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Evaluation of the UNEP/GEF sub-project

Enabling activities for the preparation of initial national communications related to the UNFCCC – Kenya

Stephen Karekezi

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Evaluation and Oversight Unit

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Contents

Annexes

List of acronyms

EAC: East African Community

GEF: Global Environment Facility

GHGs: Greenhouse gases

IPCC: Intergovernmental Panel on Climate Change

KAM: Kenya Association of Manufacturers

NES: National Environment Secretariat

UNDP: United Nations Development Programme

UNEP: United Nations Environment Programme

UNFCCC: United Nations Framework Convention on Climate Change

Executive summary

1. Article 12, paragraph 5 of the United Nations Framework Convention on Climate Change (UNFCCC) requires non-Annex I parties (except least developed countries) to make their initial communication "within three years of the entry into force of the convention for that party, or of the availability of financial resources…."

2. In pursuit of the above objective, the National Environment Secretariat (NES) under the Kenyan Ministry of Environment and Natural Resources (previously known as the Ministry of Environmental Conservation) undertook the enabling activity project entitled "Enabling activities for the preparation of initial national communication related to the United Nations Framework Convention on Climate Change (UNFCCC)". This project was funded by the Global Environment Facility (GEF) through the United Nations Environment Programme (UNEP). The project was approved in March 1999 and the final national communication report was printed in June 2002, marking the end of the project. The main objectives of the project were to prepare an initial national communication through updating results from previous projects, fill in identified data and analytical gaps and further enhance and strengthen Kenya's scientific and technical capacity in climate change as required by UNFCCC articles 4.1 and 12.1.

3. This evaluation aims at reviewing the aforementioned project, which is designed to help Kenya in meeting its commitments under the UNFCCC. It is part of a comprehensive review of climate change activities in Kenya, and complements related UNEP/GEF environmental activities in Kenya such as projects addressing issues of biological diversity, international waters, and the ozone layer.

4. The scope of this evaluation covers the activities undertaken in the preparation of Kenya's first national communication. It compares the initial objectives of the project with the actual results and assesses the impact of the project. It also examines the technical and operational aspects of the project. Further, it assesses the appropriateness of the project in meeting the long-term objectives of UNEP/GEF and UNFCCC. Success of project implementation is judged on achievement of the objectives of the project, sustainability of the conducted activities and on the timeliness of meeting schedules

5. In line with UNFCCC guidelines for the preparation of national communications, the project undertook the following key activities:

(a) Review of national circumstances;

(b) Evaluation of sustainable development;

(c) Preparation of a national greenhouse gases (GHGs) inventory;

(d) Assessment of vulnerability and adaptation to climate change;

(e) Investigation of mitigation options;

(f) Implementation of associated education, training and public awareness initiatives.

6. The overall assessment is that the project was successful and met its main objective of preparing an initial national communication document. In addition, the results of the project have been integrated into national policy making, for example through contributions to the National Economic Survey and National Development Plan. Papers on the various issues covered in the national communication document have been presented at various national, regional and international forums.

7. The national communication report was launched during the World Bank Carbon Finance Workshop in April 2003, at which five ministers (from the ministries responsible for energy, finance, planning, environment and transport) were in attendance. Copies of the document were distributed. This was a commendable effort in trying to reach top-level policy makers and similar measures should be encouraged in future projects. Other forums which could prove effective include dedicated policy makers workshops involving policy makers from Government ministries and utilities and breakfast briefings for high level policy makers, including ministers and permanent secretaries who may be available for early morning meetings. Outreach to parliamentarians could be achieved by availing documents to the parliament library and organizing workshops to enlighten members of parliament on climate change issues when important bills with climate change implications are under discussion.

8. In terms of timeliness, project implementation took longer than expected. The project proposal indicates a duration of one year, but the project took three years to complete. The delay can be attributed mainly to coordination problems experienced in the working groups and to a lesser extent to delays in accessing funds by the ministry due to complex internal procedures. Project extensions were approved by UNEP. However, the project duration was still within the UNFCCC target of three years as stated in article 12, paragraph 5.

9. It is commendable that the coordination problems that caused a delay in the finalization of the national communication document were solved through organization of a writing workshop, which brought together various experts to compile the materials produced and compile the final document. Such workshops should be encouraged in future projects.

10. One of the issues highlighted in this evaluation is that no funding was provided for the GHGs inventory, as the country had received funding for the same through an earlier GEF-funded regional project. The project relied largely on secondary data gathered from related projects which were conducted previously. Some of the data was outdated and affected the overall quality of the project. The evaluation team is of the opinion that a comprehensive inventory of GHGs should be undertaken in future projects.

11. The project proposal document was too ambitious in some of its targets. One of the activities to be undertaken was a least-cost-mitigation analysis for various sectors. This was not possible given the limited expertise and resources available.

12. It was noted that there was limited private sector and civil society participation in project implementation. Their participation should be encouraged in future projects since their activities impact on climate change. A starting point would be through involvement of associations such as the Federation of Kenyan Employers and the NGO Council of Kenya.

13. With regard to gender considerations, it was noted that very few women participated in the implementation of the project. However it was commendable that the Government appointed a woman to manage the project. In future projects, efforts should be made to involve more women in project implementation.

14. Though the project was meant only to document planned programmes for public awareness, few activities for public awareness were also budgeted but not completed as planned. Radio transcripts prepared were not aired and posters and brochures produced were not distributed in key national events such as the Agricultural Society of Kenya (ASK) show. It is recommended that future projects should enhance media involvement by inviting journalists to public awareness workshops and urging them to publish feature articles in national and regional newspapers.

15. The evaluation team observed that the national communication document had not been distributed widely; this may limit the overall impact of the project. To enhance awareness and impact of the project at the national, regional and global levels, the national communication document should at the minimum be distributed in its electronic version through a dedicated web site, electronic mailing lists and CD packs. It should be distributed to the National Archive, national libraries, and university libraries in the region.

16. In overall terms, the evaluators received very good cooperation from the project managers and individuals interviewed. Comments received proved valuable while compiling the final evaluation recommendations.

17. Table 1, below, provides an assessment of key performance indicators of the project.

Table 1. Implementation success of the project

Indicator	Evaluation	Rating*
Timeliness	Project initially planned for 1 year as per the project proposal, completed after 3 years though still within UNFCCC target	3 -- Good
Attainment of outputs	Key output -- national communication -- produced	2 -- Very good
Completion of activities	Most of the key activities were completed. However, resource constraints hindered public awareness and dissemination activities.	3 -- Good
Project executed within budget	The main outputs were achieved within the budget limit provided.	3 -- Good
Impact created by the project	- Incorporation of results into national policy formulation - Enhanced capacity of participating individuals	2 -- Very good
Sustainability	- Government has shown strong commitment to environmental management issues and incorporated project results into key policy documents. - Need for wider dissemination to enhance public awareness and achieve sustainability.	3 -- Good
Major problems faced and resolved successfully	- After long delays, a drafting workshop was organized to produce national communication. - Ministry able to provide funding when disbursements from UNEP were delayed	2 – Very good
Overall Rating		**3 – Good**

* Rating scale used: 1-excellent; 2-very good; 3-good; 4-satisfactory; 5-unsatisfactory

I. Introduction

Background to the project

18. Kenya undertook the project on "Enabling activities for the preparation of Initial National Communication Related to the United Nations Framework Convention on Climate Change (UNFCCC)", funded by the Global Environment Facility (GEF) through the United Nations Environment Programme (UNEP). The project, which was administered by NES under the Kenyan Ministry of Environment and Natural Resources, was approved in March 1999. The final report was printed in June 2002, marking the end of the project.

19. The main objectives of the project were to prepare an initial national communication through updating of results from previous projects, fill in identified data and analytical gaps and further enhance and strengthen Kenya's scientific and technical capacity in climate change as required by UNFCCC articles 4.1 and 12.1.

20. This evaluation aims at reviewing the aforementioned project, which is designed to help Kenya in meeting its commitments under UNFCCC. It is part of a comprehensive review of climate change activities in Kenya, and complements related UNEP/GEF environmental activities in Kenya such as projects addressing issues of biological diversity, international waters and the ozone layer. The activities for the preparation of the national communication were carried out by NES through four technical working groups established in line with the four thematic areas of the climate change convention:

(a) GHGs inventory;

(b) GHG mitigation options;

(c) Climate change vulnerability, adaptation and impacts assessment;

(d) Education, training and public awareness.

