Department of the Environment

System for Land-based Emissions Estimation in Kenya (SLEEK) Mid Term Review

Final Report

April 2019

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Appendices

Acronyms and Abbreviations

ANU	Australian National University
App	Application
AUD	Australian dollar
CCI	Clinton Climate Initiative
COP	Conference of Parties
DFAT	Department of Foreign Affairs and Trade (GoA)
DoE	Department of the Environment (GoA)
DSS	Decision Support System
EAC	East African Community
EAP	Expert Advisory Panel
EWG	Element Working Group
FLINT	Full land integration tool
FullCAM	Full Carbon Accounting Model
GDP	Gross Domestic Product
GFOI	Global Forests Observation Initiative
GHG	Greenhouse Gas/es
GoA	Government of Australia
GoK	Government of Kenya
H&S	Health and Safety
M&E	Monitoring and Evaluation
MoEW&NR	Ministry of Environment, Water and Natural Resources (GoK)
MGD	Methods and Guidance Documentation
MTP	Medium Term Plan
MTR	Mid Term Review
MRV	Measurement, Reporting and Verification (of greenhouse gas emissions and removals)
NEMA	National Environmental Management Agency (GoK)
NFT	National Forest Tracker
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee

OOM	Office Operations Manual
PDD	Program Design Document
PMM	Program Management Manual
PMU	Program Management Unit
PPP	Public Private Partnership
PSC	Program Steering Committee
REDD+	Reduced Emissions from Deforestation and Forest Degradation in developing countries plus the role of conservation, sustainable management of forests and the enhancement of forest carbon stocks in developing countries
SAG	Strategic Advisory Group
SLEEK	System for Land-based Emissions Estimation in Kenya
SOE	State of the Environment
SOK	State of Knowledge
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States dollar

Executive Summary

A mid-term review for the implementation of the System for Land-based Emissions Estimation in Kenya (SLEEK) was required by the Australian Government as part of their commitment to a robust and accountable aid program. The SLEEK project is being implemented by the Clinton Climate Initiative (CCI) under contract to the Department of the Environment. The funding is from the Department of Foreign Affairs and Trade.

CCI manage the SLEEK project from the Clinton Foundation office in Nairobi. The CCI team in Nairobi is led by Mr. Jackson Kimani, Clinton Foundation Regional Director and SLEEK Team Leader and Ms. Molly Bartlett, Policy and Planning Director assumes the role of SLEEK Project Director based in the Clinton Foundation office in Boston, USA. CCI has a combination of contracted staff full-time on the SLEEK project, permanent and contracted staff who work part-time on SLEEK and a number of sub-contracted external technical specialists. CCI commenced the implementation of SLEEK in April 2013 and their current contract with Department of Environment expires on 30 April 2016.

SLEEK arranges quarterly meetings which bring together, usually over a few days, key stakeholders (comprising the CCI team, Government of Kenya officials, academics and other interested parties) to discuss progress and develop forward work plans. Element Working Groups[1] have been formed around each of the core technical areas. The Element Working Groups use these quarterly meetings as an important forum for sharing progress and issues, and for developing their own work plans. As part of the mid-term review process, the consultant Team Leader attended SLEEK's eighth quarterly meeting held 12-15 April 2015.

The mid-term review consultancy team comprised:

- Phil Montgomery: Team Leader

- Alison Baker: Monitoring and Evaluation Specialist, and

- Andrew Roy: Green-House Gases Specialist.

Assessment of Progress

The mid-term review assessed the first 25 months of SLEEK against the standard Department of Foreign Affairs and Trade's criteria as follows:

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[1] EWGs have been set up for Forests, Soils, Crops, Climate and Land Cover Change

| Evaluation Criteria / mid-term review findings	Score
Relevance *To determine whether the Program contributed to higher level objectives of the Government of Australia and the Government of Kenya.* The rating was provided considering SLEEK's potential for contribution to both Government of Australia's and Government of Kenya's higher level objectives. Also considered by the evaluation team was the positive review of the program by the wide range of stakeholders consulted and the potential for SLEEK to contribute positively to Kenya's wider (land-sector based) development goals via a series of applications (Apps) being developed, as well as the potential for further App development.	6/6 very highly relevant
Effectiveness *To determine whether the activity has achieved its objectives* SLEEK has been highly effective in the approach to developing technical products and in the establishment of, and support for, the Element Working Groups. The technical team realised that the using Australia's system (FullCAM) was not appropriate, even in a modified form, and any attempt to make it 'fit for purpose' would have been a compromise. Instead, the team created a new and highly purpose built tool – FLINT – which will prove far more useful for stakeholders. Progressively, Apps are also being considered, planned for, and within the order of priorities, developed. In parallel, the Element Working Groups structure and working protocols should be seen as highly effective, and to some extent pioneering in terms of inter-agency cooperation.	5/6 Highly effective
In regards to SLEEK's <u>capacity development goals</u>, which are fundamental to the sustainability of the Program, the mid-term review scores this at effective, with the proviso that an extension is granted and/or a fast-tracked Capacity Development Program is implemented through to the end of the Program. These changes will ensure that SLEEK optimises its potential capacity development outcomes	4/6 Effective
Efficiency *To determine whether the activity was managed to get the most out of the inputs of funds, staff and other resources, including continual management of risks* From an operational perspective and when assessed for achievements in communications, stakeholder engagement, and response to implementation challenges, SLEEK is scored as highly efficient.	5/6 Highly efficient
The financial reporting provided to the mid-term review did not support the observations made in the field that SLEEK had all the appearances of a well-functioning and efficiently run project. It is understood that subsequently provided financial reports are significantly improved and that DoE and CCI have the intention of entering into discussions to formalise both parties' expectations and standards for subsequent financial reporting.	3/6 Borderline

Evaluation Criteria / mid-term review findings	Score
Impact *To determine whether the activity has produced positive or negative changes (directly or indirectly, intended or unintended)* While the mid-term review has allocated an Impact score of Effective. It should be noted that this score is likely to move to 5/6 or even 6/6 as the main technical products from SLEEK come online and begin to be widely used. Potential impact is assessed as high to very high.	4/6 Effective
Sustainability *To determine whether the activity has appropriately addressed sustainability so that the benefits of the activity will continue after funding has ceased, with due account of partner government systems, stakeholder ownership and the phase-out strategy.* The current handover date for SLEEK to the Government of Kenya is 1 May 2016. If the contract with CCI is not extended, and no fast-tracked capacity development program is in place, the mid-term review considers that sustainability would only be borderline (score of 3/6)	3/6 Borderline
If an extension is granted and capacity development is prioritised by both Government of Kenya and CCI, then there is a reasonably high expectation that the handover of SLEEK will be highly sustainable. This would be conditional on a well-functioning and well-resourced Program Management Unit with support from a high level Project Steering Committee.	5/6 Highly efficient
Gender Equality and Safeguards *To determine whether the activity advanced gender equality and promoted women. Verify whether safeguards are properly managed.* In recognition of the robust policy document for safeguards, the processes for keeping this current and in people's minds, and the strong observed presence and role of women, the mid-term review has scored SLEEK highly efficient for Gender Equality and Safeguards. Notwithstanding, CCI needs to ensure that the Capacity Development program equips Government of Kenya to maintain this high level of attention to safeguards' policy and enforcement.	5/6 Highly efficient
Monitoring and Evaluation *To determine whether the activity's monitoring and evaluation system effectively measures progress towards meeting objectives.* The mid-term review has scored SLEEK at high for monitoring and evaluation based on the principles of appropriateness, integration, and advocacy as outlined in the SLEEK project design document. Minor improvements would strengthen the ability to communicate the progress of the Program as well as contribute to an improved understanding by Government of Kenya, and the Program Team.	5/6 Highly efficient

Evaluation Criteria / mid-term review findings	Score
Analysis and Learning *To determine whether the activity was based on sound technical analysis and continuous learning.* The mid-term review scores SLEEK at high for Analysis and Learning. There is strong evidence to show that SLEEK's principal scientists are world-class experts in their respective fields, and that attendance at technical, training and measurement, reporting and verification program meetings is being appropriately budgeted and arranged for Government of Kenya staff.	5/6 Highly efficient
Risk Management *How is risk being managed? Is risk documentation regularly updated? Has the risk profile changed since the last assessment? Are risk identification and risk mitigation strategies appropriate for the Program?* For Risk Management overall, the mid-term review scores SLEEK at Borderline. This is due largely to the failure to incorporate Health and Safety for CCI program staff and others as a risk factor. CCI has agreed to amend their risk management approach accordingly, and when there is evidence of this having been done, the score can be lifted to Effective (4/6). The mid-term review is reluctant to bestow a higher score to this criterion in the absence of a clear strategy for managing risk should SLEEK not be granted an extension of time.	3/6 Borderline
Innovation and Private Sector *Is SLEEK trialling new or innovative aid delivery mechanisms or M&E approaches? Is SLEEK collaborating with the private sector? Is SLEEK trialling new technologies that can be scaled up, or which offer potential for cost efficiencies? Could the project contribute positively to growth of the private sector?* Probably more so than most development assistance programs in this sector, SLEEK is very definitely trialling new and innovative technologies which have the potential for upscaling across many geographical regions where land-based green-house gases emissions are an important part of a country's carbon accounts. The extension of SLEEK to other countries in the East African Community (and beyond) is indicative of this potential. Further, as voluntary (and or compulsory) carbon markets gain momentum, and as REDD+ increases its profile in these markets, the value (even if not measured in monetary terms) of systems/tools like SLEEK will increase dramatically. In the opinion of the mid-term review there is also the potential to engage with the private sector in Kenya, and elsewhere if the systems and tools are taken up more widely, in the development and sale of Apps.	Not scored

Recommendations:

The mid-term review team provided the following recommendations as at 30 June 2015 (and notes that some of these recommendations have since been actioned):

1) **Improve financial reporting** – CCI should report against detailed (broken down) line item budgets. The level of detail contained in the project design document (for those line items showing some breakdown of expenditure items) would be a useful start.

