

# ***Darwin Initiative for the Survival of Species***

## ***Final Report*** (received 20 Jan 06)

<b>Project Reference No.</b>	<b>162/11/2004</b>
<b>Project title</b>	<b><i>Conserving Kenya's forests through certification of sustainably sourced woodcarvings</i></b>
<b>Country</b>	<b><i>Kenya</i></b>
<b>UK Contractor</b>	<b><i>WWF-UK</i></b>
<b>Partner Organisation (s)</b>	<b><i>WWF-East Africa Regional Programme Office (EARPO)</i></b>
<b>Darwin Grant Value</b>	<b><i>£ 172,600</i></b>
<b>Start/End date</b>	<b><i>April 2002 – March 2005</i></b>
<b>Project website</b>	
<b>Author(s), date</b>	<b><i>Dr Susanne Schmitt, August 2005</i></b>



## 1. Darwin Project Information

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## 2. Project Background/Rationale

At the beginning of this project (April 2002) Kenyan carvers predominantly used illegally logged hardwoods from Kenyan forest reserves or from Tanzania. The practice has been highly unsustainable, threatening both the livelihoods of carvers and their families, as well as significantly contributing to the loss of East African forests of global biodiversity importance.

This project has focused on working with two pilot co-operatives at the coast of Kenya. Akamba Handicraft Co-operative Society is based in Mombasa and has about 3000 members. Malindi Handicraft Co-operative Society is based in Malindi with approximately 500 members. We have worked with various partners to encourage carvers to shift to carving neem 'Good Wood', which is sustainably grown and harvested by coastal farmers. This will also provide additional income to these farmers, 60% of which are living in absolute poverty (Kwetu Baseline Livelihood Survey, 2003). Intensive farmers training has also been a major part of the project work.

To guarantee the environmental sustainability of the 'Good Wood' carvings to the consumer and to have the ability to access ethical crafts markets a major aim of the project has been to achieve Forest Stewardship Council (FSC) certification. The prospect of new markets and re-invigorating export markets has been an incentive for carvers to switch to Good Woods and participate in the certification scheme. To assist export market access, trade facilitation with UK and/or European importers/retailers has been another component of the project.

The issue of overexploitation of hardwoods and threat to Kenyan forests from woodcarving was originally identified as early as 1994/1995 by a colleague, Dr Tony Cunningham. Kenyan carvers have found it increasing difficulties to obtain the traditionally preferred timber species (*Dalbergia melanoxylon* & *Brachylaena huillensis*), which come from protected forests and woodlands. This was evidenced by decreasing log sizes, increasing prices and the need to import timber (mostly illegally from

Tanzania). Studies conducted include surveys of the impact of selective harvesting on natural habitats (Obunga, R. & G. Sigu 1996), surveys of wood quantities and pricing (Choge, S.K. 2000) as well as an assessment of farm-grown alternative species (Obara, A.O. et al.2003). In 1998, Kenyan carvers therefore developed a 20-year vision envisaging a shift towards farm-grown trees and a planting programme. In 2000, managers of Kenyan carving co-operatives committed themselves to this approach by adopting the Mbagathi Declaration. However, the message from the management did not trickle down to the average carver and in general carvers still had insufficient incentives to switch to Good Woods.

Certification was seen as a way to provide that incentive through market-led demand for ethically produced carvings. Certification, as a market-based tool, was also seen as a way to overcome the environment of policy failure of the forest administration at the time (i.e., lack of enforcement on illegal hardwood trade).

The commitment of WWF EARPO, as the primary host-country partner organisation has been unfaltering throughout the project. In fact, the Good Woods project has become an integral part of the overall programme of WWF EARPO and consolidation of this work will now be firmly imbedded in WWF EARPO's new East African Coastal Forest Programme, due to start in July 2005.

### 3. Project Summary

#### Purpose

Conservation of critical forest habitats in Kenya (Art. 8 CBD) by putting in place an incentive (Art. 11 CBD) to enable carvers shift from traditionally preferred forest hardwoods to farm-grown or plantation species, thereby providing for sustainable livelihoods for carvers and tree owners (Art. 10 CBD).

#### Outputs

- Certification of sustainably sourced carvings from two woodcarving cooperatives
- Increased general awareness about sustainable woodcarving and benefits of certification amongst carvers, tourists, exporters and importers.

See Appendix V for original log-frame with marked changes in bold. I am reporting against the revised log frame.

One change to the original objectives or the overall operational plan was made during the project period. Overall, the project evolved to become much more holistic through the involvement of Oxfam and partners. As a result, for example, much more focused, livelihood related work with farmers, and more business and market-orientated work with carvers, was conducted. More was achieved than originally anticipated therefore three new outputs have been added to the log frame (two on recommendation of the Year 2 reviewers)

#### **Changes to outputs (approved in 2004)**

**Only one woodcarving co-operative at the coast, the largest one, Akamba Handicraft Co-operative Society (c. 3000 carvers) will become FSC certified** . As reported in the 1<sup>st</sup> annual report (April 2003), Malindi Handicraft Co-operative Society was found to be in financial difficulties and not export ready, which is a prerequisite to certification. However, FSC certification consists of two separate parts, a tree management part for which a Forest Management certificate is issued and a chain of

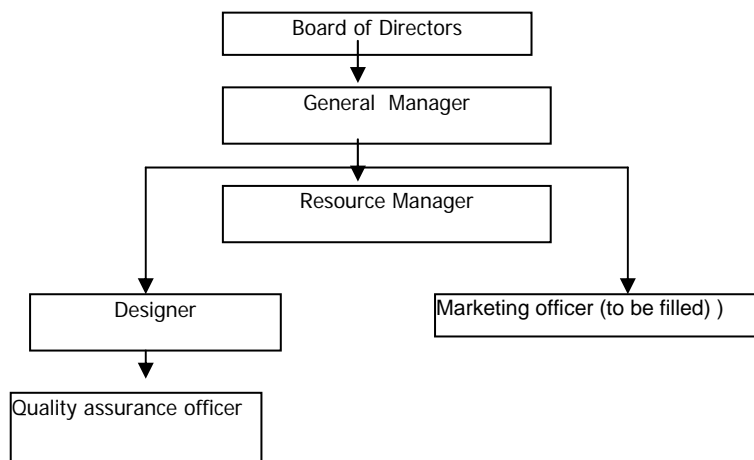
custody part (COC certificate), ensuring the traceability of the certified product through the production process.

In effect, **certification for the tree management (FSC Forest Management certificate) has been achieved for coastal farmers from all three districts** (in Malindi, Kilifi & Kwale District), **who were trained and subsequently registered for the scheme**. When stating that Malindi Co-operative was not certified that means that we only failed to achieve the Chain of Custody (COC) certificate for Malindi co-operative under this project.

Akamba COC certification sets an important example and Malindi will be able to leap-frog many of the steps Akamba had to go through to become a certifiable business (especially with regard to neem drying regimes, business skills, farmer/carver relationships, log pricing, buyers' introductions. During the life of this project, Malindi continued to be supported by sharing important information, such as the production manual (including all wood treatment details) with them, and through regular visits by the certification resource manager and the Business Development Service (BDS) provider Kenya Gatsby Trust (KGT). Consolidation of the work achieved under the Darwin grant will take place as part of the WWF EARPO East African Coastal Forest Programme. Malindi is set to be trained and become certified for COC early in 2006.

In 2004, an additional output was added to the log frame: **establishment of a marketing and production company owned by carvers and farmers**. The foundation of such a company was jointly identified (Review & Planning Workshop Report, Feb. 2004) as a necessary step on which the achievement of project outputs and the sustainability of project interventions may depend for both the Darwin project and the Oxfam component. The main reason was that quality assurance (QA) and enforcement of the COC requirements has proved impossible within the co-operative structure. The export manager, who should enforce such measures does not have the power to reject carvings made for an order by co-op members. If he did he would most likely be sacked. Furthermore, CTP has professional staff members with experience in marketing and product design, for which there is no capacity within Akamba co-operative.