21. A brief summary of the major activities undertaken under each of the four technical groups is provided below:

(a) *National GHGs inventory:* The project developed the national inventory of GHGs from the work done in earlier studies covering five sectors, namely, energy, land use change and forestry, agriculture, industrial processes and waste management, using the revised Intergovernmental Panel on Climate Change (IPCC) guidelines for national gases inventories. The gases covered were carbon dioxide (CO_2), methane (CH_4), nitrous oxides (N_2O), oxides of nitrogen (NO_X), carbon monoxide (CO), and non methyl volatile organic compounds (NMVOC). One of the key conclusions drawn from the GHGs inventory is that Kenya is a net carbon dioxide sink, due to regeneration of forest and non-forest trees. In addition, carbon dioxide is the major greenhouse gas emitted, mainly from the transport sector;

(b) *GHG mitigation options:* Although Kenya was found to be a net sink, it was predicted that with an increase in socio-economic development and a continued decrease in reforestation programmes, GHG emissions would increase. Mitigation options were therefore studied for each of the sectors covered in the GHGs inventory. One of the expected outputs under this activity was the identification and assessment of least-cost mitigation options for the various sectors. This target proved too ambitious due to shortage of expertise and resource limitations;

(c) *Climate change vulnerability and adaptation and impacts assessment:* Vulnerability assessments were undertaken for the following sectors: agriculture, water, aquatic and marine resources, energy, health and socio-economy. Major vulnerability causes were identified as surface water stress; increase in temperatures and rise in sea level;

(d) *Education training and public awareness:* The project identified education and training needs in the areas of climate change and proposed ways of sensitizing the public on climate change issues. Public awareness was enhanced through stakeholder participation in workshops and production of posters.

About the evaluation (scope and objectives)

22. This evaluation aims at reviewing the aforementioned project, which is designed to help Kenya in meeting its commitments under UNFCCC. It is part of a comprehensive review of climate change activities in Kenya, and complements related UNEP/GEF environmental activities in Kenya such as projects addressing issues of biological diversity, international waters, and the ozone layer.

23. The scope of this evaluation covers the activities undertaken in the preparation of Kenya's first national communication. It compares the initial objectives of the project with the actual results and assesses the impact of the project. It also examines the technical and operational aspects of the project. Further, it assesses the appropriateness of the project in meeting the long-term objectives of UNEP, GEF and UNFCCC. Success of project implementation is judged by achievement of objectives of the project, sustainability of the conducted activities and the timeliness of meeting schedules.

Methodology for the evaluation

24. The first step in undertaking the evaluation was a review of background documentation pertaining to the project. Thereafter, the main output of the project, the published initial national communication, was reviewed in-depth. This was followed by visits to the various institutions where direct face-to-face interviews with five individuals involved in the project, including the project coordinator, with whom two detailed face-to-face interviews and two telephone discussions were held. In addition, a questionnaire was mailed to other project team members who were not visited, and a total of seven responses were received.

Structure of the evaluation report

25. The evaluation report is composed of five sections. The introduction covers the background, scope objectives and methodology of the evaluation report.

26. The second and third chapters tackle the key issues to be examined as indicated in the terms of reference for this evaluation under the broad titles of project implementation and project impact. Specifically, chapter II details the findings of the evaluation with regard to implementation of the project. It examines the outputs expected from the project as indicated in the project proposal and provides a rating at the end based on the indicators provided in the terms of reference.

27. Chapter III assesses the impact of the project nationally, regionally and globally. Chapter IV provides recommendations on how future related projects could be implemented in a more effective fashion. Various annexes pertaining to the evaluation follow chapter IV.

II. An evaluation of the implementation of the project

A. Appropriateness, complimentarity and consistency of the project

28. Kenya ratified UNFCCC on 30 August 1994. The preparation of the initial communication on climate change signifies the commitment of Kenya to fulfil its obligations under the convention. The initial national communication is both timely and relevant for Kenya, which is believed to have already faced significant climate change impacts. Droughts, floods and landslides are more common in Kenya. Examples include the El Niño and drought episodes of 1997-1998 and 1999-2000, respectively. These events led to major reorientation of public investments from economic development to the more urgent needs of provision of food and rehabilitation of infrastructure and other immediate emergencies. Heavy flooding in May 2002 again caused significant loss of lives, savings, property and economic opportunities.

29. The initial national communication, therefore, is appropriate to Kenya in many ways. The document provides an initial review and assessment of major vulnerabilities to climate change in the country and proposes ways of adapting to those vulnerabilities. These adaptation measures, if implemented, would reduce the negative impacts experienced in earlier years, and therefore reduce associated economic downturns.

30. The preparation of the initial communication built on the following major studies on climate in Kenya:

(a) A United States Country Studies Programme on climate change;

(b) A United Nations Development Programme (UNDP)/GEF project on capacity-building in sub-Saharan Africa to respond to UNFCCC;

(c) A UNEP/GEF study of the IPCC GHGs inventory methodology applied to land use change in Africa;

(d) A UNEP study on the implications of climate change, sea level rise and vulnerability assessment of selected coastlines.

31. The initial national communication used the data and information contained in the above studies. Expertise developed during the UNDP/GEF capacity-building project was utilized through inclusion of individuals from this project as members of the technical working groups. The GHGs inventory generated substantial interest in Government and civil society, as it was used to develop clean development mechanism projects. In addition, the GHGs inventory was used as a key background document in a World Bank-sponsored carbon finance workshop in April 2003.

B. Achievement of project objectives and outputs

32. The proposal document identified nine activities to be conducted under this project and listed the various outputs under each activity. These activities are analysed below:

Activity 1: Establishment of the project management and technical working groups

Expected output:

- Designation of a national project coordinator and establishment of a project management team and technical working groups.

Evaluation Assessment: A project management team and four technical working groups were constituted to work on the key thematic areas identified by the project. The working groups provided excellent material which was useful for compilation of the national communication document. Some problems in management and coordination of the working groups were experienced. These were overcome by organising a writing workshop towards the end of the project whereby a team of selected experts was constituted to compile the final national communication document.

Activity 2: GHGs inventories

Expected outputs: The project proposal indicates that no activities were to be conducted under this item due to budgetary constraints.

Evaluation Assessment: The project relied largely on secondary data gathered from related projects, which were conducted previously. Some of the data was outdated and affected the overall quality of the project. The evaluation team is of the opinion that a comprehensive inventory of GHGs should be undertaken in future projects.

Activity 3: Programmes to address climate change and its adverse impacts, including abatement and sink enhancement.

Expected outputs:

- Recommendations on reducing the number and intensity of emissions from various sources and enhancement of sinks;
- Identification and assessment of least-cost-mitigation options;
- Preparation of a national mitigation strategy for the national communication;
- Workshop report.

Evaluation Assessment: A GHGs inventory from various sources, namely energy, land use change and forestry, agriculture, industrial processes and waste management, was compiled using information and data from earlier related studies. Mitigation options for the energy, transport, agriculture, industry, forestry and waste management sectors were identified. The proposed least-cost-mitigation analysis was too ambitious and could not be undertaken due to a shortage of expertise and resources.

Activity 4: Policy options for monitoring systems and response strategies for impacts

Expected outputs:

- Baseline data required for the assessment of climate change vulnerability and impacts and adaptation options;
- Comprehensive vulnerability assessment for various sectors based on established procedures;
- Policy options for adequate monitoring systems and response strategies for climate change impacts on terrestrial and marine ecosystems;
- Workshop report.

Evaluation Assessment: An initial vulnerability and impact assessment of various sectors was conducted. The project team encountered difficulties in undertaking modelling exercises and training had to be provided to some of the technical working groups. According to the project coordinator, the training was not adequate given that the training duration was quite short (about 2 hours training on IPCC software for 2 days) and a number of technical working group members were unable to attend. Capacity needs to be enhanced in this area.

Activity 5: Policy frameworks for implementing adaptation measures and response strategies

Expected outputs:

- Identification and assessment of adaptation (stage 1) options;
- Policy frameworks for implementing adaptation measures and response strategies;
- Workshop report.

Evaluation Assessment: The national communication identifies adaptation options and response strategies. It also outlines key policy frameworks that would be required for effective implementation of adaptation measures. However, follow up measures may be necessary to turn these response strategies into action plans and to sensitise relevant policy makers.

Activity 6: Building capacity to integrate climate change concerns into planning

Expected outputs:

- Enhanced capacity of national development planners, policy and decision makers to integrate climate change concerns into planning.

Evaluation Assessment: Capacity of national development planners and policy makers has been enhanced and this is reflected by the fact that climate change concerns have been addressed in key Government policy documents such as the Economic Survey and National Development Plan.

Activity 7: Programs related to sustainable development, research , public awareness

Expected outputs:

- Information packages, video aids, relevant publications and demonstrable community driven projects;
- Enhanced public awareness at all levels and in all villages and districts in the country.

Evaluation Assessment: Resources provided for this activity were inadequate to achieve the ambitious targets envisioned. Posters, brochures and radio transcripts were prepared for distribution at appropriate forums. However, the radio programs were not aired due to resource constraints. Additional effort is still required in the dissemination of brochures, posters and the national communication report.

Activity 8: Provision of other information

Expected outputs:

- Identification of technical and financial needs associated with the proposed project;
- Material and data relevant for calculation of GHG emission trends.

Evaluation Assessment: The project proposal indicated that implementation of this activity would be subject to availability of resources. According to UNEP, $8,500 was provided for this activity. The project identified areas where additional technical capacity needs to be built and also key areas that require additional funding, namely GHGs inventory, enhanced capacity building, education and public awareness.