2) **Formalise a fast-track Capacity Development Program** – CCI should work with Government of Kenya to formalise current agreements regarding the Capacity Development Program and have this signed off by Government of Kenya and Government of Australia. This would include a detailed workplan, budget and SLEEK handover plan.

3) **Improve the process for tracking and reporting progress**, especially as the capacity development phase moves into top gear. The quarterly reporting format is useful, but progress reporting needs to be at least monthly. The mid-term review provided CCI with a standard project work plan format which incorporates a reporting function.

4) **Monitoring and evaluation** to focus on what's working and what's not – quick solutions to the latter will be pivotal to success in the limited timeframe remaining. This will be particularly critical for the Capacity Development program which brings in a number of unknowns, not the least of which is the absorptive capacity of the individuals and institutions to benefit from capacity development. Use of evaluation tools such as 'Scorecards" and "Network Diagrams" are simple ways to improve the current monitoring and evaluation system which would assist in communicating progress, and emphasise those areas such as capacity building which are critical to long-term success of the Program.

5) **Maintain support to the Documentation Specialist as a priority activity** – prioritise the documentation of processes and systems, and the user manuals as these are all critical to a successful handover. Lock-in an agreed plan for training, and training of trainers as a sustainability measure – this can slip if it is not a priority of government at the time. If the nominated specialist for this position needs assistance, CCI should provide it as this is a key sustainability input and it is untried and untested as to the scope of the job ahead.

6) **Limit the focus on developing Apps as part of SLEEK** – the mid-term review understands that for many Government of Kenya agencies (especially at the county level), the development of Apps using the SLEEK database is seen as potentially more useful than the green-house gases emissions estimation function. This is understandable in that Apps can respond to domestic market needs quickly, whereas, without a strong market for REDD+ projects, the main immediate use of SLEEK could be seen as focussed on meeting international reporting obligations. The mid-term review recommends that the development of Apps directly under SLEEK should be limited to perhaps two (or at maximum a few) demonstration Apps (ideally developed and trialled at the county level). Any more than this should be the subject of a separate follow-on project which analyses and prioritises Apps development and handover. The mid-term review strongly recommends looking into the involvement of the private sector through a public private partnership approach.

7) **Grant a no-cost extension of time** but use this as a means to tighten planning, reporting and budget management. The mid-term review would suggest a number of pre-conditions be negotiated as a contract variation before the granting of any extension. Two main options are considered:

   – Six months – such extra time would allow capacity development to run on Government of Kenya's terms and not swamp absorptive capacity, plus allow the phased and prioritised development of pilot Apps. This would appear to be the minimum given that SLEEK, for a variety of reasons, had a slow start and there are already signs that the Capacity Development Component is behind schedule for an April 2016 closedown.

- One year – as per the six months extension option, but allows more time for the transition. It is important to note here that there are already expectations within Government of Kenya that a two year extension is possible.

1. Introduction

As per Australian Government requirements to ensure a robust and accountable aid program, a mid-term review (MTR) of the implementation of the System for Land-based Emissions Estimation in Kenya (SLEEK) was required. The SLEEK project is being implemented by the Clinton Climate Initiative (CCI) under contract to the Department of the Environment (DoE) funded by the Department of Foreign Affairs and Trade (DFAT).

After responding to a call for proposals, GHD Pty Ltd (GHD) was contracted by DoE to undertake the MTR. GHD subsequently produced a draft MTR report which was provided to relevant stakeholders for comment. Following the receipt of comments, agreed changes have been included in this final MTR report. The MTR team from GHD comprised Phil Montgomery - Team Leader, Alison Baker - Monitoring and Evaluation (M&E) Specialist and Andrew Roy - Green-house Gases (GHG/GHGs) Specialist.

The scope and timing of the MTR is described in the MTR Evaluation Plan attached as Appendix A. Curricula vitae for the GHD team are included as Appendix B. The Team Leader was travelling and/or in-country over the period 10-23 April 2015. The other team members were informed by background reading and discussion with the Team Leader on outcomes and findings from the field visit. Both the M&E and GHG Specialists have made contact with relevant counterparts in CCI as part of their review of specific technical aspects of SLEEK.

CCI manage the SLEEK project from the Clinton Foundation office at Timau Plaza, Argwings Kodhek Road, Nairobi. The CCI team in Nairobi is led by Mr. Jackson Kimani, Clinton Foundation Regional Director and SLEEK Team Leader and Ms. Molly Bartlett Policy and Planning Director, Forestry for CCI assumes the role of SLEEK Project Director based in the Clinton Foundation office in Boston USA. CCI has a combination of contracted staff full-time on the SLEEK project (including Mr. Dean Rizzetti, Program Officer, Forestry and day-to-day SLEEK coordinator), permanent and contracted staff who work part-time on SLEEK and a number of sub-contracted external technical specialists who visit the project office and field locations as required. CCI commenced the implementation of SLEEK in April 2013 and their current contract with DoE expires on 30 April 2016.

As part of its stakeholder engagement and consultation process, SLEEK arranges quarterly meetings which bring together, usually over a few days, key stakeholders (comprising the CCI team, Government of Kenya (GoK) officials, academics and other interested parties) to discuss progress and develop forward work plans. Element Working Groups (EWGs)[2] have been formed around each of the core technical areas. The EWGs use these quarterly meetings as an important forum for sharing progress and issues, and for developing their own work plans. SLEEK produces quarterly reports from these meetings as part of their reporting requirements. Quarterly Report 1, covering the period April-June 2013, provided the following outline for the conduct and reporting of the MTR (see Box 1). As part of the MTR process, the GHD Team Leader attended SLEEK's eighth quarterly meeting held 12-15 April 2015.

This report is based on information provided and the MTR's findings as at end April 2015. Where new information has come to hand or circumstances have changed, this is noted as per advice provided to the MTR team.

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[2] EWGs have been set up for Forests, Soils, Crops, Climate and Land Cover Change

Box 1

Background

The Australian Government (GoA) represented by DoE# has contracted the CCI to assist the GoK to develop a System for Land-based Emissions Estimation (SLEEK) as described in the Program Design Document (PDD) and referred to as the Program.

The overall Program Goal is to assist GoK in building a highly integrated system which will: compile information from Kenya's forestry and agricultural sectors; have an inbuilt capacity for measurement, reporting and verification (MRV) of emissions of GHGs in order to support REDD+ readiness activities and *United Nations Framework Convention on Climate Change* (UNFCCC) reporting requirements; and be relevant for land use planning and decision-making in Kenya's forestry, agricultural and food security sectors. The system will ultimately enable Kenya to meet future emissions reporting requirements, engage in carbon markets and evaluate different land use scenarios for sustainable development.

Objectives

The objective of the MTR is to:

- Assess progress made to date using the criteria outlined below;

- Identify areas for improvement and remaining tasks; and

- Agree on actions to be taken in second half of the Program.

Evaluation Questions

The MTR will apply *Organisation for Economic Co-operation and Development – Development Assistance Committee* (OECD-DAC) Criteria for Evaluating Development Assistance as the standard base reporting criteria for the review and evaluation of the Program with the addition of a number of quality standards to ensure capturing of key policy priorities, such as gender and safeguards. Considering the MTR should also capture important actions that have not been addressed by the Program, one criterion on "important gaps" has been added.

A score between 1 and 6 will be provided for each criterion with 6 indicating very high quality, 4 indicating adequate quality, and 1 indicating very poor quality. All scores will be explained using observed factual information.

Each criterion is explained briefly and a performance achievement statement is provided as an indication of what performance means and a reference for what the Program set out to achieve.

Note: the name of the responsible Australian Government departments has been updated to reflect recent changes in organisational structure.

SLEEK's Quarterly Report 1 described the required reporting format for the MTR (see Section 2 following) and as GHD's contract with DoE required the same, this format has been retained for the purposes of reporting the findings and conclusion of the MTR itself. Box 2 following is drawn from Quarterly Report 1 and describes the proposed consultation and reporting process for the MTR.

Box 2

The MTR will be a consultative process between an independent consultant, the GoK, the GoA, and CCI. The consultant will provide the independent assessment and neutral facilitation

to create agreement between all parties on actions to be taken. The MTR report will contain the independent assessment, the improvements proposed by the independent consultant and the actions agreed by the other three parties. The latter will have the opportunity to express diverging views in an official response to the final report.

1.1   Acknowledgements

The MTR team is grateful to all the individuals and organisations, both in Kenya and in Australia, who gave their time to share information and otherwise assist the MTR. Special thanks go to CCI (and especially Project Coordinator Dean Rizzetti) for arranging the field program and for accommodating the MTR team's many questions and requests for information and meetings; GoK representatives too numerous to name individually, but at all times willing to meet and discuss their perspectives on SLEEK openly; and finally DoE and DFAT staff in Kenya and in Australia for their knowledge, engagement and availability at all times.

2. Assessment of Progress

As suggested by the Quarterly Report 1 outline for the MTR, and as required by GHD's agreement with DoE, the OECD-DAC Criteria for Evaluating Development Assistance has been used as the basis for reporting. In addition to the main topics required to be assessed by the OECD-DAC Criteria, reporting has also considered the criteria used in the DFAT Aid Quality Check. Hence, the MTR also considers Safeguards (including gender issues), Risk Management and Private Sector Participation and Innovation.

The MTR team was informed through research and background reading of project reports and related documents including website content, interviews with CCI, GoA and GoK staff and consultants, and attendance for the full eighth quarterly meeting which was held at Sarova Shaba, north of Isiolo in the arid zone of Northern Kenya.