**Fig 1: Organogram of Coast Tree Products (CTP)**



(nb: the marketing officer will soon be recruited from VSO)

**Fig 2: Flow-chart of CTP (see Appendix VI)**

*Measurable indicator:* company registered & operating successfully

*Means of verification:* registration documents; orders completed; professional staff (marketing & production expert) recruited.

CTP was successfully set up in August 2004 as a trademark of KGT. Establishing CTP as a jointly owned company between carvers, farmers, and the main partners has not been possible for several reasons. First of all, setting up such company is costly and time consuming, but the main reasons for not pursuing the shareholder company route was that WWF as a charity is not allowed to own a company; carvers and farmers are not interested in part-owning the company, they are interested in the services; Kwetu felt that they lacked the resources to invest in such a venture. At the last review and planning workshop in April 2005 it was agreed that, for the time being, CTP should continue to operate as a trademark of KGT, as long as KGT is answerable to a multi-stakeholder board who check that CTP is being run as an ethical, fair-trade company.

As a result of suggestion from the 2004 reviewers two additional outputs have been added in the log frame:

- **Influence national efforts to curb illegal logging**  
*Measurable indicator:* illegal harvesting significantly reduced  
*Means of verification:* FD records; low hard wood stock in carvers log yards
- **Improve FSC certification process for small-scale producers**  
*Measurable indicator:* standards amenable for small-producers exist, are tested and applied.  
*Means of verification:* documentation of FSC technical committee meetings; copy of standards; certification documents based on modified standards

The following articles of the CBD best describe the project:

- In situ conservation of biological resources (Art. 8) through the establishment of economically viable alternatives to the selective exploitation of forest hardwoods;
- Ex situ conservation (Art. 9) through the promotion of and support to plantations of trees used for woodcarving including slow growing forest trees;
- Sustainable use of components of biological diversity (Art. 10) through the encouragement of cooperation between national authorities and the private sector (woodcarving cooperatives, traders);
- Creation of incentive measures (Art. 11) by rewarding sound ecological decisions through certification;
- Public education and awareness (Art. 13) through production and diffusion of educational materials, training of resource users and a media campaign to promote 'good woods'.

See Appendix I for percentage distribution.

Overall, the project has achieved over and above what it set out to do in the original proposal, even though one of the co-operatives did not achieve COC certification. The main reason for stating this is due to the very successful partnership with Oxfam GB, Oxfam Kenya and its partners Kenya Gatsby Trust (KGT) and Kwetu Training Centre (Kwetu). Also the partnership with the Coastal Forest Conservation Unit of the National Museum of Kenya (CFCU) has been extremely close and successful. Many of the 'Good Wood' project staff I talked to during my last visit in April 2005, stated that they felt like working for one organisation due to all subscribing to the overall conservation and

livelihood vision of the project.

The project has achieved the first FSC certification for Kenya and the first Chain of Custody (COC) certification for East Africa and only the third Forest Management (FM) certification for East Africa. In addition, this FSC certification is one of the first operations certified under the new FSC standards (<http://www.fsc.org/slimf/>) for Small and Low Intensity Managed Forest (SLIMF), which the project officer, David Maingi, actively helped to shape through being a member of the technical committee and repeated presentation of the 'Good Woods' project as a case study.

Awareness about sustainable woodcarving and certification has been raised widely in Kenya, the region and internationally through widespread publicity in different media and through many workshops, conference attendances and high-level meetings. It is fair to say that the 'Good Wood' project has become a model project in many ways. Although we have had many difficulties to achieve certification and to achieve changes in attitudes with the carvers, honest reporting on the difficulties and direct policy engagement with FSC have helped to raise the profile of the project and the wider issue of the difficulty to achieve certification for small producers. The other main aspect for which this project has become somewhat of a model is the achievement of linking farm forestry and farmers livelihoods directly to wood production for carvers, with many potential other applications (e.g., wood for furniture industry, construction sector). The Kenyan Forest Department who have been involved with the project from the start have not only been lobbied to clamp down on illegal log transport, but have also been shown that farm forestry can deliver required wood volume and quality in a similar fashion to plantation forestry. As a result the FD will use the lessons learnt from setting up the farm forestry group scheme, including all the timber production planning, to foster farm forestry schemes elsewhere in the country.

The other aspect for which the project has achieved more than it set out to do, is to achieve a holistic approach of integrating conservation with livelihood work through a rigorous business and market access approach, as well as specific livelihood expertise. This additional expertise was only accessible through the successful partnerships mentioned above.

#### **4. Scientific, Training, and Technical Assessment**

##### **.Research**

###### *Livelihood baseline study (2003) – KWETU*

After Oxfam GB and Oxfam Kenya came on board as full partners in 2002 and Kwetu based at Mombasa became Oxfam's local partner, the need to clearly understand the livelihood situation of coastal farmers was identified. Thus Oxfam commissioned a livelihood baseline study with a special focus on neem as an existing and future resource. The research was conducted by French Vibar (VSO volunteer for Kwetu to December 2003) and Severinus Jembe (CFCU, became FSC Resource Manager in August 2003). The methods used were: (i) questionnaire surveys with farmers, traders and representatives of financial institutions from the three coastal districts of Malindi, Kilifi and Kwale; (ii) Data on landownership, general socio economic situation of farmers and the use of neem were obtained from government records and a survey of relevant (mostly grey) literature. The key finding was that around 60% of all coastal farmers live below the poverty line, and struggling to meet basic food requirements and to educate their children. In recent years, farmers were hard hit by the collapse in price for tree crops such as mango and coconut. In the poor soils little arable farming is practiced other than maize and cassava for subsistence. Neem as an income resource was still

little known, though some farmers collected seeds for sale to traders. The study clearly showed the need for livelihood improvements of coastal farmers and the potential that selling of neem logs for carving and neem by-products from leaves, seeds, etc. could have to increase cash income for coastal farmers.

*Wood technology research (2003-2004) – Kenya Forestry Research Institute (KEFRI)*

At the beginning of the project it was not anticipated that the issue of quality assurance, in particular, wood technological issues such as cracking and moulding could be potentially threatening to the progress and success of this project. Through the input from Oxfam and KGT this issue came to light and prevented successful export of neem carvings in relation certification. When identified in late 2002, it also became clear that no further training on quality assurance could be conducted and the development of a production manual had to be halted until the most basic wood technology issues were solved. Therefore, the project hired a local (Mr Meshack Muga, KEFRI) as well as an UK wood technologist (Mr Victor Burclaff, Forest Products Consultant) to advise on remedial action. The consultants pointed out the need to conduct a series of basic experiments as no information on round wood curing of neem existed in the literature. The experiments, for example, needed to establish the green moisture content of neem wood from different sites and required the measurement of the loss of this moisture and how the wood pieces of different size and type (with eccentric vs. centric pith, stem vs. branch wood, etc.) behave (size and amount of cracking and moulding). A prototype kiln also needed to be designed and constructed to allow drying under controlled condition to achieve 12% equilibrium moisture content at which level no more cracking takes place.

Basic wood treatment experiments (e.g. drying and mould treatment), were started in August 2003 and were completed in February 2004 (Final report: Muga, 2004) . An experimental solar kiln was constructed and a drying schedule (i.e. clear instruction on duration and type of drying) for a range of carvings was established. Apart from general standardised drying tests, a sample range of carvings (57 pieces of 8 different designs) was subjected to specific drying treatments to establish the range of minimum and maximum drying time in the kiln. This information was needed to calculate lead times for new orders and to establish simple, non-technical guidelines for carvers and kiln operators to use. After testing the specifications of the experimental kiln and establishment of requirements a production kiln for general use by Akamba was constructed. The kiln can hold enough carvings to fill a 20 foot container. As a result of more experience and continued experimentation the drying times of small to averaged sized carvings has now been reduced (status April 2005) to 8-10 days. The obvious advantage is to reduce lead times for order, but crucially also time during which the carvers capital is tied up in the unfinished carving.

Carrying out the wood technology research seriously delayed the work on production, quality assurance and chain of custody training of carvers as all that work hinged on the result of the wood technology work. However, the tactic to involve a technical team comprised of carvers representatives, management and the export manager in the research achieved a lot of buy-in from the carvers. As soon as the results were available the training through training of shed-leaders proceeded rapidly to allow the first test order to be placed in June 2004.