Activity 9: Preparation of national communication

Expected output:

- Initial national communication

Evaluation Assessment: This activity was completed successfully and the national communication was published. Additional efforts are required to ensure wider dissemination of this document.

An assessment of the key sections of the national communication was carried out and the results are summarized in table 2, below, which also reflects the main activities undertaken by the project.

Table 2. Assessment of activity 9

Subsections of activity 9	**Results**	**Quality of output (Scale of 1-5)**
1) Review national circumstances.	➢ A succinct summary of the country's climate, economy, social sectors and policies	1 - Excellent
2) Evaluate sustainable development.	➢ A clear statement of Kenya's challenges with regard to sustainable development and possible responses	1 - Excellent
3) Prepare a national greenhouse gas inventory.	➢ GHGs inventories for 5 sectors, namely, energy, land use change and forestry, agriculture, industrial processes and waste management	3 - Good (could have been improved; field work not undertaken)
4) Assess vulnerability and adaptation to climate change.	➢ An initial vulnerability and impact assessment for the following sectors: agriculture, water, aquatic and marine resources, energy, health and socio-economy	2 - Good

5) Investigate mitigation options.	➢ Mitigation options for each of the sectors covered	2 - Very good
6) Undertake education, training and public awareness.	➢ Enhanced capacity of national development planners, policy and decision makers to integrate climate change concerns into planning, and enhanced public awareness	3 - Good (some activities were not undertaken, e.g., ASK show presentations and audio tapes)
Rating of Activity 9		**2 - Very Good**

33. In conclusion, the activities resulting from this project demonstrate that the project team actively pursued the short-term and long-term objectives identified by the project proposal. The outputs realized by the project team indicate that the most important objectives were achieved. Table 3, below, shows the quantifiable activities and outputs of the project.

Table 3. Activities and outputs of the project

Activity/Output	Expected number	Actual number achieved
Workshops		
- Internal	7	8
- External (training)	-	3
Progress reports	9	9
Workshop proceedings	7	8
Copies of national communication distributed	-	450

C. Involvement of the public in project implementation

34. The Ministry of Environment and Natural Resources through the National Environment Secretariat executed the project. A national communication/project management team and four technical working groups carried out the activities for the preparation of the national communication. The four working groups were on:

(a) National GHGs inventory;

(b) GHG mitigation options;

(c) Climate change vulnerability and adaptation impact assessments;

(d) Education, training and public awareness.

35. The number of government institutions involved in the project was considerable. However, there was limited private sector and civil society involvement in the implementation of the project, although some attempt was made to involve them in the workshops. The following key institutions were involved in the technical working groups:

(a) Ministry of Environment and Natural Resources;

(b) Ministry of Agriculture and Livestock Development;

(c) Ministry of Health;

(d) Ministry of Energy;

(e) Ministry of Education, Science and Technology;

(f) Ministry of Finance and Planning;

(g) National Museums of Kenya;

(h) Kenya Institute of Education;

(i) Kenya Agricultural Research Institute

(j) Kenya Forestry Research Institute;

(k) Kenya Meteorological Department;

(l) Kenya Wildlife Service;

(m) Kenya National Academy of Science;

(n) Regional Centre for Mapping and Resource Surveys;

(o) University of Nairobi;

(p) Nairobi City Council;

(q) IGAD Drought Monitoring Centre for the Greater Horn of Africa.

36. In addition to the representatives from the above institutions, a limited number of experts both from the civil service and private sector provided technical input into the project.

37. Workshops involving a wide range of stakeholders were conducted and this provided an overview of all aspects of the project and helped in enhancing awareness. Future projects should outline deliberate strategies on how to increase involvement of the public in project implementation to ensure sustainability.

38. Increasing private sector[1] and civil society participation in project implementation is recommended since their activities impact on climate change effects. Their participation could be initiated through associations such as the Federation of Kenyan Employers and the NGO Council of Kenya as a way of raising awareness.

[1] One individual, Peter Orao from the Kenya Association of Manufacturers, was involved, but in general there were very few participants from the private sector.

D. Gender considerations in project implementation

39. Gender issues were considered in the project, which highlighted the fact that climate impacts more negatively on the female gender. In addition, it is commendable to note that the project team leader was a woman and this ensured female gender representation at the project management level. The stakeholders workshops also involved a considerably larger number of women participants.

40. However, due to the limited number of women with specialized expertise in climate change studies, the number of women involved in the detailed studies of the project was considerably low. Only six out of the forty-six contributors to the preparation of the initial communication were women. In the future, efforts to involve more women experts should be redoubled and this could be done by allocating a minimum number of slots for women to be involved in the project and by actively encouraging women to participate.

E. Effectiveness of the assistance provided by UNEP and lessons learned

41. The project team was satisfied with the assistance provided by UNEP. The project team was particularly happy with the flexibility that UNEP provided, which enabled the project to engage consultants from the Government to work hand in hand with private consultants. Government employees are able to ensure effective integration of project results in Government policies and programs. Except for occasional delays in disbursement of funds, the project team was generally satisfied with UNEP funding arrangements.

42. In terms of lessons for future projects, it is worthwhile to mention that from the start, the project team stressed the need for funding to allow the carrying out of an inventory of greenhouse gases based on primary data collected. A substantial amount of resources had been proposed for this activity initially, but it was thought that a detailed inventory was unnecessary since this data was available from earlier projects. However, the data available from earlier projects was limited, outdated and not suited for this project. The project team also expressed concern at the limited funding provided for education and public awareness.

43. For future projects, UNEP could improve its technical backstopping in the area of least-cost analysis, which was listed as an activity under this project but for which expertise and resources were not sufficient. UNEP would be well placed to provide such expertise.

44. The project team recommended that additional funding could be considered in the future for basic office equipment, including additional computers, as the computers available for the project were not adequate. In some cases, project work was delayed because the few available computers were extensively utilized and project officials had to queue. Future projects would require additional computers, since computers generally need to be replaced after three years.

F. Institutional structure, management and financial systems

45. The project was coordinated by the National Environment Secretariat, which falls under the Ministry of Environment and Natural Resources. The National Environment Secretariat is the focal point for all environmental issues. It houses a climate change secretariat. A national communication/project management team led by a national coordinator was established, together with four technical working groups, each of whom appointed a coordinating chair. The four working groups were on:

(a) National GHGs inventory;

(b) GHG mitigation options;

(c) Climate change vulnerability and adaptation impact assessments;

(d) Education, training and public awareness.

46. The technical working groups were expected to meet twice a month. The whole team met during major workshops. Some of the group members expressed concern that sometimes group meetings were infrequent.

47. There were delays in the commencement of the project, which was initially scheduled to start in 1997. The delays were due in part to the proposed budget, which was considered to be higher than expected. According to the National Project Coordinator, the initial budget of $372,000 was scaled down substantially. Documents availed to the evaluators indicate a final revision from $211,000 to $172,800.

48. In terms of project timeliness, there were delays due to the approval process required to enable Government employees participate as consultants in the project.

49. The project funding from UNEP was disbursed through the Central Bank of Kenya to the Government Treasury Department. From the Treasury, the funds were channelled to NES through the then Ministry of Environmental Conservation (now the Ministry of Environment and Natural Resources). The National Project Coordinator, working under NES, was authorized to incur expenses, and had total control of disbursement of funds for project-related activities. This arrangement worked very well, and the project team was satisfied. The project coordination team was involved in budget preparation. This was useful because it enabled the team to propose useful suggestions that contributed to the successful implementation of the project.

50. The Ministry of Environmental Conservation was responsible for the maintenance of the accounting records and the financial reporting under the approval of the National Project Coordinator. Within the context of the ministry's large budget, this project was considered relatively small and, consequently, the Ministry did not provide a dedicated project accountant.

51. The project management appointed a group of experts to undertake a review of the work compiled by the technical working groups. The experts then put together the final results of the project during a writing workshop and compiled the national communication document. Table 4 below shows the workshops undertaken and estimated number of participants.

Table 4. Workshops undertaken during the implementation of the project

Activity category	**Workshops/Training undertaken**	**Estimated number of participants**
1. Launching project	- 1 workshop	100
2. Drafting reports	- 4 technical working group workshops	200 (50ppt*4)
3. Reviews	- Kilifi Workshop	150
4. Finalizing report	- Outspan workshop - KCB, Karen workshop	50 15
Total workshop participation		***515***
Specialized training organized by UNEP	- Vulnerability & assessment - GHGs inventory - GHG abatement options	30 30 30
Total trained		***90***
Grand total		***605***

52. There was no clear predetermined pattern for the planned workshops in the project proposal and some of the key workshops undertaken had not been initially planned. There is a need to systematically document and sequence the workshops to be undertaken since they are an important communication and dissemination tool during implementation as evidenced by this project, in which the writing workshops ensured completion of the national communication. Careful planning of workshops during the project planning stage ensures that the desired impact is achieved. Table 5 below outlines a possible plan for a series of workshops required for this type of project.