The Terms of Reference for the MTR did not specifically require comment on the current CCI contract with DoE, including its duration and the possibility of an extension, however this becomes necessary as the evaluation of many of the required criteria changes if the contract end date extends. Accordingly, the MTR has provided a recommendation on the matter of a contract extension at Section 4 of this report, and for certain criteria the MTR has provided two scores; one on the basis that the contract remains unchanged and another which assumes an extension will be granted. Not surprisingly, certain scores improve if more time is granted. This is especially the case for those criteria involving capacity development, which by its nature is a longer-term undertaking.

2.1   Relevance

2.1.1   Explanation

To determine whether the Program contributed to higher level objectives of the GoA and GoK.

Performance Achievement Statement:

(i)   The development of SLEEK is an important step towards Kenya meeting its emissions reporting requirements and accessing carbon markets.

(ii)   The development of SLEEK can contribute to an international MRV system.

(iii) The decision support system can make a measurable contribution to socio-economic development and a healthy environment for the women and men of Kenya.

2.1.2   GoA and GoK higher level objectives

Kenya's *Vision 2030* is the country's development blueprint for the period 2008 through to 2030. It is based on three pillars: the economic pillar, the social pillar and the political pillar. The *Vision* is to be realised through the implementation of a series of rolling five year Medium-Term Plans (MTPs). The first MTP spanned 2008-2012, while the second MTP is current, covering 2013-2017. SLEEK has the greatest potential to contribute to Kenya's strategies under the economic pillar, although less directly it will help Kenya realise its vision under the Social and Political pillars also.

- Under the Economic Pillar, Kenya has identified six key sectors for growth. One of these sectors, 'Increasing Value in Agriculture', should benefit directly and significantly from SLEEK's Decision Support System (DSS). This is further discussed under Section 2.1.3 (iii).

- The Social Pillar aims to 'build a just and cohesive society with social equity in a clean and secure environment.' The pillar is founded on improvements in seven core sectors, including the Environment Sector wherein at least one of the flagship projects will benefit directly, that is, the 'Land Cover and Land Use Mapping Initiative'.

- The Political Pillar is based on a number of guiding principles of which, 'Democracy and Public Service Delivery' and 'Transparency and Accountability' stand to benefit from improvements flowing directly and indirectly from SLEEK. An indirect, but very important, contribution from SLEEK is derived from the requirement for inter-agency cooperation within the Project Steering Committee (PSC) and via the EWG's already established and working effectively across many technical disciplines. Further contributions are evidenced by the data sharing protocols being established. In this regard the Kenya Meteorological Service has already developed a data sharing agreement with SLEEK and there is reason for confidence that other agencies will follow suit.

A joint World Bank/International Monetary Fund review[3] of Kenya's second MTP observed that the ambitious economic growth forecasts (double digit average annual growth in Gross Domestic Product (GDP)) for the first MTP were not achieved due to a variety of factors including repeated droughts, high international commodity prices, the global financial and economic crisis, and political uncertainty in the run-up to the 2013 general elections. Nevertheless, average annual GDP growth reached 3.8% over the plan period and some important gains were seen under the Vision's social pillar. The second MTP retains double digit GDP growth as an objective and identifies transformation in infrastructure, information technology, employment policies, land reform, ending drought emergencies, public sector reform and national security as means to this end. Ensuring its continued relevance to GoK, SLEEK should progressively contribute over the life of the second MTP, especially in the areas of land reform, drought management and public sector reform.

Australia's aid program focusses on sustainable economic growth and poverty reduction in partner countries with which Australia works. These objectives are achieved by supporting both private sector, and human, development. The aid program invests in six core areas as shown in Figure 1 following. Also shown in Figure 1 is a snapshot of how SLEEK contributes in each core area.

Figure 1: Australia's aid investment priorities and SLEEK's potential to contribute

Australia's aid investment priorities	SLEEK
Infrastructure, trade facilitation and international competitiveness	has the potential to lift Kenya's international competitiveness in some core areas of GOK's *Vision 2030* and second five year Medium Term Plan, for example, in science, technology and innovation and land reform
Agriculture, fisheries and water	is developing a DSS in parallel to the MRV system. The DSS, via a series of applications (Apps), has proven potential to contribute to socio-economic development in the Agriculture sector, Kenya's largest employer. SLEEK also has the potential to assist Kenya's forest sector to benefit from REDD+ markets

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[3] International Monetary Fund and International Development Association, Joint Staff Advisory Note on the Vision 2030 Second Medium Term Plan 2013 -2017, February 2014.

Australia's aid investment priorities	SLEEK
Effective governance, policies, institutions and functioning economies	is already contributing to effective governance through the inter-departmental cooperation required on technical working groups and the across government dialogue being encouraged on data sharing protocols
Education and health	while not a direct contributor to these sectors, has the ability through its contribution to socioeconomic development generally, to help lift Kenya's education and health sectors, especially at the county level
Building resilience: humanitarian, assistance, disaster risk reduction and social protection	will directly help Kenya to build resilience to climate change and thus contribute to disaster risk reduction and social protection
Gender equality and empowering women and girls	through its contribution to small-scale agriculture, which is often the domain of women and girls, has the ability to directly empower women and girls, especially in rural areas. Further, the way that SLEEK is being implemented is directly promoting gender equality

In summary, SLEEK contributes to most, if not all, Australian aid program priorities with a high potential to significantly boost human development in Kenya directly, and through SLEEK's technical extension program, further afield in Africa and potentially elsewhere. In respect to private sector involvement, the current design for SLEEK does not envisage a significant role, however the MTR has identified areas where private sector involvement could boost the impact and reach of SLEEK's App products. This is further discussed at Section 2.10, Innovation and Private Sector.

2.1.3   MTR findings and score

The MTR Team Leader attended the 8th Quarterly Meeting for SLEEK which was held at Sarova Shaba in northern Kenya. Travel to and from the venue allowed the opportunity for valuable familiarisation with the landscapes and land-uses in this part of the country. The three day technical and progress meeting provided a condensed overview of the GoK's strong support to the SLEEK program, and a number of speakers from government and academia spoke of the important contribution that SLEEK's technical products (systems and models) should make when fully developed. Importantly, reference was also made to the immediate benefits being realised by GoK from SLEEK's bringing together of disparate agencies and organisations. In other words, the way that SLEEK has facilitated inter-departmental working groups has helped develop a sense of camaraderie and purpose that apparently isn't always evident. At the 8th quarterly meetings the Team Leader also took the opportunity to speak randomly (in ad-hoc, rather than planned meetings) to a wide range of participants. Without exception, the view of SLEEK's current and potential contribution to Kenyan government priorities was positive. SLEEK's Quarterly Report 8 further captures this essence and reports favourably on the increasing level of GoK ownership to the Program. The three performance assessment criteria are considered individually as follows:

(i)   *The development of SLEEK is an important step towards Kenya meeting its emissions reporting requirements and accessing carbon markets.*

Following the 8th Quarterly Meeting, the Team Leader arranged formal meetings with SLEEK's key counterpart, the Ministry of Environment, Water and Natural Resources (MoEW&NR). On 17th April

2015, meetings were held with senior officials from MoEW&NR in Nairobi. Key points from the discussion include:

- SLEEK is still highly relevant, and it will allow GoK to meet international reporting obligations and it will put Kenya at the forefront in this area amongst African nations;

- The presentation on SLEEK deliverables planned for the Paris Conference of Parties (COP) is very important to GoK;

- Steps are being taken to have a specific budget allocation made for SLEEK in the GoK's 2015/16 FY budget;

- Climate Change needs to gain more GoK support, it eventually should be a Department in the Ministry; and

- SLEEK is encouraging and supporting across-ministry and inter-agency cooperation which is seen as very positive.

A meeting was also held with senior officials from the National Environmental Management Agency (NEMA). NEMA, an autonomous agency within MoEW&NR, has the responsibility for reporting on Kenya's GHG emissions to the UNFCCC and also for compiling Kenya's State of the Environment report (SoE). NEMA's view of SLEEK, as expressed by the senior people interviewed, is highly positive. Key points from the discussion with NEMA include:

- NEMA, having responsibility for reporting to UNFCCC and producing the SOE report, sees SLEEK as highly relevant;

- Many GoK agencies and departments struggle to meet their own reporting requirements to NEMA because of a lack of, or inability to collect, reliable data, so SLEEK will assist with this; and

- GoK's MOU on SLEEK demonstrates a high level of commitment to the Program.

Currently, the role of SLEEK in positioning Kenya to participate in carbon markets is a secondary objective. This is partly due to the slower than anticipated development of both voluntary and legislated carbon markets worldwide, and to the lower than hoped for prices being offered in the carbon markets that do exist. Notwithstanding, the ability for a country to establish measurement and monitoring systems for land-based carbon (which are compliant with MRV guidelines established by UNFCCC) is, and will continue to be, a prerequisite for active participation in these markets as they continue to develop. SLEEK will not only allow Kenya to be compliant, it is expected to offer world's best-practice in terms of efficiency of operation and coverage for measurement of emissions and removals of GHGs. This should position Kenya with a competitive advantage in accessing future carbon markets.

(ii) The development of SLEEK can contribute to an international MRV system.

While GoK's focus is primarily at the national level (as considered above), GoA has a broader remit through its leading role with the *Global Forest Observations Initiative* (GFOI). GFOI has five key components, viz 1) the development of Methods and Guidance Documentation (MGD), 2) Coordination of Satellite Data Supply, 3) Capacity Building, 4) Research and Development, and 5) Administration and Coordination. Lessons learned from the SLEEK program have the ability to directly inform and strengthen Australia's commitment to the MGD component. Further, it could also be argued that SLEEK, while less directly, will provide valuable experience and lessons learned to inform all the other components as well. Furthermore, GoA's support of SLEEK directly complements parallel support being given to the development of Indonesia's MRV system.