*FSC management plan and administrative manual research & documentation – WWF EARPO & CFCU (2002-2004)*

The project officer David Maingi (WWF EARPO) and the resource manager Severinus Jembe (CFCU) have been conducting the background research necessary to write the neem management plan for Malindi, Kilifi and Kwale District. This required a

considerable amount of desk research on wood supply for the co-operative societies on the coast, government policy and socio-economic data.

Field research had to be conducted for the resource survey of the neem and mango (also a 'Good Wood', which could become of future importance) wood resource in the three districts. The resource survey entailed physical counts of neem and mango trees in each of the farms that registered to become part of the group certification scheme. Due to the large number of farms a sampling method was arrived at which varied on the basis of the farm size. On average 1 ha was sampled for every 5 ha farm area. For smaller farm sizes between 1ha and 3 ha their tree populations were counted in total. Sample area selections on the farm were made to allow for fair representation of the farm status in terms of tree distributions.

From this data the total neem and mango wood supply was calculated and allowable cut analysis conducted on the basis of an overall wood supply and demand analysis (including all wood consumption in the coastal region). On the basis of these results and the number and location of registered farmers a harvesting schedule was produced. The harvesting schedule has to be updated annually as part of the FSC requirements and a detailed database of the farmer members of the group scheme and their wood resource has to be maintained.

The work was led by David Maingi, Project officer and Severinus Jembe, Resource Manager who trained and employed forest officers to carry out much of the survey work.

#### *Neem policy and market research (2003) – KGT & Traidcraft Exchange*

Two studies were produced: the one by Kwetu concentrated on neem policy and market research on neem products in Kenya and was conducted by Tom Were for KGT (he was part of the FSC assessment team and was then recruited as the CTP general manager, based in Mombasa); the study by Traidcraft explored the European market for neem, the current supply situation and key players. The consultants for this study were Hugh Ross and Ben Whitney. The study by Were analysed the potential and sustainability of the utilisation of Kenyan neem. The potential is seen as high but existing policy, technical and supply chain constraints still hamper the effective commercial utilisation of neem and its products. However, change is happening and there is more and more interest in neem products reflected by commercial activities of several companies and institutes such as Neem Africa and ICIPE. Also in 2004 the Kenya Bureau of Standards has published a neem soap standard against which Kwetu has already been producing neem soap with the CFFA farmers.

#### *Business development background research (2003) – KGT*

Right at the beginning of KGT's involvement, they conducted business assessments of Akamba and Malindi. These assessments were to establish the structure of the business, main markets, income, expenditure and profit and other basic business and organisational related data. The analysis of this data helped to pin-point the main problems in the business to help target the work needed on business development and training. In the case of Malindi Handicraft Co-operative Society it clearly established that they were, at the time, in serious debts without generating enough business to service these debts. The debts were due to the fact that they overstretched themselves on building a new show room and carving facilities out of town and that their marketing and pricing structure was insufficient to drum up new business. Steps were taken to remedy the various business failings of Akamba and Malindi (see below: business counselling)

### **Training and capacity building activities**



### *Certification training for carvers*

Over the three years of the project there have been numerous information giving and more formal training events in the principles and practice of FSC certification with carvers. Initially that training focused on training mainly the management board and the export manager, whose responsibility should have been to pass on the training to their members. However, the problem was that the management board changed frequently (sometimes every 6 months; sacked by members), which meant that training and gaining buy-in had to start afresh. This was an obvious barrier to success.

After KGT came on board in late 2002, we changed the approach and started training shed leaders (carvers work together in small groups of 6-8 within a covered space or shed), who were then to pass on the training. This proved much more successful. The training focused on all the elements of the FSC chain of custody requirements and was then linked to general production and quality assurance training (see below). Training of the management board also continued and thankfully the same management board has been in place since 2003.

### *Quality assurance (QA) and production training of carvers*

KGT identified that carvers will be much more receptive to the use of good woods and certification training, if it is directly linked to improving their carving product and in turn sales. Improving the quality of carvings was also identified as a necessity for the ability to export successfully and thus became a prerequisite for successful certification. FSC certification makes only sense in the context of sensitised export markets.

The QA and production training was also formalised by the development of a production manual, which at the same time was identified as a way to make carvers comply to a standard production and QA process, and importantly the COC requirements of traceability.

As mentioned above (wood technology research), this whole training process came to halt for over a year until the research findings established a QA assurance process that involves careful log selection and drying in a solar kiln. Now a QA and production process is well established and carvers producing certified carvings follow the production manual and the COC requirements. They are monitored by the QA officer, Alex Kubi, who is employed by CTP. He has the power to accept or reject carvings for an export order. An employee of the co-op, such as the export manager, would never have the power to enforce such QA system without risking to get sacked by the co-op members.

### *Business counselling*

Both Akamba and Malindi co-op management committees received business counselling sessions from KGT after the above mentioned analysis of their respective carving businesses. The project team felt that these sessions had a major positive impact with regard to the buy-in of the co-operatives into the certification process. We felt that the reason was that we now talked clearly about the issues they are facing. The Akamba management came to realise that by buying into working with KGT and the wider team they might be able to improve their business through producing a better quality product with better design and chances of new markets if certification was achieved.

Unfortunately in the case of Malindi, the project team decided that their situation was so serious that they had to concentrate on making their business viable again through focusing on the domestic tourist market, before we could engage them in export oriented certification training. However, Malindi received several more business counselling sessions and was regularly kept abreast of the development within Akamba. Their

business has now much improved and in the follow-up to this project they will receive COC training and certification early in 2006.

#### *Certification training for cutters*

Cutters have an important function in the whole FSC COC system. They are the link between the farmers and the carvers. Eight cutters are now registered under the certification scheme and have received COC training in several modules. Their training mostly consisted of tree selection according to the harvesting schedule, correct felling, documentation requirements for COC (receipts to farmers, transport permit, receipt from co-operative for logs). Short cutters guidelines have also been compiled (see Appendix in FSC Administration manual) and handed to the cutters in an enlarged and laminated form for taking to the field.

#### *Certification training of farmers*

After large-scale sensitisation of over 1500 farmers from the three coastal districts of Malindi, Kilifi and Kwale an amazing 1570 farmers subsequently registered to be trained to join the FSC group certification scheme for neem. CFCU and Kwetu worked closely together to develop the methodology for training, which was crucially based on self-selection of farmers (those who registered after sensitisation). The training was divided in 1<sup>st</sup> and 2<sup>nd</sup> generation training.

The 1<sup>st</sup> generation training consisted of 3 one-day sessions, training one local group at a time. The following topics are covered: certification process; neem tree management and sale process for carving wood; demand for neem logs for carving; other neem product extraction and processing; tree products business; recording and keeping tree data; group formation and management, including the Coast Farm Forestry Association (CFFA) that was at this stage still to be formed as an umbrella organisation.

After the first generation training farmers organised themselves into 30 groups and registered with the social services department in their respective districts.

In the meantime the CFFA was founded (mid 2004) and the 30 farmers groups received their 2<sup>nd</sup> generation training towards the end of 2004. The training elements covered were: certification scheme structure, COC, tree measurement and sales procedures in the scheme, neem oil pressing and neem soap making.

The training team with a total of 30 trainers was composed of Extension staff from the Ministry of Agriculture, Forest Department, Kwetu Training Centre, Department of Social Services and CFCU.

The project team developed training manuals and trainers were asked to discuss and refine the manuals further before the actual training events started. The manuals can now be used repeatedly to train new members who join the FSC group certification scheme. The manuals are available on the CD supplied with this report.

#### *Health and safety training of carvers, cutters & farmers*

As a requirement of FSC certification to protect workers health carvers, cutters and farmers received basic health and safety training. For the training of the carvers specialised consultants were hired. A training of trainers (TOT) approach (36 TOTs trained) was again used and basic health, safety, ergonomics, hygiene, first aid and fire fighting skills were taught. As a result of the training combined with the requirements of FSC certification, Akamba now has a Health and Safety Committee, a Disaster Prevention Committee, first aid kits at several working sheds, several sets of fire fighting

equipment, more use of protective equipment, and work on improvement of sheds (e.g. FSC condition to raise the shed roofs) is under way. Consultation with the Ministry of Health to run a medical clinic at the site have also begun.