Table 5. Model plan for project workshops

Stages of the report	Small workshop involving project team and selected expert reviewers	Large workshop or conference involving policy makers and other key stakeholders
Initial draft	✔	
Review of key findings		✔
Final draft	✔	
Dissemination of findings		✔

53. Consultants involved in the project were mainly sourced from the Government. The consultants were able to provide the required technical inputs and the respondents who were involved in review of the consultants' work indicated that their reports were comprehensive and informative.

54. The involvement of consultants from the Government is commendable and should be encouraged. Their involvement increases the likelihood that recommendations put forward in the national communication will have a greater chance of being considered by policy makers.

55. In broad terms, the choice of consultants was commendable. Table 6 below lists selected consultants involved in the project. As shown in the table, the qualifications and experience of the consultants was satisfactory.

Table 6. Selected consultants who participated in the preparation of the initial national communication for Kenya

Name	Qualification	Participation in the project (Task performed or area of responsibility)	Experience in climate change issues (Number of Years)
1. Mr. Stephen Manegene	BSc/MSc	Review of papers prepared by other consultants; Final editing and compilation of the national communication	5 years
2. Mr. F. Kihumba	BSc/MSc	Wastes and industrial pollution	20 years
3. Mr. A. Oroda	BSc	Data collection and processing, report compilation	2 years
4. Mr. Kinuthia Mbugua	BA	Chaired review workshop on the draft national communication	2 years

5. Dr. Christopher Oludhe	Ph.D	Drafted the section on the science of climate change, impacts and policy options for Kenya	10 years
6. Mr. Robin Achoki	Postgraduate qualification in economics	Preparation of economic policy perspectives in the communication	4 years
7. Mr. Simon Gacheru	MSc.	Education and public awareness	10 Years
8. Mr. Paul Mbuthi	Diploma	Mitigation of greenhouse gases	15 years
9. Mr. Edward Owango	BSc.	Land use change and forestry	5 years

G. Technical and operational constraints in project implementation

56. There were minimal technical constraints experienced during the implementation of the project. This could be attributed to excellent management by the coordination team, use of experienced consultants, involvement of a wide range of institutions with varied experiences and, most importantly, some of the team members were able to build on the experience gained from related projects undertaken earlier. The project coordinator indicated satisfaction at the level of assistance provided.

57. Some of the respondents who attended the stakeholders workshop, especially those with a social sciences background, faced difficulties in following the scientific details during some of the presentations. In the future, it would be worthwhile to include a course on fundamentals of climate change to be presented to project team members and workshop participants during public awareness workshops.

58. During implementation of the project, minor operational problems were experienced in the working groups. The four technical working groups largely worked in isolation from each other and only interacted during the workshops. It would be useful to ensure that a forum is created for the technical working groups to meet with one another more frequently during the implementation of the project to facilitate exchange of ideas and improve on networking, follow-up of project recommendations and implementation of results. This could be facilitated through use of web-based bulletin boards and e-mail lists.

59. The project management team indicated that the individual working groups were sometimes too large to manage. Coordination problems were also experienced due to unavailability of group members or late submissions of required outputs. It is recommended that, in the future, smaller dedicated groups be used.

60. Coordination of the different workgroups, which worked in isolation from each other, was especially difficult at the time of compiling the final document. This problem was overcome through organization of a drafting workshop, which brought together a group of selected experts to compile and finalize the national communication. This workshop proved to be a valuable tool, which led to the production of an excellent report, and should be encouraged in future projects.

H. Rating on implementation of the project

61. The terms of reference for the evaluation provide the following indicators to assist in rating the project's implementation:

(a) Timeliness;

(b) Attainment of outputs;

(c) Completion of activities;

(d) Project executed within budget;

(e) Impact created by the project;

(f) Sustainability;

(g) Major problems faced and resolved successfully.

62. Timeliness: The project underwent a lengthy approval process. The proposal indicates a project duration of one year but the project took three years to complete. This can be attributed to coordination problems faced while managing the working groups and a delay in the approval process required to enable involvement of Government employees as consultants in the project. However, the project met the UNFCCC target of three years.

63. Attainment of outputs: Chapter II B of this report provides an analysis of the various outputs listed in the project proposal. In overall terms, the project successfully attained its key output, the initial national communication. One key weakness of the project, which has been mentioned in various sections of this report, was poor dissemination and public awareness efforts, which can be partly explained by lack of adequate resources. In addition, the GHGs inventory was not adequately covered.

64. Completion of activities: The key activities outlined in the project proposal were completed, with the exception of the activity on education, training and public awareness. The national communication report has not been widely distributed, radio transcripts prepared were not aired and posters and brochures were not as widely distributed as expected during key public events such as the ASK show. According to the project coordinator, the funding provided was not sufficient for a display at the ASK show.

65. Project execution within budget: The project was executed within the budget resources provided, which is commendable. The proposal document was too ambitious in its targets given that only $10,000 was allocated for public awareness and sustainable development and the expected outputs included information packs, publications and enhanced public awareness at all levels in villages and districts of the country. Notwithstanding the above resource constraint, the evaluators are of the opinion that the resources provided were not as effectively utilized as would have been expected. As mentioned several times in this report, dissemination can be enhanced by availing the information through widely accessible and relatively inexpensive media such as CDs, e-mail (in pdf format) and the web site.

66. Impact created by the project: The project impact can be measured by the fact that project results have been incorporated in various national policy documents. The individuals involved in the project have been able to build on experience gained from this project to undertake other related assignments.

67. Sustainability: The Kenya Government has shown strong commitment to environmental management issues and demonstrated its willingness to tackle climate change challenges by signing up to various international conventions, protocols and agreements. The Government undertook to prepare the initial national communication and also set up an inter-ministerial committee to address climate change concerns. Incorporation of report findings into policy documents is the key to sustainability. The remaining challenge is to allocate adequate resources to sustain the momentum of these initiatives and also to ensure easier access to project results.

68. Major problems faced and resolved: Coordination of the working groups was one of the problems faced during project implementation. This caused a delay in compiling the final material to produce the final project document. A writing workshop was finally organized to produce the national communication.

69. As shown in table 7 below, the evaluators are of the opinion that the overall success of the project can be rated as 3, or good.

Table 7. Implementation success of the project

Indicator	Evaluation	Rating*
Timeliness	Project initially planned for 1 year; completed after 3 years though still within UNFCCC target	3 -- Very good
Attainment of outputs	Key output -- national communication --produced	2 -- Very good
Completion of activities	Most of the key activities were completed. However, resource constraints hindered public awareness and dissemination activities.	3 – Good
Project executed within budget	The main outputs were achieved within the budget limit provided.	3 -- Good
Impact created by the project	- Implementation of results into national policy formulation - Enhanced capacity of participating individuals	2 -- Very good
Sustainability	- Government has shown strong commitment to environmental management issues and incorporated project results into key policy documents. - Need for wider dissemination to enhance public awareness and ensure sustainability	3 – Good
Major problems faced and resolved successfully	- After long delays, writing workshop organized to produce national communication. - Ministry able to provide funding when disbursements from UNEP were delayed	2 – Very good
Overall Rating		**3 – Good**

* Rating scale used: 1-excellent; 2-very good; 3-good; 4-satisfactory; 5-unsatisfactory

III. An evaluation of the impact of the project

A. Quality and usefulness of project outputs

70. The evaluation team is satisfied with the results and outcomes of the project and is of the opinion that the outputs provide good value for the resources invested by UNEP and GEF.

71. The main outputs of the project, which have been discussed in detail in section II B, were:

(a) Establishment of a project management team and a national study team;

(b) Review and refinement of GHGs inventory developed from previous projects;

(c) Initial assessment of vulnerability and impact assessment for the various sectors;

(d) Preparation of a comprehensive national mitigation strategy for the national communication;

(e) Enhanced public awareness;

(f) Initial national communication of Kenya.

72. The information on the initial national communication is of high quality and is useful for future development policies and mitigation measures resulting in sustainable development in Kenya. It also provides important information for establishing the adaptive capacity of the country's economy.

73. The high quality of project results is demonstrated by the fact that the initial 450 copies of the national communication have already been exhausted due to high demand from national, regional and international institutions and experts. Copies of the national communication document have been distributed both nationally, and in international forums such as the eighth session of the UNFCCC in Delhi in 2002.

74. Specifically, the GHGs inventory has generated substantial interest both in Government and civil society as it could be used to develop clean development mechanism projects. In addition, the GHGs inventory was used as a key background document in a World Bank-sponsored carbon finance workshop in April 2003.

B. Role of project outputs in meeting identified needs and problems in Kenya

75. Kenya faces significant challenges in sustainable development, which include high population growth rates, increasing levels of poverty, public debt, trade liberalization and inadequate resources. The country relies heavily on agriculture, which is the main contributor to the economy. Agricultural output is heavily affected by climatic changes. Arid and semi arid areas are particularly vulnerable and the frequency and severity of droughts and floods has increased. This has created food insecurity and mitigation measures identified by this project would be useful to this sector.