(iii) *The decision support system can make a measurable contribution to socio-economic development and a healthy environment for the women and men of Kenya.*

The DSS comprises the SLEEK data platform and a series of applications (Apps) which access it and process the data according to the needs of the particular user (refer also to the Sleek Platform Concept diagrams at Appendix E). CCI has now employed an Applications Design Manager to focus on this output. SLEEK's prototype App is a Crop Suitability App which will be similar to the Australian Carbon Farming Initiative data mapping tool used by farmers in Australia. The potential for the DSS to make a measurable contribution to socioeconomic development in Kenya is thought to be high. Judging by the demand for App development, many stakeholders can already see the positive impact that the SLEEK database can provide beyond its abilities as a GHG emissions estimation tool. For example, Appendix G Deliverable 20, Quarterly Report 8, begins; 'While SLEEK is a system for estimating land-based emissions, the databases necessary to calculate these estimates can be used for various other applications. Some of these applications include crop suitability analysis, weather index based insurance, forest monitoring, among others. This document focuses on the concept for a National Forest Tracker (NFT) as one of the potential SLEEK applications.' Appendix Deliverable 20 is attached as MTR report Appendix G.

Additionally, in relation specifically to the third evaluation criteria, Appendix D (drawn from http://africa.clintonfoundation.org/climate/#!/) includes further comments from three key GoK agencies involved in SLEEK on the relevance of the program.

Relevance Score	Comments
6/6 Very highly relevant	Considering SLEEK's potential for contribution to both GoA's and GoK's higher level objectives, its demonstrated relevance when assessed against the Performance Achievement Statement criteria above, the positive review of the program by the wide range of stakeholders consulted, and considering the potential for SLEEK to contribute positively to Kenya's wider (land-sector based) development goals via a series of Apps being developed, and the potential for further App development, the MTR scored 6/6 – very highly relevant.

2.2   Effectiveness

2.2.1   Explanation

To determine whether the activity has achieved its objectives.

Performance Achievement Statement:

The Program is on schedule to deliver SLEEK within the budget, on time and at the agreed quality. The potential of the DSS is understood by key GoK stakeholders, several requests for decision support have been received and the development of the first applications is under way.

2.2.2   MTR Findings and score

The MTR has assessed progress to date, forward work plans (Quarterly Report 8 and Year 2 Financial Report) and planned quality of deliverables and has concluded that if the current high emphasis on quality is maintained and the contract end date is fixed at end April 2016, the program will not deliver to initial expectations on budget (underspent) or schedule (potentially overrun or some tasks will not be fully complete). The ramp up of SLEEK in the initial stages was slower than planned and a

number of the anticipated technical approaches have had to be highly modified to deliver outcomes at a high quality. Shortcuts and less rigorous approaches could have speeded delivery, but such approaches would have led to lower quality outcomes in respect of the technical products delivered and the sustainability of the handover process. The following, drawn from the minutes of the first SLEEK Expert Advisory Panel Meeting (27–29 October 2014) is relevant:

> *'CCI's approach is to make SLEEK part of Kenya's government institutions. As such, the objective is not to build SLEEK quickly – something that is technically feasible – but to take the longer approach that encourages the full participation of Kenyan government institutions, often repeating steps that have already been completed as a necessary part of that process.*
>
> *Each institution involved in SLEEK is preparing a State of Knowledge (SOK) document that details the data they have on offer and identifies gaps. These SOK's are draft documents as they are intended to be updated continuously…"*

In respect to the effectiveness of Program delivery, a senior MoEW&NR official made the following observations:

- With regard to the workplan, a challenge has been communicating this to busy people within GoK and gaining their full commitment. This has been well facilitated by discussion however priorities vary. In this regard the Paris COP is important in that it is an unmovable deliverable date (and thus focusses attention).

- GoK want stability in the Program so that all planned deliverables can be fully delivered. Note: the MTR took this to mean that any undue pressure applied (for example, SLEEK closing down prematurely – see the fourth dot point below) might result in rushed efforts which could impact negatively on quality.

- The PSC works well and is effective.

- SLEEK should be a five year program for the full capacity building and institutional strengthening plans to be implemented.

On the topic of program effectiveness, the NEMA representatives interviewed had the following to say:

- There is confidence that the Program Management Unit (PMU) will be able to take over SLEEK successfully, provided that the full capacity development and institutional strengthening plans are fully implemented.

- NEMA would support an extension to the program if this is needed to close off the deliverables properly – this is usual for donor programs in Kenya as often programs are slow to start.

The MTR team's GHG specialist, Andrew Roy, has independently assessed the SLEEK program from a technical viewpoint and has also interviewed key people to assess their opinions on effectiveness of the technical approach being taken. Andrew Roy's information discovery and conclusions are contained in Appendix E and support the general assessment of the MTR team herein.

At the time of writing, if SLEEK were to wrap-up on schedule, that is end April 2016, CCI would need to begin actively closing down the program in under twelve months' time. If this were the case, and resources were largely focussed on the delivery of the main technical products – FLINT (the Full Land

Integration Tool)[4], the DSS and associated Apps – the target schedules for these deliverable could potentially be met. However, what would suffer as a result is the orderly capacity building of PMU staff[5] and institutional building of NEMA and other government agencies (at Central and County level) for which the use of Apps would add value to their land management function and capability.

It is the MTR team's view that SLEEK needs to be seen metaphorically as a three lane highway to the chosen destination – traffic in all three lanes needs to reach the endpoint for the journey to be successful (see Figure 2 following). In lane one, the delivery of technical products, FLINT and a DSS and associated Apps, is relatively confinable and can be delivered by a competent team within a reasonable timeframe regardless of external factors. Concurrently in lane two, Kenya-specific data needs to be captured and fed into the database by the GoK EWGs. Currently, SLEEK is being developed and trialled with realistic, but generic, pilot data only. In lane three, SLEEK also needs to be seen as a Capacity Development program for institutions, and individuals within those institutions. In this dimension, the absorptive capacity of the institutions and individuals should rightly determine (or at least significantly influence) the journey, and hence the schedule for delivery.

Due to a number of factors, both within and beyond the control of CCI, the establishment of the PMU is lagging. If full control was to be confidently handed over to the PMU within a year from the MTR, say by April 2016, the PMU would already be well established and functioning and progressively taking over roles and responsibilities. As it stands, the first formal steps towards recruiting PMU staff was an advertisement placed for three positions on Friday 17th April (see Appendix F). Further, a specific budget allocation for the PMU, a physical location and associated fit-out were still in the planning stages while the MTR was in-country. Subsequently however, good progress has been made and as at end July, 2015 some staff appointments had been made. The achievement of a well-functioning PMU is a critical milestone for the capacity building and institutional strengthening programs as neither can start effectively until staff are hired and effective, and a physical presence (including GoK budget support and associated legislative recognition) is established.

Figure 2: Key enablers and barriers

	Barriers	Enablers
Lane One Delivery of Technical Products	· Optimal stopping points unclear, i.e. knowing when the benefit / cost ratio of further system refinement is diminishing · Requirement for robust Quality Assurance of systems before handover	· Continued CCI technical support in focussed problem areas
Lane Two Data capture, and	· EWGs ability to prioritise SLEEK data collection versus other work demands	· Well supported and functional EWGs · An extension of time

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[4] Quarterly Report 8 notes that 'The first working version of the FLINT (alpha version) has now been developed, and is able to track carbon through pools. The FLINT has been tested with a number of models to be used in SLEEK. The FLINT can now run Growth and Turnover, Debris and Roth-C models. A portal for the Roth-C model has been developed, which will allow the GoK to enter data into the model easily. Finally, the SLEEK website is now hosted on the GoK server. This site will continue to be updated by the GoK and CCI.'

[5] Assuming that the PMU recruitment and establishment process moves ahead expeditiously. The MTR notes that the advertisement for PMU staff (Appendix F) is silent on a possible start date. PS: the MTR is advised, as at 23 July, that some initial appointments have already been made including; Ms. Winnie Musila (PMU Coordinator) and Ms. Peris Kimani (ICT Coordinator) with the appointment of the M&E Coordinator to follow shortly.

	Barriers	Enablers
populate the database	· Optimal stopping points unclear, i.e. knowing when the benefit/cost ratio of further data collection is diminishing	· CCI technical support in focussed problem areas
Lane Three Capacity Building	· Delayed establishment of the PMU · Tight timeframes challenging CCI's capacity to deliver and GoK's absorptive capacity given other priorities	· An extension of time allowing a more ordered approach · An agreed handover plan with firm milestone dates, and final handover three months ahead of CCI's contract end date with provision for technical support in the transition · Fully staffed and functioning PMU supported by a high-level PSC · Systems and procedures well documented and training provided · Training of trainers · Robust M&E system picking up on potential problems before they impact the schedule

In assessing a score for effectiveness, the MTR concludes that it would be unfair to the efforts and commitment of all stakeholders to score this outcome as less than satisfactory. Most probably, the design of SLEEK was always ambitious in regards to the capacity development aspects, especially considering that few (if any) of the government stakeholders have the ability to commit all their time and focus to SLEEK[6]. Their functions and roles within their agencies is ongoing and direct financial support from SLEEK is focussed on specific procurement (not extra staff costs) and reimbursement of direct meeting and travel costs. Further, it is recognised that SLEEK had a slower than planned for start-up and has been functioning during a period in which GoK has undergone a number of significant restructures resulting in the partial reallocation of roles and responsibilities which were pivotal to the capacity development goals of the Program. Accordingly, the MTR scored Effectiveness against two distinct criteria.

Score	Comments
5/6 highly effective	In the approach to developing technical products (FLINT and the DSS), and in the establishment of the EWGs and the support provided to them, SLEEK should score 5/6 – highly effective. The technical team, on realising that the initial expectation of using Australia's FullCAM or a modified version of it was not going to work, took the correct approach. Rather than try to make FullCAM fit for purpose in Kenya, which would have always been a compromise, they set about creating a new and highly purpose built tool, that is, FLINT. Progressively, Apps are also being considered, planned for and within the order of priorities, developed. In parallel, the EWG structure and working protocols should be seen as highly effective, and to some

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[6] Notwithstanding, existing staff roles and responsibilities have been modified to accommodate SLEEK. Further, this should change when the PMU is fully staffed.

	extent pioneering, in that the level of inter-agency cooperation being developed is not always the norm.
4/6 effective	In regards to SLEEK's capacity development goals, which are fundamental to the sustainability of the Program, the MTR scores this at 4/6 – effective, with the proviso that an extension is granted and/or a fast-tracked Capacity Development Program is implemented through to the end of the Program. Without such changes to the current program, the effectiveness of Capacity Development is uncertain.