#### *SIDA FSC certification course*

Both David Maingi, Project officer and Severinus Jembe, Resource manager, obtained places on a SIDA funded course on FSC certification. David Maingi completed the course in 2003 and Severinus Jembe in 2004. The course involved attending a three week course in Sweden in May, which was largely theory based with some field trips and a two week follow-up trip in November, which was largely giving field-based, practical training (e.g. doing mock assessments). David Maingi went to Guatemala and Severinus Jembe to Tanzania. The course was attended by people from all over the world. Completing the course provided the project officer and resource manager not only with a chance to gain formal certification training, with obvious benefits to the project and their own capacity, but it also gave them a lot more confidence in carrying out their responsibilities under project. Within Kenya they are now one of the few formally FSC certification trained people.

## **5. Project Impacts**

We feel that the project has achieved its purpose and provide the information below to try and demonstrate this.

#### *National-level policy impacts*

Achieving the group FSC certification of 576 farmers with a projected increase to over 1000 member farmers has had significant impact on the thinking of the Forest Department, as mentioned by Mr A. Maina, Senior Forest Officer. It has demonstrated that a large number of farmers can be organised and standard forestry techniques (e.g. harvesting plan, timber volume projections) can be applied to obtain required quantities of timber; or even certified timber. Our practical demonstration and the lessons we have learnt, appear to have given a boost to encouraging farm forestry, which is already a long-standing policy (Forestry Master Plan, 1994), as a major supplier of wood and timber for Kenya.

The formal SIDA-funded FSC certification training that David Maingi and Severinus Jembe received, makes them two of only a small number of FSC-trained people in Kenya. This training has not only given them more capacity to implement this Darwin project, but has also given them the capacity to apply their skills and understanding critically to other certification or market-driven conservation initiatives in Kenya and the region in future. Already, David Maingi, has been one of the driving forces in setting up, and is now a member of the Core Leadership Team of the National Steering Committee for the development of national FSC standards.

The senior forest Department officer Anthony Maina acknowledged that the lessons learnt from this 'pilot project' should be scaled up to achieve more gains from certification. He pointed out that key national stakeholders have to be involved and national structures and initiatives have to be in place (see newsletter article; Chonga 4). To this effect the National Steering Committee for the development of national FSC standards has now come together under the auspices of the WWF/World Bank alliance. The main stakeholders are WWF EARPO, the Forest Department and the Kenya

National Bureau of standards amongst others.

The influence of our practical experience through the project and Mr Maingi's certification experience is helping Kenya through this national process to move towards using more incentive measures (Art. 11), such as certification, in the management of their forests.

The external evaluators credited the project with having a considerable influence on the Forest Department to enact and maintain a significant clamp-down on illegal logging of indigenous woods (especially through a transport ban). This was particularly so in the project area on the coast. Within the project we have always stressed that any significant conservation gain for indigenous forest has to have a 'carrot and stick' approach. In our case working on the provision of an alternative wood source with new marketing opportunities through certification represents the 'carrot', but the attractiveness of this 'carrot' only really became clear to carvers when the logging ban started to bite and the log-yard in the co-operatives were empty of hardwoods.

A quote from the evaluation report illustrates the point above and the livelihood significance of the work: *"perhaps the biggest impact that the good wood campaign has had on the livelihoods of these people is to provide livelihood security by bringing the idea of good woods and following it through early enough before there was nothing else to carve. By the time the government had put a complete ban on the harvesting of hardwood, the carvers had already been sensitized about Good Woods and therefore it was easy to adopt them"*.

The project also lobbied hard with the forest department for the need to plant indigenous hardwoods and to improve the management of remaining natural forests. WWF EARPO has kept up this pressure throughout the project.

### *FSC policy impacts*

As described in previous reports, the project has lobbied hard with FSC to reduce the requirements for small producers to get certified. Particularly important has been the participation of the project officer in the FSC Small & Low Intensity Managed Forest (SLIMF) Technical Committee, on which he has had much influence. New SLIMF procedures were approved by FSC (January 2004) which make getting certified (e.g., less information & no peer review required) and maintaining certification (e.g. fewer audits, lowers costs) easier for small producer projects easier (see <http://www.fscoax.org/slimf/index.htm>). This project was certified by Soil Association Woodmark using the SLIMF procedures.

The intensity and depth of involvement in policy work with FSC was not foreseen at the beginning of the project. We are pleased that the effort and time spent brought some benefit to the project and for certification of small producers more widely.

### *Impact of the project on collaboration*

Within WWF-UK and WWF-EARPO the project is seen as very successful. There has been excellent collaboration with EARPO as the main local partner. As a sign that there is serious commitment to consolidate work and scale it up in the region the 'Good Woods' component is now a central part in the large multi-country and multi-agency East African Coastal Forest Programme; with funding of £ 60-70,000 per annum over three years.

The impact on local collaboration has also been strong. WWF EARPO and CFCU of the Museums of Kenya, a government organisation, worked from the start as if coming from one organisation, with a unified goal. The collaboration with the Forest Department has also been excellent throughout all levels of the hierarchy. David Maingi, as a former Assistant Conservator of Forests, has had direct access at all levels of the FD, from the Chief Conservator of Forests to Forest Officers on the ground. The direct practical involvement of Forest Officer in the project through using them as TOTs has also brought much buy-in and understanding, apart from the capacity building in certification and mobilisation of farmers. That is similarly the case with extension officers from the Ministry of Agriculture and officers from the Department of Social Services. The Provincial Forest Officer has also been serving on our Advisory Committee. We would suggest that we have achieved quite significant policy impacts, largely due to this close collaboration and consultation with the relevant government bodies,

The close collaboration and formation of an equal partnership with Oxfam GB as well as Oxfam Kenya and their partners has been most significant for the achievement of the projects purpose. It has given us the ability to take appropriate livelihood actions and to better understand the realities of the handicraft business. Collaboration between all the local partners is still taking place after the end of the Darwin project. However, in the case of collaboration with Kwetu, who have been most crucial in the training of farmers, particularly in the neem by-product development, some problems have arisen. These relate to a large extent to capacity and funding, which makes it difficult for Kwetu to focus on intensive support for the existing and newly recruited farmers under CFFA. CFCU is taking up some of Kwetu's work, but this is not their core expertise. Negotiations are currently going on.

### *Social and livelihood impact*

Details of the impact on incomes of livelihoods of farmers and carvers are reported in section 9. So far one of the main benefits for carvers has been income security from availability of the wood resource, more regular orders, ability to sell all pieces as they have been quality controlled at slightly increased profits because of (i) reduced wastage (central log purchasing of certified logs guaranteed better quality logs) and (ii) cheaper prices of neem vs. hardwood. However, impact within Akamba for the majority of carvers depends on increasing export orders and expanding the marketing of certified carvings into the domestic tourist market.

The more unexpected impact of the project interventions for farmers has been that the organisation in farmers groups for certification now provides a new social forum and form of empowerment. Previously, old and young and men and women had no platform for easy communication. However, in the CFFA farmers group anybody can join and members have to come together in regular meetings. It has already become clear that these meetings are not just a necessity to manage the FSC group, but that the meetings provide an opportunity to exchange experiences between old and young and men and women, discuss livelihood issues and plan for joint livelihood activities

The training of farmers also involved training in making tea from the neem leaves both for home use and sale. One farmers' group commented that this is now providing them with much better medicine against malaria. Previously, they boiled up the neem bark, which is apparently not as effective.

## 5. Project Outputs

### **Output measure 14B: 1 case study**

The CBD COP 8 case study was not produced in collaboration with NEMA. This was first of all due to the fact that NEMA, did not become an active partner and secondly, it did not seem very practical to write a case study well in advance of COP 8 without exactly knowing where it could be presented/discussed. Instead the decision was made to write a comprehensive lessons learnt report. This report will be produced by the end of September 2005 and made available to Darwin. It will be written by the project leader and the Deborah Heaney, who is the WWF Organisational Learning Officer. Ms Heaney has been facilitating lessons learning processes in the project over the past two years, especially through specific sessions in our Annual Review and Planning meetings.