76. The vulnerability assessment has highlighted the negative impacts of climatic factors on human health. Changing weather patterns interfere with life supporting natural processes, resulting in increased incidences of vector- and water-borne diseases, increased cases of respiratory disease, stress and stress-related conditions and impacting negatively on public health infrastructure.

77. The national communication highlights the highly publicized threat posed to wildlife in Kenya due to loss of habitat caused by growth in human settlements and cultivation. Wildlife is being displaced as migratory routes close, thus confining the animals to restricted parks. This places severe pressure on natural resources and as animals try to find their way out, incidences of human/wildlife conflict are increasingly being reported. This has a negative impact on the tourism industry, which is a major contributor to the country's economy.

78. Impacts of climate change include erratic rainfall patterns and unusually high temperatures. The project notes that delayed rainfall and high temperatures have led to a decrease in water reservoir levels. This has negative impacts on the energy supply in Kenya, which is heavily reliant on hydro-electricity generation.

79. One of the main sources of GHG emissions in Kenya is the transport sector, which is dominated by motorized road and railway transport. The motorized road transport, the main emission from which is carbon dioxide (CO2), is growing rapidly at a rate of 4 percent per annum due to heavy demand for this mode of transport. Identified response measures would assist in reducing transport costs as well as mitigating GHG emissions from the transport sector. Therefore, response measures identified need to be urgently put in place to address this challenge.

80. The national communication is therefore very useful and has set the stage for the integration of climate change issues into national development policies. The identification of mitigation and adaptation options for each of the key sectors can ensure that climate change concerns are addressed in strategy documents and facilitate policy implementation in each of these sectors. This is a major achievement of the project.

C. Integration of the project results into national policy making

81. The project has resulted in the integration of policies and plans related to climate change into national development plans. A strong foundation for the further development of comprehensive and integrated policies related to climate change has been established. Some of the existing policies and plans that include a climate change dimension are:

(a) Sessional Paper Number 6 of 1999, on environmental development;

(b) The National Environment Action Plan of 1994;

(c) The National Biodiversity Strategy Action Plan;

(d) The environmental impact assessment regulations, guidelines and procedures.

82. There are also a number of sector specific policies relevant to mitigation of climate change, including those pertaining to forestry, sustainable population, energy, water, industry and agriculture.

83. Various laws and regulations have provisions pertaining to economic incentives, enforcement, environmental quality standards and issues relating to emissions, impact assessment and modalities for implementing international treaties, conventions and agreements. These include the environmental impacts assessment guidelines and the Environmental Management and Coordination Act of 1999, the structure of which encompasses the National Environment Council, The National Environment Management Authority, The Environment Tribunal and the Public Complaints Committee.

84. These acts will undoubtedly benefit from the work embodied in the national communication document. Various persons interviewed (see annex IV) indicated that the results of the project were in the process of being integrated into national policy documents such as the economic survey, national development plan and agricultural policy document.

85. Kenya is in the process of re-organizing its public sector, with a new Government elected at the end of 2002. It is expected that the new administration, which has shown interest in implementing useful policies and projects, will utilize the national communication document in the development of relevant policies. In addition, it is expected that most of the proposed mitigation and adaptation measures will be implemented, subject to availability of financial resources.

86. Future projects should consider involving working groups in the ongoing policy formulation processes that are being undertaken by the Government through various specialized task forces that have been formed.

87. The national communication report was launched during the World Bank Carbon Finance Workshop in April 2003, at which five ministers (from the ministries responsible for energy, finance, planning, environment and transport) were in attendance. Copies of the document were distributed. This was a commendable effort in trying to reach top-level policy makers. Future projects should enhance efforts to reach out to policy makers and sensitize them on issues related to climate change through similar forums. Various ways of communicating with policy makers which have proved effective include the following:

(a) Dedicated policy maker workshops – Policy makers from Government ministries and utilities operating in the sectors covered by the project can be invited to high-level workshops;

(b) Breakfast briefings – High-level policy makers, including ministers and permanent secretaries who may be available for early morning meetings, can be briefed on important project results and recommendations over breakfast meetings;

(c) Outreach to parliamentarians – Project results and recommendations can be made available to members of Parliament by ensuring the information is available in the Parliament library. In addition, workshops can be organized to enlighten members of Parliament on climate change issues when important bills with climate change implications are under discussion.

D. Impact of the project on relevant global, regional and national environmental assessments, policy frameworks and action plans to strengthen UNFCCC

88. Kenya ratified UNFCCC in 1994. The country is also a signatory to the following conventions:

(a) Convention on Biological Diversity (CBD);

(b) Cartagena Protocol on Biosafety to CBD.

(c) United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa.

89. Prior to elaboration of the national communication, the Kenyan Government had prepared a National Biodiversity Strategy and Action Plan under CBD and a national action programme to combat desertification under the Desertification Convention. These policies did not comprehensively address climate change concerns, but the national communication document has helped to address this shortcoming.

90. As mentioned earlier, Kenya participated in the United States Country Studies Program in 1994, which resulted in the compilation of a GHGs inventory. One outcome of the current project was the updating of the GHGs emissions inventory. Kenya also participated in the UNDP/GEF-funded capacity-building project in sub-Saharan Africa, the UNEP/GEF study of the IPCC GHGs inventory and the UNEP study on the implications of climate change and sea-level rise and the vulnerability of selected coastlines. The initial national communication contributed to updating the data and information in these projects.

91. The Kenya national communication project will be instrumental in furthering other UNFCCC projects. For example, the national communication is already being used to develop various carbon trading projects. The GHGs inventory for Kenya which was updated in the course of this project has been used as a benchmark in other countries in the region such as Tanzania.

92. Climate change is a global phenomenon, and its impact is not limited to individual countries but transcends geographical borders. The work done in the Kenya national communication has the potential to benefit the region. For example the GHGs inventory and mitigation options, if implemented, could yield significant benefits to the East African region.

93. This evaluation therefore recommends that efforts be made to disseminate the findings through the web and electronic mailing lists both regionally and globally to promote and encourage exchange of information with important initiatives and programmes being undertaken through the New Partnership for Africa's Development (NEPAD), the African Ministerial Conference on Environment (AMCEN), the African Energy Policy Research Network (AFREPREN), the East African Community (EAC) and the Lake Victoria GEF project.

E. Capacity-building, public awareness and sustainability of the project

94. Capacity-building is an integral component of the obligations of the Parties to UNFCCC. This project has taken useful steps in overcoming the capacity-building challenges facing Kenya's climate change community.

95. The technical working group members attended three training workshops organized by UNEP on the following subject areas:

(a) Vulnerability and assessment;

(b) GHG inventories;

(c) GHG abatement options.

96. The project utilized local human resources, borrowing from capacity built during the UNDP/GEF capacity-building project. Government employees were engaged as consultants in this project. This was seen to be particularly useful because Government employees can ensure that project results and recommendations are given high priority in policy formulation and implementation. This enhances sustainability, in addition to building local capacity.

97. In particular, the project resulted in capacity-building in the areas of GHG mitigation and vulnerability assessment.

98. Areas identified for further capacity building include baseline development, environment training, energy economics and climatology and meteorology.

99. There is a need to harmonize efforts of national institutions and programmes on issues regarding climate change in order to ensure efficient exchange of information and reduce duplication. In the past, availability of up-to-date GHGs, time series data and information for use by researchers, planners, policy makers and the public has been a limiting factor. The involvement of individuals from different Government ministries, academic institutions and research institutes in the implementation of the project should therefore be commended. This promoted the sharing of information and greater coordination of climate change issues.

100. One of the objectives of the project was to increase public awareness and enhance participation at all levels in villages and districts countrywide. However, not much was done to achieve this objective due to resource constraints. The evaluators are of the opinion that more could have been done in terms of setting the groundwork for future projects, for example by involving representatives of community based organizations in workshops and recommending follow-up activities for grass root organizations.

101. The national communication document emphasizes the need for the Kenya Institute of Education to ensure that formal education and training with a climate change component is included in the curricula, of schools, colleges and technical training institutions. This is a positive recommendation which requires follow-up. In addition, future climate change initiatives could consider building capacity in universities by offering scholarships in climate-related postgraduate studies. Funding could be provided to MSc students to undertake their final projects on climate change. With time, this will generate sufficient and sustainable interest in climate change issues and build national capacity in climate science.

102. Media involvement in the campaigns has proved fruitful in the past, although the amount allocated for this activity was minimal. One way to build capacity and enhance awareness would be through involvement of journalists in project implementation. For example, journalists could be requested to prepare feature articles on major milestones during project implementation. In addition, more journalists could be invited to participate and cover stakeholder workshops. Future projects should provide funding for aggressive mass electronic and print media dissemination.

