs more involvement of local community in conservation practices to fully coincide with the mission statement above.

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
	Institutional	institutions responsible for combating poaching and IWT can establish the partnerships needed to achieve their objectives	<p>0 -- Institutions responsible for combating poaching and IWT operate in isolation;</p> <p>1 -- Some partnerships in place but significant gaps and existing partnerships achieve little;</p> <p>2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives;</p> <p>3 -- Institutions responsible for combating poaching and IWT establish effective partnerships with other agencies and institutions, including national and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner</p>	2	KWS is involved in cooperation with other agencies to fight WC. Thus, ODPP and KWS have cooperation to combat wildlife crime. Head of the KWS Intelligence department came from the Kenya National Intelligence Service. Multi-Agency Port Control Unit is established at Mombasa Port in the framework of the WC Container Control Program. KWS has a police liaison person at the DCI. KWS do plan and implement joint agency operations, e.g., Operation "Wisdom" and "Cobra", depending on a threat level. However, the cooperation can be strengthened. Also, community engagement has decreased, they do not routinely engage, and they don't see the need to report on WC cases to KWS. LE cooperation between Parks and adjacent Conservancies also in great need to be strengthened.
	Individual	Individuals carry appropriate values, integrity and attitudes	<p>0 -- Individuals carry negative attitude;</p> <p>1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't;</p> <p>2 -- Many individuals carry appropriate values and integrity, but not all;</p> <p>3 -- Individuals carry appropriate values, integrity and attitudes</p>	2	KWS core values are " <i>Passion, Professionalism, Innovation and Quality</i> " and in general KWS staff carry the values. In order to sustain an effective organizational culture at the KWS, the core values are embedding into the work instructions, SOPs, continuous monitoring what staff do, wear and integrate at the work place, continuous improvement on systems, staff training, sensitization programmes leading by example, through passion, professionalism and development of organizational ethical code of conduct. Currently KWS has improved remuneration and rewarding system for exemplary staff based on non-monetary rewards. Ethical practices at KWS include dos and don'ts that are, respect for gender, wildlife and children, avoid sexual harassment at the work place, no corruption at the work place and rolling out clear timings or work (Ndunge 2014).
<b>4. Capacity to mobilize information and knowledge</b>					
	Systemic	Institutions responsible for combating poaching and IWT have the information they	<p>0 -- Information is virtually lacking;</p> <p>1 -- Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access;</p>	2	Intelligence lead operations are used by KWS to combat WC, including inter-agency cooperation (CID, intelligence, etc.). There is an informal process to get inter-departmental information within KWS, e.g., through the liaison person. Analysts flag who will be targeted for operations dependent on the threat and risk levels. The final decision on who to target is usually decided by

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
		need to develop and monitor strategies and action plans for the management of the protected area system and plan everyday activities	2 -- Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 -- Institutions responsible for combating poaching and IWT have the information they need to develop and monitor strategies and action plans for the management of the protected area system		<p>the KWS Director based on the analyst's information. More KWS LE resources go towards the hotspots. Hotspots are identified via weekly meetings (weekly security briefs) with all heads of departments in KWS, hotspots are then mapped based on this information. KWS Director then basis his resource decisions around the hotspots. If a hotspot is identified based on the threat levels a communication via email/phone is sent to regions concerned. National database is established at the KWS to store and analyze information on the wildlife and forest seizures.</p> <p>Also, KWS has a new intelligence unit containing 12 analysts. The unit has two parts: data capture and data analysis. All KWS areas of interest are covered by the unit. The software used for analysis is i2. KWS also has iBase. KWS has WC forensic laboratory. WC statistics is reported to Interpol, Word Customs Authority, Elephant Trade Information System.</p> <p>KWS conducts regular wildlife censuses in the PA, that provide the agencies with the key information for management planning and law enforcement. However, goods like bushmeat are a problem: the demand can be very high. However, the demand activities with a focus on bushmeat have not been developed and implemented. No information on the volumes of illegal bushmeat trade is available</p>
	Individual	Individuals working with institutions responsible for combating poaching and IWT work effectively together as a team	0 -- Individuals work in isolation and don't interact; 1 -- Individuals interact in limited way and sometimes in teams but this is rarely effective and functional; 2 -- Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 -- Individuals interact effectively and form functional teams	2	<p>KWS has a strong team of collaborators and support interagency connections. There is an informal process to get inter-departmental information within KWS, e.g., through the liaison person. Analysts flag who will be targeted for operations dependent on the threat and risk levels. The final decision on who to target is usually decided by the KWS Director based on the analyst's information. KWS work with the police and ODPP on an ad hoc need basis. KWS do plan and implement joint agency operations, e.g., Operation "Wisdom" and "Cobra", depending on a threat level. WC statistics is reported to Interpol, Word Customs Authority, Elephant Trade Information System. However, the cooperation can be strengthened further.</p>
<b>5. Capacity to monitor, evaluate, report and learn</b>					

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
	Systemic	Policies for institutions responsible for combating poaching and IWT are continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually; 3 -- Institutional policy for combating poaching and IWT is reviewed annually	2	KWS regularly reviews its policies, strategies, and instructions and lead on the review and development of national policies and legislation, e.g. Wildlife Conservation and Management Act (2013), updated National Wildlife Policy (2017), and the National Wildlife Conservation and Management Strategy (started in 2017).
	Systemic	Society monitors the state of institutions responsible for combating poaching and IWT	0 -- There is no dialogue at all; 1 -- There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 -- There is a reasonably open public dialogue going on but certain issues remain taboo; 3 -- There is an open and transparent public dialogue about the state of the institutions responsible for combating poaching and IWT	2	KWS LE effectiveness is regularly monitored by some NGOs in Kenya (e.g., WildlifeDirect), but some information on the level of poaching of wildlife (e.g., elephants and rhinos) often remains unavailable for open public use.
	Institutional	Institutions are highly adaptive, responding effectively and immediately to change	0 -- Institutions resist change; 1 -- Institutions do change but only very slowly; 2 -- Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 -- Institutions are highly adaptive, responding effectively and immediately to change	2	KWS generally response to national challenges (such as increasing poaching and IWT) in timely manner (e.g., recruitment of nearly 577 new rangers and creation of an elite Inter-Agency Anti-Poaching Unit in collaboration with the General Service Unit and Administration Police in 2014 in response to poaching crisis). However, the rapid response sometimes can be constrained by financial and staff limitations faced by the agency.
	Institutional	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be;	2	Lessons learned by KWS are regularly incorporated in their Strategic Plans based on the Balanced Scorecard approach, that: - Measures performance of the organization in four dimensions; - Provides a framework for prioritizing activities and projects; - Uses performance measures and targets to measure progress. However, further improvements of M&E system of KWS are needed at the local level (counties and PAs).

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
			3 -- Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning		
	Individual	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	2	The study of Bosire and Ntamushobora (2014) demonstrated that KWS has been successful in building team leaders that are highly motivated and can support corporate environment encouraging staff growth and leadership. Also, KWS has two training centers in Manyani (KWS Law Enforcement Academy) and Naivasha, both include WC training for the agency staff and rangers. Also, KWS provide training to other agencies on WC. However, more trainings on investigation, prosecution and intelligence regarding WC is needed on an ad hoc basis.

**Annex N: Report on the Preparatory Phase Workshop for ICCWC Indicator Framework for Wildlife and Forest Crime Assessment for Kenya**

Please see separate file