The lesson learning report will be made available to all partners. WWF EARPO intends to use the report (or elements of it), for example, to give feedback to enquiries being made on how we achieved FSC certification (many enquiries already received). WWF-UK is likely to use elements of report (e.g. issue of market-driven incentives to conservation) to produce a lessons learnt case study for the WWF network. A copy will be forwarded to Darwin as soon as the report is completed. For some of the lessons learnt see also Section 9.

### **Output measure 6A: training (3454 trainees: carvers, farmers, cutters, traders & co-ops)**

As discussed in previous reports, the exact number of training sessions and trainees is difficult to adhere to. However, more than three times as many farmers were trained in certification and livelihood generation from neem by-products than the initially proposed 400. Although not, all of the 3000 carvers were individually trained by project staff, their representatives (shed leaders and a technical team) were trained in certification, new production skills (e.g. drying and mould treatment of carvings, new designs) and business skills. With the help of KGT, these carver representatives then trained their fellow carvers. Carvers' general awareness was raised through AGMs and the Chonga newsletter (published April 2003) distributed between April and June 2003. The next Chonga has been delayed but is about to be distributed in August 2005.

At least 24 cutters received various elements of certification training over the three years. However, only 8 cutters have received the full training and are registered with Akamba co-op to supply certified neem under the COC certificate. Their numbers can easily be expanded according to wood demand.

### **Additional outputs (see listing with output measures in Appendix II)**

Several additional outputs were achieved: formal certification training of the project officer and resource manager; the quality assurance training and linked to that the building of the solar drying kilns (experimental & production kiln; the publication of a production manual for carvers; two training manuals for farmers; leverage of additional funding; two new organisation set up (Coastal Farm Forestry Association and CTP; one UK press release resulting in several articles in specialised media and on WWF international web-news (March 2005), etc.

## Dissemination

Project outputs such as the Chonga newsletters have been distributed primarily to the carvers, but also to interested national environmental NGOs, government officers and woodcarving traders. Much of what we have learnt in this project and what have been the objectives of certification of the woodcarvings and the work with the farmers has been disseminated through numerous talks at national and international meetings, were the target audience has ranged from Forest Department officials, Government ministers, traders, carvers, importers, NGO members, certification specialists to development experts.

At the most recent Review and Planning meeting in April 2005 a commitment was made that under the new funding cycle, where the follow-up project will be part of the EACF Programme, disseminations of the lessons learnt from the Darwin project is of central importance. Different means of disseminating the lessons are currently being considered (e.g. videos, drama, leaflets). However, a firm commitment has already been made to disseminate the lessons to other carving co-operatives in Kenya through exchange visits to Akamba co-operative and the farmers groups.

The lessons learnt report mentioned above will also help with implementing this follow-up commitment and strategy.

## 6. Project Expenditure

### Project expenditure during the reporting period 1 April 2002 to 31 March 2005

	Overall Amended Budget 1 April 2002 to 31 March 2005	Expenditure	Balance	% Variance	+/-

See attached excel file in Appendix VII (as electronic file: FINAL financial report to Darwin.xls) for annual breakdowns.

## **7. Project Operation and Partnerships**

Working in partnership with multiple partners has its challenges, but, for this project, it has been invaluable. This is particularly so considering the inexperience in business approaches and working with farmers that conservation organisations, such as WWF, generally have. Partners have also contributed considerably to project costs both financially and in kind. The project only managed to achieve its major objective as a result of working in partnership and has achieved a much holistic project with many additional outputs as a result.

We have principally worked with five local partners (CFCU, KGT, KWETU, KEFRI, Oxfam Kenya) and WWF EARPO as the official Darwin host country partner. As mentioned above (section 5), the Forest Department collaboration was also very close. Oxfam GB was the international partner.

The local collaboration with the above mentioned partners is still active. This is particularly so between WWF EARPO, CFCU and KGT. All are very actively engaged with local, regional and national government activities in the forestry, agricultural and trade sector. The involvement of the private sector, i.e. traders, exporters and importers of carvings and also neem products has been an important part of the project from the start.

No collaboration with other Darwin project existed and no specific consultations were held with the host country BS Office.

## **8. Monitoring and Evaluation, Lesson learning**

### *Main strategy for monitoring and evaluation*

This project has formed part of the wider People and Plants Initiative which finished in December 2004 as a programme of WWF-UK and UNESCO (it continues in the form of a new NGO called People and Plants International). To evaluate the overall achievements of PPI, a final evaluation took place. This included a full evaluation of the Kenya Good Wood project. The Kenya evaluation was carried out in December 2003 and January 2004 (report available on CD supplied with this report).

We continued the practice of bi-monthly reports for information sharing between all project partners throughout the project period (starting in October 2002). The reports gave a bullet-point overview of successes, initiatives, failures, threats and lessons learned. The project leader compiled it from contributions made by the partners. The feedback from partners suggested that these reports were seen as very useful to maintain information flow in a multi-partner set-up and to alert team members to issues and actions required. It has been a very useful monitoring tool for the project leader and usually resulted in specific follow-ups with project team members.

The project implementation team (WWF, Kwetu, CFCU, KGT and KEFRI when required) held operations review meeting every two months. The meetings were suitable forums to review progress according to the workplan; that is: analyse achievements and constraints, reviewing planned activities and, where necessary, design implementation logistics and strategies.



In October 2002, when the partnership with Oxfam started we held our first joined planning meeting in Mombasa, which resulted in a 6-month workplan. From then onwards we held annual joined review and planning meetings around February – March time. In total three such meetings took place during the life of the project. The last two (2004 & 2005) included a lessons learning session and a session looking at the sustainability of the current interventions and future plans. These annual workshops were extremely useful to review achievements and identify issues that need to be resolved. The output was always a joint workplan, which all partners used to plan their activities under the 'Good Woods' project.

#### *Demonstration of the value of the project*

A baseline livelihood survey was conducted by Kwetu in the first year of the project (see section 4. Research). The key finding was the around 60% of coastal farmers live below the poverty line, struggling to meet basic food needs and educating the children. Focusing our work on these farmers has therefore had particular value. Income from the sale of neem logs and by-products has already for some of the CFFA farmers provided extra income and will do so more and more as the Akamba and soon Malindi co-operatives are buying more certified neem logs.

From research carried prior to this Darwin project it was clear that the carving industry in Kenya was in dire straits with respect impending wood shortages. Hardwoods had been logged out of most of the coastal forest and upland forest were also severely affected (Obunga, R. & Sigu, G. 1996). Much illegally harvested hardwood has been coming from Tanzania or protected forest areas in Kenya, with very dire consequences for the conservation of many endemic and rare plants and animals.

Therefore, urgent intervention was necessary for conservation and livelihoods of carvers. The supply of alternative wood sources from farm as well as providing an incentive system through certification was identified as a useful way forward.

The description below demonstrate that the project has achieved most of what it set out to do in the original log frame.

#### **Indicators of achievement (see original log frame):**

##### **At purpose level:**

- **Number of arrests for illegal timber harvesting – suggested change to 'percentage reduction in illegal harvesting':** According to FD records, incidences of illegal harvesting of indigenous woods has halved since 2001. This followed a sustained clamp-down on illegal activities (e.g. transport ban; see 1<sup>st</sup> Annual report). According to the evaluators, the project can be credited with having considerable influence on the FD to maintain that clamp-down, particularly in the project area at the coast. The result was that in 2003 the hard wood log yards in the co-ops were generally empty.
- **Number of farmers supplying carving industry:** Almost 100% of the farmers sensitised in 2003 registered to join the group certification scheme, i.e. farmers willing to supply certified neem to carving co-operatives. This was a highly encouraging response, showing that the scheme seemed to offer sufficient incentives to farmers to be willing to commit to adhering to FSC group rules. At the end of the project 576 farmers were formal members of the FSC Group certification scheme with many more lined up to join, but whose farmers group had not yet been able to register with the social services department. The members are now able to supply the carving industry with certified neem logs

according to the established harvesting schedule.