103. Awareness could also be enhanced by availing the information through web sites and targeted dissemination through electronic mailing lists and CDs. The information should be made available in the national libraries, university libraries and the Kenya national archive.

104. The evaluation recommends that this important national communication document be distributed widely to all stakeholders nationally. The potential impact of the project may not be fully achieved if substantial efforts are not made to distribute it widely. Some of the respondents interviewed, who participated in the implementation of the project, had not yet received a copy of the document.

IV. Recommendations

A. Recommendations on project implementation

Recommendation on involvement of the public in project implementation

105. Private sector and civil society participation in project implementation was minimal. Future projects should address this issue as activities of the private sector and civil society impact on climate change. Their participation could be initiated through associations such as the Federation of Kenyan Employers and the NGO Council of Kenya. (Proposed implementer – Government of Kenya)

Recommendation on gender considerations in project implementation

106. Although very few women participated in the project, it is commendable that the project coordinator was a woman. In future projects, efforts should be made to involve more women in project implementations. This could be done by allocating a minimum number of slots for women to be involved in the project and by actively encouraging women to participate. (Proposed implementer – Government of Kenya/UNEP)

Recommendation on assistance provided by UNEP

107. As noted earlier, the allocation for carrying out the GHGs inventory was minimal and the project relied largely on secondary information and data gathered from related projects which were conducted some time back. This information was outdated and affected the overall quality of the outputs. It would be useful to consider carrying out a comprehensive inventory based on primary data collection in future projects. (Proposed implementer – UNEP)

108. The least-cost mitigation analysis, which requires substantial effort, was too ambitious given the expertise and resources available. For future projects, UNEP could improve its technical backstopping in this area. (Proposed implementer – UNEP)

109. More resources should be provided for procurement of required office equipment, especially computers, which are in short supply. New projects should not rely on computers procured for earlier projects because computers have a limited useful life of three years. (Proposed implementer – UNEP)

Recommendation on institutional structure, management and financial systems

110. Workshops undertaken during the project did not follow a clear predetermined pattern and were not clearly sequenced in the project proposal. It is recommended that future projects indicate a clear structure for the workshops during the planning stage since they are an important communication and dissemination tool and in this project the writing workshop was instrumental in finalization of the national communication. A possible plan for a series of workshops required for this type of project is outlined in table 8 below. (Proposed Implementer – Government of Kenya)

Table 8. Model plan for project workshops

Stages of the report	**Small workshop involving project team and selected expert reviewers**	**Large workshop or conference involving policy makers and other key stakeholders**
Initial draft	✔	
Review of key findings		✔
Final draft	✔	
Dissemination of findings		✔

111. The involvement of consultants from the Government to work hand-in-hand with private consultants is commendable and should be encouraged. Their involvement increases the likelihood that recommendations put forward will be considered by policy makers. (Proposed implementer – Government of Kenya)

Recommendations on technical and operational constraints

112. In the future, it would be worthwhile to include a course covering the fundamentals of climate change to be presented to both project team members and workshop participants. Presentations made during public awareness workshops included scientific detail; a large number of participants found it difficult to follow and were therefore unable to participate actively. (Proposed implementer – UNEP)

113. During the implementation of the project, difficulties were faced in managing the individual working groups, some of which were large. It would be useful in the future to have smaller dedicated groups to facilitate easier management and coordination. (Proposed implementer – Government of Kenya)

114. The four technical working groups worked largely in isolation from each other and only interacted during the workshops. A forum should be created for working groups to meet one another more frequently during the implementation of the project to facilitate exchange of ideas and improve on future networking and follow-up of project recommendation and implementation of results. One way of doing this is through the organization of drafting workshops (which proved instrumental during the final compilation of the national communication document) to compile interim project results and provide individuals from different working groups with an opportunity to interact and share expertise, experiences and knowledge. (Proposed implementer – Government of Kenya/UNEP)

B. Recommendations on project impact

Recommendations on integration of the project results to national policy making

115. Future projects should consider involving project team members in the ongoing policy formulation processes that are being undertaken by the new Government, which has shown a willingness to implement useful policies. This can realized by greater involvement of project working groups in various specialized task forces that have been formed by the Government. (Proposed implementer – Government of Kenya)

116. The national communication was launched during a World Bank workshop in April 2003, at which five ministers were in attendance. Similar efforts should be made to reach out to policy makers and sensitize them on issues related to climate change through various forums which have proved effective such as dedicated policy maker workshops involving policy makers from Government ministries and utilities operating in the sectors covered by the project, breakfast briefings for high-level policy makers, including ministers and permanent secretaries who may be available for early morning meetings, and outreach to parliamentarians through availing documents to the Parliament library and organizing workshops to enlighten members of Parliament on climate change issues when important bills with climate change implications are under discussion. (Proposed implementer – Government of Kenya/UNEP)

Recommendation on impact of the project on relevant global, regional and national initiatives

117. Efforts should be made to promote and encourage exchange of information with important global, regional and national initiatives and programmes being undertaken through NEPAD, AMCEN, AFREPREN, EAC and the Lake Victoria GEF project. (Proposed implementer – Government of Kenya/UNEP)

Recommendation on capacity-building, public awareness and sustainability

118. To ensure that capacity-building is given the required attention, future projects should include a specific budget line item on capacity building. An allocation could be provided for carrying out training on fundamentals of climate change both for the project team and for the stakeholders invited for workshops. This would help enhance awareness and ensure that workshop participants are able to follow through and understand the technical aspects of the presentations. (Proposed implementer – UNEP)

119. Future climate change initiatives could consider building capacity in universities by offering scholarships in climate-related postgraduate studies. Funding could be provided to MSc students to undertake their final projects on climate change. With time, this will generate sufficient and sustainable interest in climate change issues and build national capacity in climate science. (Proposed implementer – Government of Kenya/UNEP)

120. The publication of the national communication document is an indication of the successful implementation of the project. However, the potential impact of the project may not be fully achieved if substantial efforts are not made to distribute the document more widely. Some of the respondents interviewed, who were involved in the implementation of the project, had not yet received a copy of the document. This can be solved by uploading the project document onto a publicly available web-site (in pdf format) and distribution of the document through electronic mailing lists. In addition, the information can be copied to CDs, which are easier to distribute. (Proposed implementer – Government of Kenya)

121. The national communication document should also be made available to key national and provincial libraries, university libraries and the Kenya national archive. (Proposed implementer – Government of Kenya)

122. Funding should be provided for more aggressive mass electronic and print media dissemination. One way to build capacity and enhance awareness would be through the involvement of journalists during the project implementation phase by, for example, requesting them to prepare feature articles on major project milestones during implementation and inviting them to participate and cover the stakeholder workshops. (Proposed implementer – Government of Kenya/UNEP)

123. The involvement of a wide range of stakeholders in the workshops is commendable and assisted in raising public awareness. This can be taken a step further by involving more stakeholders in implementation. Future projects should outline deliberate strategies on how to increase the involvement of community-based organizations. This will ensure wider participation and enhance public awareness and sustainability. (Proposed implementer – Government of Kenya/UNEP)

Annex I

Terms of reference

EVALUATION OF THE UNEP/GEF SUB-PROJECT

Enabling Activities for the preparation on Initial National Communications Related to the UNFCCC-KENYA

Under the guidance of the Chief of the Evaluation and Oversight Unit and in close collaboration with the UNEP Task Manager for Climate Change Enabling Activities (CCEA), the evaluator shall undertake an evaluation of the UNEP/GEF sub-project *Kenya: Enabling Activities for the Preparation of Initial National Communications Related to the UN Framework Convention on Climate Change (UNFCCC) GF/2200-97-55)*. This evaluation will be conducted during the period of 22nd October 2002 to 23rd December 2002 (14 days) spread over 2 months).

I. BACKGROUND

1. The project to be evaluated is being implemented internally by the UNEP Task Manager of Climate Change Enabling Activities, and externally by the National Environment Secretariat, in the Ministry of Environmental Conservation in Kenya. This project provided financial assistance necessary for the following activities;

(a) Identify and assess mitigation options
(b) Develop a comprehensive vulnerability/assessment for various sectors
(c) Identify Stage I adaptation options
(d) Build capacity to integrate climate change concerns into planning
(e) Provide public awareness and other information

II. SCOPE OF MONITORING AND EVALUATION

2. The evaluation will cover the activities UNEP undertook to implement this project:

Preparation of initial national communications:

(a) The consultant will compare the planned outputs of the project to the actual outputs and assess the steps taken to follow-up in the country in view of maintaining the capacity built.

(b) The consultant will also highlight the lesson learned from the implementation of pending activities in the area of climate change and assess the appropriateness of this project in meeting the longer term objectives of UNEP, GEF and the United Nations Framework Convention on Climate Change (UNFCCC).

(c) The consultant will review the national institutional and technical capacity built by the UNEP/GEF project and its linkages established with related ongoing activities in the country.