2.3   Efficiency

2.3.1   Explanation

To determine whether the activity was managed to get the most out of the inputs of funds, staff and other resources, including continual management of risks.

Performance Achievement Statement:

- The operational and maintenance costs of SLEEK are as low as possible.

- The Program was resourced adequately.

- The Program used its inputs (staff, equipment, budget) optimally.

- The Program adapted swiftly to deal with implementation challenges.

- Communication between Program counterparts was effective.

- The Program engaged all relevant stakeholders to an appropriate level.

- Financial management was high quality, accountable and transparent.

2.3.2   MTR findings and score

The MTR bases its findings and opinions on observations in the field and on the CCI Second Annual Financial Report to DoE dated 30 April 2015.[7] It should be noted that the MTR has not reviewed the contract between DoE and CCI, and therefore the following observations relate more to what is standard best practice in the management of international development programs rather than what is required of CCI under its contract. If required, the MTR team can provide an opinion on the financial reporting requirements of CCI under the contract, but at this point it is probably more

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[7] The MTR notes that CCI's CFO has offered to provide more detail if requested by DoE. PS: The MTR was subsequently advised, in July 2015, that CCI has now provided a substantially more detailed financial report to DoE.

relevant to comment generally on industry norms. Given the wide range of performance achievement targets under this heading, it is appropriate to consider them one-by-one.

The operational and maintenance costs of SLEEK are as low as possible – the MTR was only able to form a preliminary opinion based on the level of information provided in the Financial Report. Notwithstanding, some overall observations would indicate areas for clarification. Firstly, in the overall program budget, Management and Administration accounts for approximately 20.5% of the overall program budget. But without a breakdown into line items, it is not possible to comment on the efficiency of CCI's program management and administration as this broad budget item could potentially cover a very wide range of activities. It is therefore recommended that DoE requests further detail. Secondly, it is noted that line item budgets are not being treated as separate accounting entities; there are large underspends against some line items, for example, Consultants and Subcontracts, and major overspends against others, for example, Travel and Conferences/Meetings. Thirdly, one line item, Consultants and Subcontracts, accounts for some 64% of the total Program budget less contingencies. Ideally this line item, amongst others, would have been further broken down to assist project financial tracking and budget management.

The Program was resourced adequately – the significant underspend against budget to end Year 2, and the forecast underspend by end Year 3 would indicate that the Program budget was adequate and perhaps even overfunded. That said, the lack of reporting detail makes it difficult to comment more specifically.

The Program used its inputs (staff, equipment, budget) optimally – from observations in the field there was nothing to suggest that this is not the case. The levels of CCI staff and consultants, office setup and equipment and expenditure protocols all appeared satisfactory. As mentioned however, the MTR was unable to support this opinion from the Financial Report because of the lack of detail provided.

The Program adapted swiftly to deal with implementation challenges – there is strong evidence to indicate that CCI and the Program overall has adapted and been flexible in a changing environment. An example of this is the adaptation apparent when it was realised that Australia's FullCAM could not adequately be adapted for use in Kenya[8]. In this instance, the technical team, on realising that the initial expectation of using Australia's FullCAM or a modified version of it was not going to work, took the correct approach. Rather than try to make FullCAM fit for purpose in Kenya, which would have always been a compromise, they set about creating a new and highly purpose built tool, that is, FLINT. There is also evidence to show that SLEEK has adapted to a rapidly changing political (and concomitant machinery of government) environment.

Communication between Program counterparts was effective – significant anecdotal evidence was presented to the MTR to indicate that CCI has managed this aspect very well. Both the SLEEK Interim Coordinator and the representatives from NEMA commented favourably on CCI's management of stakeholder engagement, and the way that SLEEK has encouraged inter-departmental working groups and approaches. This was corroborated by various stakeholders met at the 8th quarterly meeting.

The Program engaged all relevant stakeholders to an appropriate level – as noted above, stakeholder engagement within SLEEK has been well managed and there was nothing to indicate to the MTR that the level of engagement has been anything other than appropriate. CCI has access to very senior

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[8] See also Appendix E

levels of government when needed, and good working relationships were observed at all levels at the 8th quarterly meeting and in subsequent meetings in Nairobi.

Financial management was high quality, accountable and transparent - from observations in the field there was nothing to suggest that this is not the case, however the MTR was unable to support this opinion from the Financial Report due to the way it is set out and the low level of detail provided. Accordingly, more detail was requested by DoE and as previously noted, this was supplied in late July 2015. The MTR notes that some line item budgets were broken down (to a limited extent) in the PDD budget. It would be a reasonable expectation that financial reporting was against these detailed breakdowns of line item budgets at the very minimum.

Specific concerns also surround: the inclusion of a GST component; the way that reporting in USD and AUD is confused and inconsistent; the Program Manager (Molly Bartlett) not counter-signing the Financial Report (since rectified); and most critically the lack of any detail on expenditure items and accounting for overspends on some line items. Further, without explanation, the Year 3 budget is uncertain given the previous history of over- and under-spending shown in Years 1 and 2. As it stands, the Year 3 budget, if achieved, would leave approximately A$1.27m unspent. This would indicate that a no-cost extension of maximum 6 months would be justified. However, based on experience from Years 1 and 2, it is possible that the Year 3 budget is ambitious, or that it could be more efficiently spent if spread over a longer period of time. In discussion with CCI's Office and Operations Manager, it became apparent that the financial threshold for the Nairobi office is very low and that her main function is to assemble and pass onto head office, all significant accounts for payment. This suggests that any request for further information or discussion regarding financial reporting formats should be directed to CCI's head office.

Score	Comments
5/6 highly efficient	From an operational perspective and when assessed for achievements in communications, stakeholder engagement, and response to implementation challenges, SLEEK is scored highly efficient.
3/6 borderline	The financial reporting provided to the MTR was assessed as borderline as it did not support the observations made in the field that SLEEK had all the appearances of a well-functioning and efficiently run project. It is understood that subsequently provided financial reports are significantly improved and that DoE and CCI have the intention of entering into discussions to formalise both parties' expectations and standards for subsequent financial reporting.

2.4   Impact

2.4.1   Explanation

To determine whether the activity has produced positive or negative changes (directly or indirectly, intended or unintended).

Performance Achievement Statement:

SLEEK is making a measurable contribution to socio-economic development and a healthy environment for the women and men of Kenya. (Use of case-studies to measure the (potential) impact).

2.4.2 MTR findings and score

It is still too early to assess impact overall for FLINT and the DSS as both these technical products are in developmental stages, but the early indications are positive and it could be anticipated that the impact would be high. FLINT has recently been demonstrated running a realistic test data set and the model's performance and output were both impressive. The developers of FLINT have incorporated rigorous quality assurance processes and there is every reason to be confident that SLEEK's technical products can make a significant and measurable contribution to the well-being of Kenyans generally, and Kenya's natural environment specifically.

For FLINT, what is required now are comprehensive, robust and up-to-date, official GoK data. Progressively now, the EWGs will supply this information. It was made very clear at the 8th Quarterly Meeting that regardless of how good FLINT is as an emissions estimation tool, it needs quality data to produce quality results. Hence, correctly in the view of the MTR, the emphasis is being put on the collection of quality data rather fast-tracking the process to meet milestones. This, in itself, is having a positive impact and it is leading to changes in the 'old ways that things have been done'.

More immediately, the EWG process that SLEEK is supporting has had a positive impact on cross-ministry and inter-departmental working arrangements, and it has forced government departments to consider and debate the thorny issue of data ownership and control. This issue is raised and discussed at all recent quarterly meetings. GoK's plans for presenting on SLEEK at the Paris COP are also having a positive impact.

Impact potential is also thought to be high for the series of Apps being proposed as part of the DSS. Judging by the demand for App development, many stakeholders can already see the positive impact that the SLEEK database can provide beyond its abilities as a GHG emissions estimation tool. To illustrate this point, Appendix G Deliverable 20, Quarterly Report 8, begins; 'While SLEEK is a system for estimating land-based emissions, the databases necessary to calculate these estimates can be used for various other applications. Some of these applications include crop suitability analysis, weather index based insurance, forest monitoring, among others. This document focuses on the National Forest Tracker as one of the potential SLEEK applications.' Appendix Deliverable 20 is attached as MTR report Appendix G.

Impact Score	Comments
4/6 Effective	The MTR has allocated an Impact score of 4/6 Effective. It should be noted that this score is likely to move to 5/6 or even 6/6 as the main technical products from SLEEK come online and begin to be widely used. That is, potential impact is very high.

2.5 Sustainability

2.5.1 Explanation

To determine whether the activity has appropriately addressed sustainability so that the benefits of the activity will continue after funding has ceased, with due account of partner government systems, stakeholder ownership and the phase-out strategy.

Performance Achievement Statement:

- The GoK considers the operational and maintenance cost of SLEEK (including the DSS) good value compared to the value created by SLEEK.

- The composition and management of the operating panels can be taken over by GoK.

- The GoK is on track to run SLEEK using its own resources (staff and budget) only by the end of the Program.

2.5.2 MTR findings and score

It is too early to assess the Sustainability criteria for the SLEEK program overall, however it is pertinent to observe that if SLEEK is to be wrapped up as per the current schedule, its sustainability is questionable unless specific and urgent measures are taken to fast-track capacity development. Accordingly, scores are provided for both the current, and with contract extension, scenarios.