- **Volume & percentage of Good Wood use:** Use by Akamba and Malindi has drastically increased since the project started (from 60%, to 83% and 100% respectively); at the national level it has reached the target of 10%. These data are derived from carvers interviewed by evaluators.
- **Impact on income levels of farmers & carvers:** Considering that it is still very recent that groups have formed and certification was achieved, there is already evidence of a positive impact of the project on income levels and livelihoods. Already in December 2003, 42% of farmers interviewed in the Malindi area reported to have earned income from the sale of neem wood and products (e.g. seeds). This compares to no such sales five years ago. CTP recently helped CFFA to achieve a contract for the supply of neem seeds to a company called Biop. More and more such opportunities are arising as a result of the project.

For carvers, good wood products have emerged as the main source of income. 76% of wood carvers reported that good woods accounted for over 60% of previous month's income with 41% reporting an income contribution exceeding 80% from good woods. The scenario was different five years previously. At that time, 85% of carvers reported having earned less than 40% income from good woods (data from external evaluation interviews). For carvers, this does not mean that income levels have necessarily been raised, but shows how important Good Woods are to maintain livelihoods in the absence of alternatives. As reported many times previously, there are still inherent problems in the co-ops business success and mismanagement, contributing to carvers' poverty. Concentrated work by the project to improve business practice, quality assurance and trade facilitation, however, has started to have an effect.

During a visit by the project leader in April 2005, several carvers, carving certified neem for an export order by the UK importer BESMO stated as one of the main improvements through certification, the continuity of work and the ability to sell carvings even during the low season when there are few tourists. The ability to pay, for example, for school fees was stated several times. Of course the continuity of work depends on regular orders, which in turn depends on good marketing work by CTP and favourable market trends. An indicator of indirect improvement of livelihood as a result of certification were also a number statements by carvers related to increased efficiency of their production, by being more in control of their costs as a result of needing receipts for any transaction from buying wood, sub-contracting sanding to receiving payment for the completed carving.

It is also important to note that when an export order for certified carvings is to be fulfilled this involves usually five or six designs for which certain carvers are specialised and does therefore not benefit all 3000 carvers across the board and at the same time. However, with work now underway by CTP to expand the number of importers and to move with certified carvings into the domestic market the numbers benefiting should increase over time.

The result of the health and safety training and requirements under certification were often mentioned as a really positive impact on their livelihoods. One carver mentioned that now he knows how to get help when he cuts himself and does not resort to using super glue – a rather horrifying thought. The export manager also explained that now that the certified neem wood supply is formally organised the carver earns on average more from his carving neem wood than carving hardwoods, such as mpingo (*Dalbergia melanoxylon*). The neem wood supplied is now of good quality and the knowledge how to carve it and treat it in the kiln

now exists. Therefore, there is less wastage and therefore a better profit margin for the carver

### **At output level**

- Awareness raising about the potential benefits and importance of certification for conservation has achieved a 71% and 75% success rate among farmers and carvers that have been sensitised or trained by the project (from evaluators' interviews). The awareness of traders is much lower, with only 14%. This is because traders have not been directly linked to the project so far.

### **Lessons learning**

In 2004 and 2005 during our 2<sup>nd</sup> and 3<sup>rd</sup> annual review and planning workshops, we included a lessons learning session. The objective was to extract lessons to allow adaptive management for the final year of the grant and to identify lessons relevant for any follow-up. Furthermore, lessons learning tools were discussed and agreement reached to include lessons learning more formally in project activities (e.g. lessons learning as part of bi-monthly operational meetings and more formal write-up in the bi-monthly reports)

### **Some of the main lessons learnt are:**

- Premiums paid for carvings will not pay for recurrent cost of certification as originally suggested in the proposal. Several recent reviews of the supposed benefits of certification have shown that sufficiently large premiums on certified product are rarely achieved (e.g., Bass et al. 2001). These findings are certainly born out by feed back from prospective UK buyers of Good Wood carvings. The only way to cover the recurring cost of certification and its administration (especially the cost of the resource manager) is through the ability to retain some part of the profit from sales of certified carvings. As a result, CTP, which has greater independence from the co-operative, charges a 10% commission on each carving exported through CTP. CTP also invest in marketing, product development and quality assurance, which is currently absent and difficult to initiate within the current co-operative structure. However, the challenge of longer-term sustainability in the absence of donor money needs urgent attention.
- Working not only with the management board, but also 'book' and shed (a small group working together in one small shed) representatives and the technical team allowed much better buy-in and passing-on of information and training. Previously, a major barrier to progress was the frequent change of the management board, which then required repeated training and information sessions and which did not allow for the information provided by the project team to flow to individual carvers. More frequent briefings of carvers through extraordinary AGMs has also been very helpful in awareness raising. The work by KGT, greatly contributed to winning carvers' trust and to identify the right channels through which communication and effective training can flow.
- Certification of neem carvings from Akamba Handicraft co-operative society require a favourable or enabling policy environment for long term impact. Policies take time to change, while project life is relatively short, calling for intervention guidelines to be given by implementing agencies. The project has initiated several meetings with the Forest Department and Ministry of Agriculture aimed at influencing them to issue guidelines in areas of their respective competence that currently constrain project implementation.

### *Broader lessons for market-led conservation and certification of small producers*

The checklist and the list of broader lessons presented below was provided during a lecture given to Oxford University Students studying for an MSC in Biodiversity. The lecture was given in May 2004 and in November 2004 (2 different intakes of students).

This project has been an example of an attempt at market-led conservation. The difficulties we encountered and the mistakes we have made were analysed by the project leader.

Checklist of ingredients for a successful certification approach targeting small producers:

- Research on supply chain
- Research the sustainability of the resource (e.g. pre-requisite for this seems to be strong tenure)
- Market-research (e.g. likely consumer up-take, retail system and product quality requirements, competitor reaction)
- Existence of 'buyers groups' to exert pressure on the supply chain (at present only relevant for timber products, but would be useful for other products based on natural resources)
- Assessment of 'business readiness' of small producers & necessary capacity building
- Assessment of business return to producers (pay-offs vs. inputs, cost of changing practices)
- Local capacity for checking sustainability and monitoring compliance
- Capacity to inform consumers and market products (market access)
- Flexible certification systems (e.g., step-wise certification)
- Capacity to modify policy environment if required
- Substantial investment over a 5-10 years
- Tenacious and flexible professional staff
- Set of committed partners bringing different skills and interests.

In general, we conclude, that market-led or ethical consumer approaches sound very appealing and appear straight-forward and do-able. However, there are potentially many pitfalls and a difficult set of pre-conditions have to be understood and tested beforehand. These are:

- It is important to be confident that the resource allows commercially sustainable off-take.
- The steps, players and power in the supply chain need to be understood
- Market requirements and trends need to be known or reliably predicted
- Actors in the supply chain (e.g. especially communities and small producers) need to have the capacity and willingness to participate.

If these aspects are not fully understood the initiative could fail and produce negative consequences for the resources and people involved. There are already many such examples in existence.

## **9. Actions taken in response to annual report reviews (if applicable)**

The year 1 review was discussed principally with the project officer and the main partners involved in training of carvers (CFCU, KGT) and farmers (KWETU, CFCU).

The delay in training of farmers was necessary to ensure a more sustainable approach to farmers' recruitment to the group certification scheme through self-selection after sensitisation. The response to sensitisation was exceptionally good (1200 of 1500 farmers registered to join the scheme and receive training). Formal training materials for the Trained Trainers were developed to allow consistency in training. The 1<sup>st</sup> and 2<sup>nd</sup> generation training was completed and CFFA was founded and running in time for the FSC certification assessment in January 2005.

Likewise the delay in carvers training and change in approach to more business counselling and working with shed representatives was a necessary adjustment for ultimate success. The delay was largely caused by the need to complete important QA research on the cracking and moulding of neem carvings, to build a solar kiln and to establish a workable drying and general production schedule in order to produce export ready products. This was a precondition for certification to be meaningful.