(d) The consultant will recommend corrective and other practical steps required to strengthen and improve the institutional framework, specifically to ensure successful implementation of the following activities:

i) Phase II Climate Change Enabling Activities

ii) Participation in regional climate change projects such as capacity building for systematic observation systems and development of local emission factors

III. TERMS OF REFERENCE FOR THE EVALUATOR

The evaluator shall:

3. Analyse the quality and usefulness of the planned and current project outputs, and determine how these contributes to the attainment of results and overall objectives identified in the approved project proposals in meeting its UNFCCC commitments. It should determine whether the project has been able to answer the identified needs and problems in Kenya.

4. Measure the impact of the planned and current results of the first activity to preparing the Initial National Communications to the UNFCCC. This should also include a determination of the usefulness of the results to GEF funded "Enabling Activities to Prepare National Communications to the UNFCCC" projects. The consultant will consult the members of the multi-disciplinary National Climate Change Activities Coordination Committee (NCCACC), which includes government departments, universities, research institutions, private sector, and NGOs.

5. Assess the quality of consultants used in the implementation of the various project components, identify the lesson learned and provide recommendations on how such involvement could be improved.

6. Assess the role the project played in building the capacity of the participating national institutions in the area of reporting to the UNFCCC COP climate change and assess the long-term sustainability of the benefits of this capacity building.

7. Determine the future assistance required from UNEP and GEF, specifically in ensuring successful implementation of soon-to-start GEF funded projects identified in Section II. Identify the lessons learned and provide recommendations that might improve the delivery of similar assistance in similar projects.

8. Review the adequacy of national and international monitoring and evaluation systems developed to supervise and implement the project and based on the lesson learned, provide recommendations that could improve current procedures related to monitoring and evaluation.

9. Review the effectiveness of the institutional structure, management and financial systems, which played an important role in the implementation of the project, investigating the staffing, administrative arrangements and operational mechanisms with emphasis on co-ordination within and outside of UNEP. The evaluator will solicit the views of relevant UNEP staff members on the usefulness of the project in enhancing both UNEP's and GEF's work in the area of climate change.

10. Identify any technical and /or operational constraints encountered during the project implementation including those that contributed to delays in implementing the approved work plan. Identify further the actions required by UNEP and the national executing agency to overcome the constraints, and any appropriate alternative measures that need to be taken.

11. Identify and assess any measures that national institutions have initiated to integrate the results and recommendations of the initial national communications into national policy making and/or planning. The evaluator should also make specific recommendations regarding follow-up measures that would enable longer-term benefits and sustainability of project activities.

12. Determine the potential contribution of the project to furthering the objectives of the relevant global, regional and environmental assessments, policy frameworks and action plans, and to strengthen the United Nations Framework Convention on Climate Change.

13. Evaluate whether the actual results of the project compare with the long term and short-term results identified in the project document and what needs to be done further.

14. Determine the extent to which gender considerations were incorporated into the various technical and operational aspects of the project.

15. Propose concrete suggestions or recommendations, to the national executing agency and UNEP and assist them in undertaking them as appropriate.

IV. FORMAT OF THE EVALUATION REPORT

16. The evaluator will be in constant touch with the national executing agency and UNEP and provide at least weekly reports until the finalisation of all project activities. The Evaluator shall also prepare his/her report in the form of:

i) A concise summary (4pages); and
ii) A detailed evaluation report (about 30 pages) addressing sections II and II.
iii) Rate the implementation success of the project on a scale of 1 to 5 with 1 being the highest rating and 5 being the lowest. The rating criteria are: The evaluation rating will be based on a scale 1-5, with 1 being the highest rating and 5 being the lowest. The following items will be considered for rating purposes:

(a) Timeliness: How the project met the schedules and implementation timetable cited in the project document.
(b) Achievement of result/objectives
-Attainment of outputs
-Completion of activities
-Project executed within budget
-Impact created by the project
-Sustainability
-Major problems faced and resolved successfully by the project

Each of the items should be related separately and then and overall rating given. The following rating system is to be applied:

1= Excellent	(90%-100% achievement)
2= Very Good	(75%-89%)
3= Good	(60%to 74%)
4= Satisfactory	(50%to 59%)
5= Unsatisfactory	(49% and below)

V. SCHEDULE OF THE EVALUATION

17. The evaluation should begin on 22nd October 2002 and last for a period of two months. While conducting the evaluation, the consultant should communicate by telephone or e-mail with the UNEP Headquarters in Nairobi, Kenya to discuss the project with the relevant staff in UNEP i.e. the Division for Policy Development and Law, the UNEP/GEF Co-ordination Unit and the UNEP Evaluation and Oversight Unit (EU).

18. The consultant will discuss aspects of the project with the national project co-ordinator and selected members of National Climate Change Committee (NCCACC); the staff of the climate change project of Kenya.

19. The consultant will send the draft evaluation report by 23rd November 2002.The UNEP Climate Change Enabling Activities in the Division of Policy Development and Law and the UNEP/GEF Co-ordination Unit will provide written comments on the draft evaluation report to the consultant through the UNEP/EOU by 8th December 2002.

20. The consultant will incorporate these comments and present a final version of the evaluation report to UNEP in English by 20th December 2002. This report should be presented in written form and on diskette in MS Word format. The ore report should not exceed 30 pages. All annexes should e typed.

VI. CONSULTANT

21. The consultant should preferably be on the GEF/STAP Roster of Experts, or in the database of evaluation consultants in UNEP/EOU, has an advanced university degree in a relevant discipline and have demonstrated expertise in the area of climate change and GEF projects. Previous experience in the evaluation of UN programmes will be an added advantage. The candidate should have at least 10 years experience in the field of climate change or in a related environmental field.

Key contacts at UNEP-Gigiri, Nairobi:

Mr. Ravi Sharma
Task Manager, Climate Change Enabling Activities, Division of Policy Development and Law (DPDL),
Tel: (254-2) 624215
E-mail: ravi. Sharma@unep.org

Mr. Ahmed Djoghlaf
Executive Co-ordinator
Global Environment Facility
Scientific & Technical Advisory Panel, UNEP/GEF-STAP,
Tel:(254-2) 624166
E-mail: ahmed.djoghlaf@unep.org

Mr. Segbedzi Norgbey
Acting Chief, Evaluation and Oversight Unit (EOU)
Tel: (254-2) 624181
E-mail: segbedzi.norgbey@unep.org

Annex II

Checklist Indicating where key issues indicated in the terms of reference have been addressed in the evaluation report

Key Elements of TOR	Done	Addressed in following sections of report
Analyse the quality and usefulness of the planned and current project outputs, and determine how these contributes to the attainment of results and overall objectives identified in the approved project proposals in meeting its UNFCCC commitments. It should determine whether the project has been able to answer the identified needs and problems in Kenya.	✔	**II.B., III.A. & III.B.**
Measure the impact of the planned and current results of the first activity to preparing the Initial National Communications to the UNFCCC. This should also include a determination of the usefulness of the results to GEF funded "Enabling Activities to Prepare National Communications to the UNFCCC" projects. The consultant will consult the members of the multi-disciplinary National Climate Change Activities Coordination Committee (NCCACC), which includes government departments, universities, research institutions, private sector, and NGOs.	✔	**II.B. & II.H.**
Assess the quality of consultants used in the implementation of the various project components, identify the lesson learned and provide recommendations on how such involvement could be improved.	✔	**II.F.**
Assess the role the project played in building the capacity of the participating national institutions in the area of reporting to the UNFCCC COP climate change and assess the long-term sustainability of the benefits of this capacity building.	✔	**III.D. & III.E.**
Determine the future assistance required from UNEP and GEF, specifically in ensuring successful implementation of soon-to-start GEF funded projects identified in Section II. Identify the lessons learned and provide recommendations that might improve the delivery of similar assistance in similar projects.	✔	**II.E., IV.A. & IV.B.**
- Review the adequacy of national and international monitoring and evaluation systems developed to supervise and implement the project and based on the lesson learned, provide recommendations that could improve current procedures related to monitoring and evaluation.	✔	**II.E., II.F., II.G., IV.A. & IV.B.**
Review the effectiveness of the institutional structure, management and financial systems, which played an important role in the implementation of the project, investigating the staffing, administrative arrangements and operational mechanisms with emphasis on co-ordination within and outside of UNEP. The evaluator will solicit the views of relevant UNEP staff members on the usefulness of the project in enhancing both UNEP's and GEF's work in the area of climate change.	✔	**II.E. & II.F. (additional input from UNEP required)**
Identify any technical and /or operational constraints encountered during the project implementation including those that contributed to delays in implementing the approved work plan. Identify further the actions required by UNEP and the national executing agency to overcome the constraints, and any appropriate alternative measures that need to be taken.	✔	**II.F., II.G. & II.H.**
Identify and assess any measures that national institutions have initiated to integrate the results and recommendations of the initial national communications into national policy making and/or planning. The evaluator should also make specific recommendations regarding follow-up measures that would enable longer-term benefits and sustainability of project activities.	✔	**III.C., III.E., IV.A. & IV.B.**