Considering each of the assessment criteria in turn;

The GoK considers the operational and maintenance cost of SLEEK (including the DSS) good value compared to the value created by SLEEK – there are currently good indications that this will be the case, but it is too early to make an informed judgement. However, the MTR was advised that government processes are in place to create a budget line for the operation and maintenance of SLEEK in forward estimates for the 2015/16 FY.[9]

The composition and management of the operating panels can be taken over by GoK – again, it is still too early to assess GoK's ability and readiness to take over, however it should be noted that active steps are being taken to establish the PMU and that there is a reasonable expectation (given adequate time) that the PMU and EWGs will be capable of and resourced to take over the operation and further development of SLEEK from CCI. Importantly, steps have recently been taken to recruit a sub-consultant to specifically focus on documenting SLEEK's technical and operational decisions and processes, and develop user manuals and training materials. Terms of Reference for this position are attached as Appendix H. Also giving confidence in this assessment is the widely representative PSC that has already been established, and by all accounts is highly functional and responsive to the needs/priorities of the project.

The GoK is on track to run SLEEK using its own resources (staff and budget) only by the end of the Program - if the end of the Program is April 2016, the answer to this question remains unclear. However, if more time is allowed, and active steps are taken now by GoK and CCI to prioritise capacity development, then there is a good probability that GoK will be in a solid position to take over the running of SLEEK from its own resources.

Score	Comments
3/6 Borderline	Under the scenario that the contract with CCI is not extended, the MTR has allocated a Sustainability score of 3/6 – Borderline. That is, unless a Capacity Development program is fast-tracked, there is a high probability that GoK will not be 'ideally' placed to take over SLEEK on 1 May, 2016.
5/6 Highly sustainable	If an extension is granted and capacity development is prioritised by both GoK and CCI, then there is a reasonably high expectation that the handover of SLEEK will be made to a well-functioning and well-resourced PMU and that with support from a high level PSC, GoK will be well positioned to maintain and further build the SLEEK initiative. Under this scenario SLEEK should be highly sustainable.

[9] In this regard the MTR notes that a representative from GoK Treasury spoke at the 7th Quarterly Meeting on the process required for establishing such budget lines.

2.6 Gender Equality and Safeguards

2.6.1 Explanation

To determine whether the activity advanced gender equality and promoted women (considering the four dimensions of gender equality: access, decision-making, women's rights, capacity-building). Verify whether safeguards are properly managed.

Performance Achievement Statement:

- Women in rural areas benefit more than other groups from SLEEK outcomes

- Women have a voice in SLEEK decision-making and leadership

- For all safeguards, policies, guidelines and systems are in place and all stakeholders are aware of the policies and know how to use the systems.

2.6.2 MTR findings and score

CCI have developed a detailed safeguards policy for SLEEK covering integrity management (fraud), child protection, gender equity, disability inclusive development, resettlement and displacement, and environment. An opportunity is taken at each quarterly meeting to remind stakeholders of the policy and the importance of following it, to outline the policy for reporting incidents (with a procedure for whistle blower protection in place) and report incidents, if any. The MTR was present during the safeguards session at the 8th Quarterly Meeting and was impressed by the thoroughness of the presentation and level of engagement of stakeholders. On questioning, assurances were also provided that all safeguards policies and procedures were harmonised with Kenyan law.

Specifically on the assessment criteria;

Women in rural areas benefit more than other groups from SLEEK outcomes – the MTR reads this assessment criteria as meaning that SLEEK does not just remove hindrances to rural women's participation and benefit from SLEEK, but actively promotes it. In that regard it is probably still too early to make an assessment on this point as the main opportunity to actively promote the interests of rural women will be in the prioritisation of Apps that are immediately beneficial to women. However, there is strong anecdotal evidence that SLEEK already has an appreciation of gender specific roles of rural women in Kenya, and there is evidence that the DSS can be targeted at producing gender specific Apps. An example is found at Appendix I, from Quarterly Report 5. The Crop Suitability App Integrated into Mobile Phone based Extension Services for Small-holder Farmers (where the planned benefit to women outweighs the benefit to men).

Women have a voice in SLEEK decision making and leadership – the MTR had the opportunity to witness first-hand the strong participation of women at the 8th Quarterly Meeting. It was evident there that women have taken on senior roles within SLEEK and that their voice is heard and positions are respected. The same could be said for CCI where a number of women are in senior management roles. Further evidence of the strong role of women can be gained by their presence as authors of, or contributors to, SLEEK documentation.

For all safeguards, policies, guidelines and systems are in place and all stakeholders are aware of the policies and know how to use the systems – the MTR has reviewed the SLEEK Safeguards Policy document (version 01, March 2014) and found the policy to be relevant, comprehensive and practical. The scheduling of a safeguards presentation at each quarterly meeting shows good intent and provides evidence that this is a dynamic set of procedures which CCI intends to keep current and enforce. To guarantee the sustainability of the Program's safeguards however, the Capacity

Development program needs to make certain that GoK departments, agencies and the PMU are adequately trained and equipped to ensure that the same high level of attention is provided to safeguard policies and enforcement after handover.

Score	Comments
5/6 Highly efficient	In recognition of the robust policy document for safeguards, the processes for keeping this current and in people's minds, and the strong observed presence and role of women, the MTR has scored SLEEK at 5/6 for Gender Equality and Safeguards. Notwithstanding, CCI needs to ensure that the Capacity Development program equips GoK to maintain this high level of attention to safeguards' policy and enforcement.

2.7 Monitoring and Evaluation

2.7.1 Explanation

To determine whether the activity's monitoring and evaluation system effectively measures progress towards meeting objectives.

Performance Achievement Statement:

The Program's M&E system is in line with the evaluation principles explained in the SLEEK Program Design Document: appropriateness, integration, and advocacy.

2.7.2 MTR findings and score

The Program Design Document, and the Program Management Manual provided in Quarterly Report 1 outlined the elements of the M&E framework that would guide the Program. These included summarising the Goals and Objectives of the Program, the three guiding principles as highlighted above, as well as the expected Monitoring of immediate outcomes and impacts.   The overall framework was refined over the first few months of the Program. It is sound, appropriate and reflects the needs of the Program. The emphasis on the three principles of appropriateness, integration, and advocacy remain core to the overall approach. Both M&E elements were described and remain appropriate. The emphasis on integrating M&E into ongoing activities is supported by the MTR team.

The key management aspects of the Program that needed *monitoring* were identified as:

- Planning and Budgeting;
- Reporting and Monitoring; and
- Continuous Quality Control.

In reviewing the Quarterly Reports it was evident that the free web-based planning software *Project Libre,* which was initially introduced to the program, proved to be a useful tool for a number of GOK stakeholders. The reporting was built into regular operations, and enabled each agency to immediately report on a deliverable, the PSC to review the overall program timing and compare expected to actual progress, and identify those deliverables that relied on other deliverables. The response to the discipline and structure that this software provided was positive, resulting in an improved capacity to plan and manage the review of program activities. However, while this software suited the needs of some stakeholders it was more complex than required for other

stakeholders. As a result, it was decided early in 2015 to shift program monitoring away from Project Libre to the use of an Excel spreadsheet that suited everyone's needs, and in which weekly deliverables are still identified and tracked. Through discussions it was confirmed that the identification of weekly activities provided the necessary discipline and motivation to manage and track progress, without putting unnecessary burden on users. Overall progress is then reviewed in more detail on a quarterly basis to ensure that any constraints and barriers to progress have been addressed. This approach is in alignment with the principle of appropriateness and integration and emphasises that the M&E 'system should operate as invisibly as possible'[10]. This objective seems to have been achieved.

That said, one area of Program monitoring which the team identified as needing some improvement was the detailed work break down structure needed to communicate/report program status more readily to external stakeholders such as DoE. The MTR Team Leader has provided CCI with a sample workplan template which would support this activity and enable more detailed monitoring and reporting at this higher level.

It can be garnered from the Quarterly Reports and discussions that the monitoring of Program progress is appropriate to the needs of the Program and for GoK[11]. Quality control aspects of the program are provided through peer review by external experts[12], sourced from authorised international bodies where required. The Quarterly Reports themselves also support the ongoing monitoring of Program progress, providing regular summaries of the different aspects of the Program and how they interface with each other. However, in reviewing the Quarterly Reports, it was evident that improved format consistency and quality assurance would improve their utility, and the MTR and CCI have already identified steps which would improve both their quality and value as a progress reporting tool.

In summary, the overall structure of the monitoring approach is appropriate, but with some minor improvements program monitoring would be significantly strengthened and be able to provide more timely reporting.

The *evaluation* framework is aimed at assessing the performance of the Program and tracks the effectiveness and quality of the outcomes and impacts that are being achieved. The tools that are being used are appropriate and provide regular input to the PSC, GoK, and the GoA. The questions that are outlined in the framework for each of the tools (Ad-hoc Evaluations, Scheduled Evaluations, Outcome Evaluation and the Impact Evaluation) are appropriately targeted and address the key success factors. The use of case studies to demonstrate how the Program is contributing to 'women and men in rural areas deriving social and economic benefits from sustainable land and resource management' is an acceptable approach. Over the latter stages of the program the development of these case studies should provide insights and lessons on the benefits of the program and the potential for long term impacts.

The one area that the MTR considers could be strengthened is the inclusion of tools which assist in the communication of the outcomes and impact of the Program. From material reviewed it appears

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[10] SLEEK Fourth Quarterly Report, page 19

[11] It is noted that budgeting and financial reporting are treated separately in this MTR, and the financial reporting of the Program expenditure is described in a different section.