We were glad that the reviewers recognised the value of working with new partners and embedding the certification debate at national level through the Forest Department and the Kenya Forest Working Group and now through the WWF/WB Alliance.

The year 2 review was very positive and only required to add two new outputs to the log frame.

## **10. Darwin Identity**

The funding from the Darwin Initiative was acknowledged throughout the project period at the end of presentations and on publications. The logo was always used.

Much awareness about this project has been raised in NGO, CBO and government circles in Kenya, regionally and internationally. Major NGOs such as Oxfam and WWF and our government partner CFCU do understand the significance and focus of the Darwin funding initiative through being closely involved with this project. Unfortunately, we have no other evidence of awareness of this funding source and the aims.

It was a distinct project with a very clear identity, but will, from now on, be part of the larger East African Coastal Forest Programme of WWF EARPO

## **11. Leverage**

Oxfam as the major partner has invested between 25- 30,000 GBP each year over three years. CFCU obtained a GEF grant from their small grants programme worth US\$ 48,000, which was mainly used to pay for business development work by KGT.

An additional £ 5, 000 match-funding was raised by WWF-UK from DFID

KGT has contributed staff time of c. £ 14,000.

KEFRI has contributed staff time for wood technology work of c. £ 1,500.

After being invited for post-project funding a proposal was submitted, but it turned out to be unsuccessful. In addition, the project leader has worked with the project officer and

the co-ordinator of the new East Africa Coastal Forest (EACF) Programme to develop background information and the log frame for a proposal to WWF-UK to receive funding for 3 years for the EACF Programme. The 'Good Woods' project (consolidation, dissemination of results and baseline research for similar project in Tanzania) will be part of this larger programme. Funding in the region of £65,000 per annum is forthcoming from 1<sup>st</sup> of July 2005.

## **12. Sustainability and Legacy**

As mentioned above, the project will continue under EACF programme with a particular focus on consolidation and sustainability. The work will particularly focus on making CTP a sustainable entity, to build the capacity of CFFA to administer the certification and generate income from neem products for member farmers. Malindi will receive COC certification and Akamba management and carvers will receive follow-up training to enhance their capacity to manage the quality assurance and certification requirements.

Uptake of the positive lessons learnt by this project will be promoted through exchange visits of carver representatives from the major co-operatives in Kenya. Also appropriate means to spread lessons will be assessed (e.g. considering drama, video etc.)

CFCU and KGT are fully committed to continuing on the follow-up project. Relationships with Kwetu are more complicated, as Kwetu's capacity and overall objectives are such that it can not focus predominantly on working with CFFA farmers on neem product development. Negotiations are currently going on between WWF EARPO, CFCU and Kwetu and their funder Oxfam Kenya (1 more year of funding was supposed to be dedicated to Good Woods by Oxfam).

The project achievement of FSC certification, farmers organisation and carvers business development have resulted in wide-ranging interest from other environmental NGOs and government departments such as the Kenya Forest Department. The interest is also regional and international and it is hoped that an appropriate distribution of the lessons learnt (e.g., through book chapter, lessons learnt report and exchanges) will contribute to a judicious adoption of some of the lessons learnt.

The legacy could be improved if there was a guarantee that all partners can remain committed for at least another three years. As mentioned above this does not only depend on funding, but also capacity and organisational objectives.

## **13. Value for money**

The resources invested over the past 3 years (and before) to achieve FSC certification seem very high. No community group or small enterprise could ever afford such a costly process. However, considering that this was a pilot project with major policy impact on FSC and the national policy we believe it was money well spent. Our case study has provided much of the practical evidence of the barriers to FSC certification and helped to change the FSC system to arrive at the SLIMF system of FSC certification for small and low intensity producers. It has also provided a practical example to FD on how to organise farm forestry. Our acquired practical and theoretical expertise in FSC certification has also contributed to drive a national process of adopting certification as one of the tools for sustainable forest management.

Through attracting partners and leveraging considerable additional funds the project was nevertheless good value for money. This is particularly the case as the project has achieved much more than it set out to do (e.g. with respect to farmers organisation and livelihood).

## 14. Appendix I: Project Contribution to Articles under the Convention on Biological Diversity (CBD)

Please complete the table below to show the extent of project contribution to the different measures for biodiversity conservation defined in the CBD Articles. This will enable us to tie Darwin projects more directly into CBD areas and to see if the underlying objective of the Darwin Initiative has been met. We have focused on CBD Articles that are most relevant to biodiversity conservation initiatives by small projects in developing countries. However, certain Articles have been omitted where they apply across the board. Where there is overlap between measures described by two different Articles, allocate the % to the most appropriate one.

<b>Project Contribution to Articles under the Convention on Biological Diversity</b>		
<b>Article No./Title</b>	<b>Project %</b>	<b>Article Description</b>
<b>6. General Measures for Conservation &amp; Sustainable Use</b>		Develop national strategies that integrate conservation and sustainable use.
<b>7. Identification and Monitoring</b>		Identify and monitor components of biological diversity, particularly those requiring urgent conservation; identify processes and activities that have adverse effects; maintain and organise relevant data.
<b>8. In-situ Conservation</b>	20	Establish systems of protected areas with guidelines for selection and management; regulate biological resources, promote protection of habitats; manage areas adjacent to protected areas; restore degraded ecosystems and recovery of threatened species; control risks associated with organisms modified by biotechnology; control spread of alien species; ensure compatibility between sustainable use of resources and their conservation; protect traditional lifestyles and knowledge on biological resources.
<b>9. Ex-situ Conservation</b>	5	Adopt ex-situ measures to conserve and research components of biological diversity, preferably in country of origin; facilitate recovery of threatened species; regulate and manage collection of biological resources.
<b>10. Sustainable Use of Components of Biological Diversity</b>	25	Integrate conservation and sustainable use in national decisions; protect sustainable customary uses; support local populations to implement remedial actions; encourage co-operation between governments and the private sector.
<b>11. Incentive Measures</b>	40	Establish economically and socially sound incentives to conserve and promote sustainable use of biological diversity.

<b>12. Research and Training</b>		Establish programmes for scientific and technical education in identification, conservation and sustainable use of biodiversity components; promote research contributing to the conservation and sustainable use of biological diversity, particularly in developing countries (in accordance with SBSTTA recommendations).
<b>13. Public Education and Awareness</b>	10	Promote understanding of the importance of measures to conserve biological diversity and propagate these measures through the media; cooperate with other states and organisations in developing awareness programmes.
<b>14. Impact Assessment and Minimizing Adverse Impacts</b>		Introduce EIAs of appropriate projects and allow public participation; take into account environmental consequences of policies; exchange information on impacts beyond State boundaries and work to reduce hazards; promote emergency responses to hazards; examine mechanisms for re-dress of international damage.
<b>15. Access to Genetic Resources</b>		Whilst governments control access to their genetic resources they should also facilitate access of environmentally sound uses on mutually agreed terms; scientific research based on a country's genetic resources should ensure sharing in a fair and equitable way of results and benefits.
<b>16. Access to and Transfer of Technology</b>		Countries shall ensure access to technologies relevant to conservation and sustainable use of biodiversity under fair and most favourable terms to the source countries (subject to patents and intellectual property rights) and ensure the private sector facilitates such assess and joint development of technologies.
<b>17. Exchange of Information</b>		Countries shall facilitate information exchange and repatriation including technical scientific and socio-economic research, information on training and surveying programmes and local knowledge
<b>19. Bio-safety Protocol</b>		Countries shall take legislative, administrative or policy measures to provide for the effective participation in biotechnological research activities and to ensure all practicable measures to promote and advance priority access on a fair and equitable basis, especially where they provide the genetic resources for such research.
<b>Total %</b>	<b>100%</b>	<b>Check % = total 100</b>