Determine the potential contribution of the project to furthering the objectives of the relevant global, regional and environmental assessments, policy frameworks and action plans, and to strengthen the United Nations Framework Convention on Climate Change.	✔	**III.D.**
Evaluate whether the actual results of the project compare with the long term and short-term results identified in the project document and what needs to be done further.	✔	**II.B., II.H., IV.A. & IV.B.**
Determine the extent to which gender considerations were incorporated into the various technical and operational aspects of the project.	✔	**II.D.**
Propose concrete suggestions or recommendations, to the national executing agency and UNEP and assist them in undertaking them as appropriate.	✔	**IV.A. & IV.B.**

Annex III

Draft questionnaire for the evaluation

Evaluation of the UNEP/GEF Sub-Project GF/2200-97-55
Enabling activities for the preparation of Initial National Communications Related to the UNFCCC – Kenya

Draft Questionnaire

A. Quality and Usefulness of Project Outputs

1. Did the project achieve its objectives:

   ---

2. Elaborate the extent to which individual project objectives were met:

   Identifying and assessing mitigation options: ----------

   Developing a comprehensive vulnerability and assessment for various sectors: ----------

   Identifying stage I adaptation options: ----------

   Building capacity to integrate climate change concerns into planning: ----------

   Provide public awareness and other information: ----------

3. How would you grade the quality of the results of the project?

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

4. Has the project answered the identified needs and problems of climate change in Kenya? **Yes/No**

B. Impact and Results of the activity

1. What was the impact/importance of this activity to the preparation of the initial communication?

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2. What was the impact/importance of this activity to other GEF and/or climate change activities?

C. Quality of consultants involved in project implementation

1. Did the project involve hiring of consultants? Yes/No

2. If your answer is yes, please complete the following table with relevant details of the consultants. Actual names of the consultants are not required.

Consultant	Academic Qualification	Task/Work performed	Experience in climate change issues (Number of years)
1			
2			
3			
4			
5			

3. How would you grade the quality of work performed by the consultants?

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

4. List some of the challenges faced (if any) in hiring consultants for the project:

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5. What are some of the lessons learnt with regard to involvement of consultants in projects similar to this one?

D. Role of the project in building national capacity

1. Which institutions were involved in the implementation of the project?

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2. Has the project build the capacity of participating national institutions in the area of climate change? **Yes/No**

Elaborate:
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3. What actions were taken to ensure the sustainability of capacity building arising from this project?

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4. What lessons were learnt with regard to building capacity of national institutions during the implementation of this project?

E. Adequacy of national and international monitoring systems

1. What monitoring and evaluation systems were in place to supervise and implement the project?

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2. Using the scale of 1 to 5 below, grade the adequacy of these systems (circle one):

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

3. What were the lessons learnt from the use of these systems:

---

4. Was the assistance provided by UNEP effective? **Yes/No**

5. What problems were experienced in the delivery of assistance by UNEP during the project?

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6. Provide some recommendations that would maximise the assistance provided by the implementing agency in future projects:

F. Effectiveness of the Institutional structure, management and financial systems

In completing the following questions, please consider the staffing, administrative arrangements and operational mechanism of the project.

1. How would you grade the effectiveness of the organisational structure of the project?

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

2. How would you grade the effectiveness of the management structure of the project?

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

3. How would you grade the effectiveness of the financial management of the project?

1= Excellent	(90%-100% achievement)
2=Very Good	(75%-89% achievement)
3=Good	(60%-74% achievement)
4=Satisfactory	(50%-59% achievement)
5=Unsatisfactory	(40% and below)

G. Technical and operational constraints

1. What technical or operational constraints were encountered during project implementation?

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2. Did the constraints mentioned above contribute to delays in the workplan? **Yes/No**

Elaborate:

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3. How did UNEP and the national executing agency resolve some of the constraints?

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4. What lessons did you learn from these constraints?

H. Integration of results and recommendations of the national communication in national policy making

1. Mention specific areas where results from the project have been integrated in national policy making/planning?

I. Contribution of the project to other relevant global, regional and national activities

1. What links can you draw between this project and other global, regional and national environmental assessments (e.g. GHGs inventories, mitigation of GHGs emissions, impacts of climate change, adaptation strategies)?

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2. What is the potential contribution of the project to policy frameworks and action plans of the United Nations Framework Convention on Climate Change (UNFCCC)?

J. Synergy of project results with short and long term project goals

1. What are the short-term and long-term goals of the project as outlined in the final project document?

---

2. Do the results of the project complement the goals stated above? **Yes/No**

3. What are the gaps, if any, between the results of the project and the project goals?

K. Gender considerations:

1. Was gender a key consideration in the implementation of the project? **Yes/No**
2. Describe how gender was incorporated into the technical and operational aspects of the project?

   ---

3. What was the gender distribution of the national country team?

L. Overall Recommendation

Propose suggestions or recommendations that may benefit future UNEP/GEF projects:

Thank you for your cooperation.

Annex IV

Interviewees and questionnaire respondents

Individuals Interviewed

- Ms. Emily Ojoo-Massawa (National Project Coordinator), Ministry of Environment and Natural Resources
- Mr. Simon Gacheru (Working Group Team Leader), National Museum of Kenya
- Mr. Paul Mbuthi (Member of Working Group), Ministry of Energy
- Mr. Edward Owango (Member of Working Group), Ministry of Agriculture and Livestock Development
- Mr. Harun Muturi (Participated in Workshop), Ministry of Education, Science and Technology

1. **Questionnaire Respondents**
   - Mr. Joshua G. Wairoto, Kenya Meteorological Department
   - Mr. Robin M. Achoki, Ministry of Finance and Planning
   - Dr. Christopher Oludhe, University of Nairobi
   - Mr. Kinuthia Mbugua, Ministry of Environment and Natural Resources
   - Mr. A. Oroda, Regional Centre for Mapping and Resource
   - Mr. F. N, Kihumba, Ministry of Environment and Natural Resources
   - Mr. Stephen Manegene, Ministry of Environment and Natural Resources

Annex V

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Annex VI

Contributors to national communication report

Ministry of Environment and Natural Resources
Mr. K. Mbugua
Mr. B. O. K'Omudho
Ms Emily Ojoo-Massawa
Mr. F. N. Kihumba
Mr. K.S.A. Buigutt
Ms Joyce Onyango
Mr. Maina Manyeki
Mr. H. Kinuthia
Mr. J. Ithagu
Mr. E. Ngunga
Mr. S. Manegene
Ms. Salome Machua
Ms. J. Nyandika
Ms. E. Muthigani
Mr. M. Gatembu

Ministry of Agriculture and Livestock Development
Mr. E. Owango

Ministry of Health
Mr. J. Mwitari

Ministry of Energy
Mr. P. Mbuthi
Mr. P. Gakunga

Ministry of Education, Science and Technology
Mr. Harun Muturi

Ministry of Finance and Planning
Mr. R. Achoki
Mr. K. Kibe
Mr. J. C. Nyangada

National Museum of Kenya
Simon Gatheru

Kenya Institute of Education
Mr. F. Omwoyo

Kenya Agricultural Research Institute (KARI)
Dr. F. Wafula

Kenya Forestry Research Institute
Dr. F. Oballa

Kenya Meteorological Department
Mr. J. Wairoto
Mr. J. K. Njihia

Kenya Wildlife Service
Mr. S. Manegene

Kenya National Academy of Science
Professor Wandiga

Regional Centre for Mapping and Resource Surveys
Mr. L. Agatsiva
Mr. A. Oroda

University of Nairobi
Professor J. Nganga
Dr. F. K. Karanga
Professor I. Nyambok
Professor I. Jumba
Professor F. Mutua
Dr. Kisia
Dr. C. Oludhe
Dr. S. Obiero
Dr. J. Irandu

Nairobi City Council
Ms. L. Oyake
Mr. J. Maritim

IGAD-Drought Monitoring Centre
Professor L. Ogallo
Mr. P. Ambenje

Annex VII

Final drafting workshop participants

Mr. Kinuthia Mbugua, Ministry of Environment and Natural Resources

Mr. B.O. K'Omudho, Ministry of Environment and Natural Resources

Mr. F. Kihumba, Ministry of Environment and Natural Resources

Mr. Emily Massawa, Ministry of Environment and Natural Resources

Ms. Jane Nyandika, Ministry of Environment and Natural Resources

Mr. E. Onderi, Ministry of Environment and Natural Resources

Ms. Elizabeth Muthigani, Ministry of Environment and Natural Resources

Mr. Moses Maina, Ministry of Environment and Natural Resources

Mr. J. Kiiru, Ministry of Environment and Natural Resources

Mr. K.S. Buigutt, DRSRS

Mr. P. Gakunga, Ministry of Energy

Mr. S. Manegene, Kenya Wildlife Services

Dr. B. Wafula, Kenya Agricultural Research Institute (KARI)

Mr Robin M. Achoki, Ministry of Finance

Mr. E. Owango, Ministry of Agriculture and Rural Development