[12] This includes a formal Expert Advisory Panel and ad hoc access to leading technical specialists as required. A recent example would include the inputs by Australian scientist Dr Bill Slattery who reviewed all crop protocols for fieldwork and has reviewed all equipment for the crop and soil fieldwork. This has ensured that SLEEK is using robust methods and equipment that will meet the expectations of the international scientific community.

that most of the evaluations are based on the written word. While that is one approach, it would be both useful and informative to develop illustrations, diagrams or tables which summarise how the different elements of the Program interact and communicate the relative progress of each of these elements. One such example is to integrate/embed an evidence based tool into implementation such as "Scorecards" which record objective assessments of different stakeholders regarding an issue/component, and enable different perspectives to be resolved. Network diagrams which incorporate different progress ratings are another option. Use of these evaluation tools provides a clear summary of the different elements of SLEEK and enables stakeholders to understand how their component contributes to the overall Program. In particular it will enable GoK to understand the importance of ensuring Program components such as capacity building are essential to the long term impact of the Program. The MTR and CCI held a WebEx seminar on 11 June 2015 to discuss these recommendations, and to share lessons learned on a recent evaluation project undertaken by GHD in Papua New Guinea in which a convergent parallel design was devised to incorporate data input from both quantitative and qualitative sources. CCI saw the benefits of these approaches and how they could be adapted to improve the discussions and communication of progress. As discussed with CCI, in preparing such tools it is important that they are used to guide progress and highlight the need to have multiple components of the program progressing in parallel. Different components may be at different stages so it is important that these tools are not used as a criticism of progress, but rather to illustrate the interactive nature of the program and the need to have a range of deliverables occurring at appropriate times over the life of the program. The CCI Team is planning on exploring the use of these tools and will liaise with the MTR M&E Adviser on their initial ideas.

Score	Comments
5/6 Highly efficient	The MTR has scored SLEEK at 5/6 for Monitoring and Evaluation based on the principles of appropriateness, integration, and advocacy as outlined in the SLEEK Program Design Document. Minor improvements would strengthen the ability to communicate the progress of the Program as well as contribute to an improved understanding by GoK, and the Program Team.

2.8   Analysis and Learning

2.8.1   Explanation

To determine whether the activity was based on sound technical analysis and continuous learning.

Performance Achievement Statement:

- SLEEK is improved through continuous learning.

- Mechanisms for continuous learning remain effective after the completion of the Program.

2.8.2   MTR findings and score

There is strong evidence to indicate that CCI and the Program overall has undertaken, and continues to undertake, an appropriate level of technical analysis. An example of this is the technical analysis apparent when it was realised that Australia's FullCAM could not adequately be adapted for use in Kenya. In this instance the technical team set about researching and creating a new and highly purpose built tool, that is, FLINT. Further evidence is apparent in the composition of and breadth of skills and experience represented by the Expert Advisory Panel which comprises leading edge technical specialists from around the world.

In respect to continuous learning, each of the Performance Criterion is considered separately as follows:

SLEEK is improved through continuous learning - The MTR is satisfied that GoK staff are benefitting appropriately from SLEEK funded learning experiences. Examples include the attendance by three national specialists from the Forests EWG at a training course in the use and operation of forest growth curves (the Carbon Budget Model) provided by the Canadian Forest Service; the attendance at the Global Forest Observations Initiative Component Meetings in Sydney in March 2015; a week long training course provided for the Crops EWG in the WOFOST model at Wageningen University in the Netherlands; and training being provided to the Climate EWG by a specialist from the Australian National University (ANU) in the use and application of ANUSplin (an interpolation tool developed by ANU).

Mechanisms for continuous learning remain effective after the completion of the Program - It is still too early to assess whether or not mechanisms for continuous learning will remain with SLEEK once it is taken over by GoK, however it is encouraging to note that the Terms of Reference for the recently recruited Documentation and Training Specialist (Appendix H) contain significant training inputs. It is here that the opportunity presents to ensure that continuous learning processes are built into the documentation and user manuals being developed for SLEEK. Importantly, continuous learning processes need to be built into the SLEEK handover plan when it is developed as part of the Capacity Development program.

Score	Comments
5/6 Highly efficient	The MTR scores SLEEK at 5/6 for Analysis and Learning. There is strong evidence to show that SLEEK's principal scientists are world-class experts in their respective fields, and that attendance at technical, training and MRV program meetings is being appropriately budgeted for GoK staff.

2.9 Risk Management

2.9.1 Explanation

How is risk being managed? Is risk documentation regularly updated? Has the risk profile changed since the last assessment? Are risk identification and risk mitigation strategies appropriate for the Program?

2.9.2 MTR findings and score

As mentioned in Section 2.6, SLEEK has developed a robust safeguards policy and strategy which forms a significant component of CCI's risk management approach. This is a comprehensive and well implemented risk management program which targets key risk areas including; fraud, gender related risks, disability inclusiveness, resettlement and displacement, and risks to the environment. Additionally, SLEEK has developed a Program Management Manual (PMM) and an Office Operations Manual (OOM) both of which contain elements dealing with risk identification and mitigation.

The MTR Team Leader found that for the risks identified, CCI's mitigation strategies were appropriate, however there were major areas of program risk not identified, and hence not managed. The major risk area not covered was Health and Safety (H&S) of SLEEK program staff, GoK staff, consultants and visitors (which would include DoE staff while in-country). As there was no evidence of a H&S risk identification exercise having been undertaken, the MTR Team Leader arranged for this to be done with key CCI staff in the form of an in-house H&S risk workshop. This

exercise identified a number of key risk areas, not the least of which is transporting CCI and GoK staff and visitors to out-of-town quarterly meetings. CCI management agreed, following this workshop, that the Risk Identification and Management component of the PMM would be upgraded to include H&S risks and their mitigation.

At the program level, scope creep remains another risk that, if not managed, could derail SLEEK's capacity development program which is fundamental to the Program's sustainability. The PDD contains mention of, and a budget for, extension of the SLEEK program to other countries within the East African Community (EAC), see Box 3 following:

Box 3
Replication
Strong potential exists for SLEEK to be a model in the East African community (EAC) and other sub-Saharan African countries. Kenya's land related problems and priorities are representative of those of other EAC countries. A continuation of Australia's and CCI's engagement in the other four EAC countries will enable them to learn from Kenya's SLEEK experience and discuss regional cooperation that may lead to increases in efficiency and reduced cost. The methods used by Kenya for remote sensing analysis, may prove particularly useful across the region.
The DSS system will be designed as a shell that will be able to incorporate data from a variety of different sources. This will make it readily adaptable for use in other countries in the region and elsewhere.
In the PDD budget, a total of USD288,000 was allocated for this purpose over three years, i.e. USD96,000 per year.

At current exchange rates, by end Yr 2 of the Program, this would indicate that some USD150,000 might have been allocated to the extension of SLEEK within the EAC. It is not possible to track current expenditure against this budget line within the Second Annual Financial Report, however the MTR suggests that DoE obtains this estimate as a means of tracking the level of effort allocated to this activity to ensure it remains within scope. Further, the MTR notes that CCI management is actively engaged in the extension of SLEEK more widely, for example, to meetings in Bangkok and Peru, and the planned SLEEK presentation at the Paris COP. It is unclear as to which budget line is funding this 'outside EAC' extension activity, the MTR therefore recommends that CCI and DOE formalise their agreement in this regard.

The MTR specifically mentions this example, amongst others[13], of possible distractions to the single most important activity for the remainder of the Program (whether or not SLEEK is extended), that is, capacity development of individuals and institutions. GoK has a big job to take on in assuming the management and maintenance of SLEEK, and while extension of the program to EAC and beyond is undoubtedly important, it is not critical to GoK and should not be allowed to risk the overall Program's sustainability.

Score	Comments

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[13] The other major potential area for scope creep is in the development of Apps. This issue is dealt with in detail in Section 3 following.

3/6 Borderline	For Risk Management overall, the MTR scores SLEEK at 3/6 – Borderline. This is due largely to the failure to incorporate Health and Safety as a risk factor. CCI has agreed to amend their risk management approach accordingly, and when there is evidence of this having been done, the score can be lifted to 4/6 – Effective. The MTR is reluctant to score this criterion higher as there is no evidence of a 'Plan B' in the event that SLEEK is not granted an extension of time – best practice risk management would already be considering this possibility and planning a work-around strategy.

2.10 Innovation and Private Sector

2.10.1 Explanation

Is SLEEK trialling new or innovative aid delivery mechanisms or M&E approaches? Is SLEEK collaborating with the private sector (other than through standard managing contractor arrangements)? Is SLEEK trialling new technologies that can be scaled up, or which offer potential for cost efficiencies? Could the project contribute positively to growth of the private sector? Note: This criterion is not scored.

2.10.2 MTR findings

Probably more so than most development assistance programs in this sector, SLEEK is very definitely trialling new and innovative technologies which have the potential for upscaling across many geographical regions where land-based GHG emissions are an important part of a country's carbon accounts. The extension of SLEEK to other countries in the EAC (and beyond) is indicative of this potential. Further, as voluntary (and or compulsory) carbon markets gain momentum, and as REDD+ increases its profile in these markets, the value (even if not measured in monetary terms) of systems/tools like SLEEK will increase dramatically.

In the opinion of the MTR there is also the potential to engage with the private sector in Kenya, and elsewhere if the systems and tools are taken up more widely, in the development and sale of Apps. In the long term, carbon accounting will always be a function of government, but this does not necessarily extend to the DSS being developed as an adjunct to SLEEK. Progressive governments could trial public private partnership (PPP) approaches to the development of Apps. This would have many advantages as eventually, if such Apps are to be valued, they probably should be purchased on commercial terms (even if subsidised through PPP mechanisms to begin). The participation of the private sector in the development and marketing of Apps building off the SLEEK databases are numerous, to name a few:

- App development would be more likely to respond to market demand, as it stands now, the prioritisation of App development could fall victim to 'pet project status';

- App development would be fast-tracked if there was a profit to be made, and eventually, if these Apps are to be valued by end users, their sale in a commercial market is probably unavoidable;

- the private sector has incentives to be innovative which may not be as strong in the public sector.

2.11 Important Gaps

2.11.1 Explanation

Identification of gaps in SLEEK programs that are important in delivering the outputs of the program but have not yet been planned or addressed.

Performance Achievement Statement:

It is not possible to provide an achievement statement for "gaps" but the MTR will use the evaluation questions used by the Strategic Advisory Group (SAG) to identify gaps and opportunities.

2.11.2 MTR Findings

This criterion, which was contained in the Quarterly Report 1 outline for the MTR is covered in Section 3 following. As this is not an assessment criterion, no score has been allocated.

3. Areas for improvement and remaining tasks

3.1 Areas for improvement (or modification to meet changing program circumstances)

- Better define and draw boundaries around the DSS (specifically the Apps development program) and manage the potential for scope creep – as it stands, the potential for developing useful Apps is somewhat unlimited, but neither the time nor budget for SLEEK shares this horizon.

- Scope creep could distract CCI's ability to fulfil sustainability needs if the program is not extended (and even if it is extended, unless add-on activity is firmly managed).

- Recognition of GoA inputs and role needs to be more consistent – as one example, the advertisement placed by CCI on Friday 17th April for staffing the PMU fails to recognise GoA's contribution. DoE and CCI should formally agree on the GoA requirements in this regard for the remainder of the Program.

- Financial reporting, as judged by the Second Annual Financial Report, is inadequate. This point has been addressed in detail at Section 2.3.

- Quality of progress reporting – the Quarterly Reports were inconsistent and lacked adequate quality assurance – CCI and the MTR agreed on steps which could be taken to improve this and there is already evidence that these recommendations have been taken up. Further, DoE has also commenced discussions with CCI to address this issue.

- Work planning and project management systems being used are adequate for scheduling and tracking activity, but not for reporting on same – the MTR has provided CCI with a workplan template which has proven useful for management and reporting progress to a range of donor clients.

- H&S management has been inadequate – CCI has undertaken to address this shortcoming with some urgency.

- International representation and extension to EAC (and beyond) – the MTR considers that the scope of this activity as described in the PDD, and the prominence attached to it by CCI are out of balance. Currently, this activity is the focus of substantial time and resources whereas the PDD envisages this as an important, but subsidiary, activity. A specific and trackable budget should be agreed for this activity going forward. Extending SLEEK to an international audience should not take priority over ensuring the sustainability of the Program in Kenya.

- An important consideration for GoA is the program risk inherent in having the GoK's coordinator appointed on an 'interim' basis for over 6 months at the time of the MTR (see Appendix C). There may not be much that can be done to change this, and it is probably outside of CCI's remit to tackle this if it is perceived as a problem. The potential risk comes from the possible appointment of a permanent coordinator who has different views to that of the interim coordinator, or who wishes to change course mid-stream.

3.2   Key remaining tasks

Major tasks only are noted here, or those with some ambiguity attached:

   I.   Complete FLINT development and trialling using pilot data.

   II.   Provide a high level of management support to the Documentation and Training specialist as this output is critical to a sustainable handover.

   III. Continue support to the EWGs and any other initiatives that support data capture and storage at all levels– this is an ongoing task which should, as soon as possible, reach a point where the best estimates of GHG emissions can be modelled using FLINT. Inherent in this activity is the need to further develop and formalise protocols for data sharing amongst departments, agencies and users.

   IV.   Prioritise capacity development at both the individual and organisational level – again this is an ongoing task which at some point will officially be handed over by CCI to government. Ideally, this handover would take place at least three months ahead of official close down. This would allow CCI to focus on closing out the project and act only in an advisory capacity in the final Quarter, stepping in to help GoK only on request. As a matter of priority, a handover plan should be developed for GoK and DoE approval.

   V.   As per the above recommendation, complete the DSS component for two Apps which show potential and provide a guide to other Apps which could be developed and the likely cost and process required.

   VI.   Apropos the further development of Apps, CCI could write a discussion paper on the potential for involvement of the private sector through a PPP approach and bring this potential to the attention of government and other key stakeholders. PPP is recommended because the role of government as custodian of the SLEEK database will not allow commercial enterprises to take over this function completely. See also section 2.10.2.

   VII. In order to strengthen the evaluation framework, tools such as "Scorecards" or "Network Diagrams" could be included which illustrate the interactive nature of Program elements, their progress and how they contribute to the overall Program objectives. These tools can be simply developed at this stage of the Program and provide a focus for discussions at quarterly meetings to track progress and impacts of the program. They can be included in the SAG Evaluations and do not need to be onerous on the implementation team. It is recommended that options to incorporate these evaluation tools into the Program be considered.

   VIII. Expend the agreed budget on extension to EAC (and beyond if this is agreed in a contract variation and a specific budget is established for the purpose) and leave further work to future projects – this quarantines all available budget and expertise to focus on capacity development for GoK.

# 4. Actions to be taken in the second half of the Program

4.1 MTR Recommendations

Recommended actions have already been noted in Sections 2 and 3 above, Section 4 and therefore acts as a checklist of key recommendations.

1) **Improve financial reporting** – CCI should be required to report against detailed (broken down) line item budgets. The level of detail contained in the PDD (for those line items showing some breakdown of expenditure items) would be an improvement over what is current practice, but even that may not meet GoA reporting requirements. The MTR would argue that it is also in CCI's best interests to report in detail and to track budgets against agreed line item budgets. Further, it is recommended that DoE should formally approve any movement of funds between line items before the event, not after the fact.

2) **Formalise a fast-track Capacity Development Program** – CCI should work with GoK to formalise current agreements regarding the Capacity Development Program and have this signed off by GoK and GoA. This would include a detailed workplan, budget and SLEEK handover plan.

3) **Improve the process for tracking and reporting progress**, especially as the capacity development phase moves into top gear. The quarterly reporting format is useful, but progress reporting needs to be at least monthly. The MTR provided CCI with a standard project work plan format which incorporates a reporting function. Completing the proposed work plan would firstly require a detailed task list to be compiled and agreed with DoE and GoK, A deliverable schedule would then need to be agreed for each task and the format of the deliverable described. Once agreed, any major variance to the work plan is normally formalised in a contract variation.

4) **M&E** to focus on what's working and what's not – quick solutions to the latter will be pivotal to success in the limited timeframe remaining. This will be particularly critical for the Capacity Development program which brings in a number of unknowns, not the least of which is the absorptive capacity of the individuals and institutions to benefit from capacity development. Use of evaluation tools such as 'Scorecards" and "Network Diagrams" are simple ways to improve the current M&E system which would assist in communicating progress, and emphasise those areas such as capacity building which are critical to long-term success of the Program.

5) **Maintain support to the Documentation Specialist as a priority activity** – prioritise the documentation of processes and systems, and the user manuals as these are all critical to a successful handover. Lock-in an agreed plan for training, and training of trainers as a sustainability measure – this can slip if it is not a priority of government at the time. If the nominated specialist for this position needs assistance, CCI should provide it as this is a key sustainability input and it is untried and untested as to the scope of the job ahead. There are already early signs that this process could be slowed by GoK response time. In the experience of the MTR Team Leader, if there is one deliverable that often runs over the schedule, it is this. It is further recommended that the Documentation Specialist aligns outputs with requirements of the PDD, and engages regularly (and early) with DoE to ensure consistency of approach and expectations.

6) **Limit the focus on developing Apps as part of SLEEK** – the MTR understands that for many GoK agencies (especially at the county level), the development of Apps using the SLEEK database is seen as potentially more useful than the GHG emissions estimation function. This is understandable in that Apps can respond to domestic market needs quickly, whereas, without a strong market for REDD+ projects, the main immediate use of SLEEK could be seen as focussed on meeting international reporting obligations. The MTR recommends that the development of Apps directly under SLEEK should be limited to perhaps two (or at maximum a few) demonstration Apps (ideally developed and trialled at the county level). Any more than this should be the subject of a separate follow-on project which analyses and prioritises Apps development and handover. The MTR strongly recommends looking into the involvement of the private sector through a PPP approach.

7) **Grant a no-cost extension of time** but use this as a means to tighten planning, reporting and budget management. The MTR would suggest a number of pre-conditions be negotiated as a contract variation before the granting of any extension. Two main options are considered:

   – Six months – such extra time would allow capacity development to run on GoK's terms and not swamp absorptive capacity, plus allow the phased and prioritised development of pilot Apps. This would appear to be the minimum given that SLEEK, for a variety of reasons, had a slow start and there are already signs that the Capacity Development Component is behind schedule for an April 2016 closedown.

   – One year – as per the six months extension option, but allows more time for the transition. It is important to note here that there are already expectations within GoK that a two year extension is possible.[14]

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[14] The MTR notes that the PMU advertisement placed by CCI on April 17th, 2015 states that SLEEK will run for another two years.

Appendices

Appendix A – The MTR Evaluation Plan

Appendix B – MTR Team Curricula vitae

Appendix C – Letter of Appointment: Interim Coordinator

Appendix D - Quotes from the Clinton Foundation Website on Relevance

Appendix E – Report from the MTR GHG technical specialist

Appendix F – Advertisement for PMU Staff

Appendix G – Deliverable 20, Quarterly Report8
Concept note for a National Forest Tracker

Appendix H – Terms of Reference for the Systems-Documentation and Training Specialist

Appendix I – App Development demonstrating positive Gender Equity for Women

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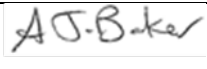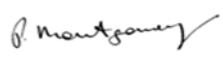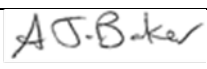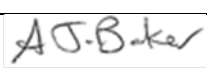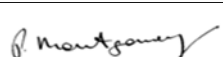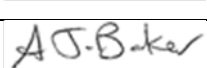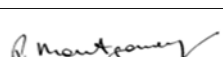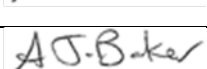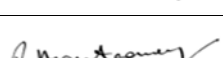
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