## 15. Appendix II Outputs

Code No.	Quantity	Description
3 (new)	2	Project Officer (2003) and Resource Manager (2004) received certification training in Sweden & Guatemala & Tanzania; funded by SIDA;
6A Trainees	Total of 3454 (farmers, carvers, cutters & traders)	<p><u>year 1:</u> 168 Malindi farmers recruited and received initial training (prior to new approach agreed with Oxfam) 30 trainers for training farmers recruited and trained with follow-up testing of effectiveness (3 days)</p> <p>1800 carvers of Akamba &amp; 200 Malindi co-operatives appraised of project objectives and benefits and responsibilities associated with certification; (1 day each co-op)</p> <p>A group of 4 cutters from Malindi and another group of 8 cutters from Akamba underwent a one-day training in introduction to certification requirements, log bookings and chain of custody form use.</p> <p>Akamba co-op board and management: one-day training on project objectives, structure and board role in certification process; and two meetings to brief the board and managers on the progress and project achievement have taken place.</p> <p>Quality assurance and business skill training started</p> <p><u>year 2:</u> 30 Trainers trained for farmers training. 1500 Farmers sensitised by Nov. 2003 &amp; 1200 already registered to join group scheme. 1<sup>st</sup> generation training total of 750 farmers trained in Malindi &amp; Kilifi district. 7 book representatives (also members of technical team) train fellow carvers with help of KGT &amp; EARPO in certification, business practices and wood treatment to avoid cracking &amp; moulding (quality assurance); 7 master carvers selected and trained in new product designs. 9 management board members trained in certification and business skills. 2 AGMs reached approx. 2400 carvers. in year 8 cutters trained in FSC chain of custody procedures in 5 one-day sessions.</p> <p><u>Year 3:</u> training of 21 TOTs for 2<sup>nd</sup> generation farmers training followed by 26 farmers groups (approx. 520 farmers) Health &amp; Safety training; 3 days for 30 TOT, Nov. 2004; AGM of Akamba carvers (1500 attended) to clarify issues prior to certification assessment in Jan. 05; Dec. 04 tree assessment &amp; sales training for 40 representatives of CFFA farmers groups, cutters &amp; carvers reps; 3 week training in product packaging of Kwetu neem co-ordinator, with learnt skills to be imparted to CFFA farmers groups;</p>

No ref.	15 over 3 years	<p>year 1: David Bright from Oxfam GB has held initial meetings with 5 retailers and distributors in UK;</p> <p><u>year 2:</u> Meetings with three importers held to present Good Wood range &amp; invited to visit Kenya for a buyers visit. Invitation to attend buyers visit in Kenya to 3 importers: Oxfam Australia; People Tree (Japan); Ten Thousand Villages (USA); for July 04</p> <p>NB: local and international buyers meetings and trade fairs have been organised and found to be very effective (see output 14 A)</p>
7 (new)	<p>3 manuals</p> <p>1 FSC group scheme administration guidelines</p> <p>1 COC guidelines</p>	<p>1 production manual for carvers (to be shared with other co-operatives); 2 training manual for trainers of farmers (1<sup>st</sup> &amp; 2<sup>nd</sup> generation training). Administration Guidelines Good Wood certification scheme (2204). FSC chain of custody guidelines (2004)</p>
8	6 weeks min. over 3 yrs	<p>Supervisory trip of 8 days in May 02 &amp; Oct. 02; 8 days in March 03; 6 days in Dec. 03; 10 days in Feb 2004; 9 days in April 05;</p>
9	<p>1 report (Nov. 03)</p> <p>1 FSC management plan</p>	<p>Resource manager recruited in Aug. 2003 &amp; first Annual report received Nov. 2003.</p> <p>Management plan for FSC certified Neem under CFFA group management scheme (2004)</p>
11A	1	<p>article in Economic Botany, Vol. 58; Issue 1; p. 98-111; Obara <i>et al.</i> 2003 Neem, <i>Azadirachta indica</i> A. Juss. (Meliaceae), and its potential for sustainable woodcarving in Kenya</p>
14A (new)	9	<p><u>Year 1:</u></p> <ul style="list-style-type: none"> <li>• project review workshops in Oct. 02 (first time with partners) &amp; March 2003</li> </ul> <p><u>year 2:</u></p> <ul style="list-style-type: none"> <li>• Carving buyers &amp; producers meeting, Oct. 2003, Nairobi organised by KGT.</li> <li>• Members of Parliament meeting, Jan. 2004, Mombasa, organised by WWF EARPO to sensitise MPs to issues linked to new forestry bill; incl. potential constraints for Good Wood project.</li> <li>• 2<sup>nd</sup> Annual review and planning workshop, Feb. 04</li> </ul> <p><u>Year 3:</u></p> <ul style="list-style-type: none"> <li>• July 2004 Crafts Trade Fair organised by KGT to co-incide with international buyers meet &amp; for local buyers &amp; local producers of good woods and soap products;</li> <li>• 5-day capacity building workshop for Kwetu Staff and CFFA farmers groups; Local buyers trade show: 3 days; August 2004, Mombasa.</li> <li>• Oct 2004 workshop organised by KGT/Traidcraft "Emerging issues in the woodcarving sector" 40 key stakeholders from handicraft sector; presenting &amp; discussing lessons learnt form Good Woods project.</li> <li>• March/April 05: KGT held 2<sup>nd</sup> Mombasa trade exhibition with 36 exhibitors &amp; 2200 visitors; Project partner participating were CFFA, CTP and Akamba.</li> <li>• 3<sup>rd</sup> Annual review &amp; planning workshop, April 2005</li> </ul>

14B (new)	>9	<p>year 1: Project leader presentations: July 2002 presentation, Conservation Biology Conference; Sept. 2002 presentation on barriers to certification to SLIMF Technical Committee; Project Officer: 3 presentation at small workshops; 1 presentation at a symposium of the East African Annual Crafts Trade Fair; 1 presentation to Kenya Forestry Working Group; several presentations at small workshops</p> <p><u>Year 2:</u> Project Officer, presentation on progress to FSC SLIMF* technical committee (member); Market access presentation on Good woods case study by KGT to Inter Gatsby meeting, May 04;</p> <p><u>Year 3:</u> Project leader: May 05 &amp; Nov 05 Lecture to Oxford Univ. MSc students in Biodiversity on Market-based conservation with 'Good Woods' as special case study. Project officer, Resource manager &amp; Chairman of CFFA made presentation at workshop by Kenya Forest Action Network on the Good Woods experience and lessons learnt</p>
15A	9 over 3 yrs	<p><u>year 1:</u> 1 ½ page interview with project officer in national newspaper</p> <p><u>year 2:</u> 2 newspaper articles; 1 regional environmental newsletter feature; 1 web-article by AFP Terradaily (<a href="http://www.terradaily.com">www.terradaily.com</a>).</p> <p><u>Year 3:</u> Certification article with woodcarving as case study in Environment Liaison Center International WWF EARPO web-newsletter, Oct. 2004; "Better times ahead for carvers", The Standard, 24/1/05;</p>
15C (new)	3	<p>UK press releases: 1 by WWF-UK 'Kenya carves its place in forests' history' picked up by trade publications &amp; WWF Int for web-news; 1 joint with Soil Association – Wood mark for FSC news; WWF NEWS, Summer 2005 (circ. C. 300000) Feature article: Carving out a brighter future.</p>
16 A,B.	2 x 1200	<p><u>year 1:</u> Chonga 3 newsletter produced in 2 versions: 1 carver and 1 general; 1200 will be distributed to carvers and 800 for the wider audiences.</p> <p><u>year 3:</u> Chonga 4 newsletter (August 2005) both on internet: <a href="http://peopleandplants.org/whatweproduce/newsletter.html">http://peopleandplants.org/whatweproduce/newsletter.html</a></p>
19B (new)	1	<p><u>year 2:</u> 1 interview of project officer by BBC World Business Programme.</p>
19C (new)	1	<p><u>year 1:</u> 1 radio feature broad-cast in Swahili and English in the coastal region</p>
20 (new)	2	<p>1 experimental drying kiln was constructed in August 2003 and 1 production kiln construction during March 2004. Total of c. £ 7, 600; £ 3,000 from Darwin funding, rest from DFID.</p>
21 (new)	2	<p>Establishment of the Coastal Farm Forestry Association (CFFA) and Kenya Coast Tree Products (CTP) in July 2004</p>

23 (new)	3	<p>Oxfam's contribution to the project (mostly farmers' training through Kwetu) = c. £ 30,000 p. a. (since FY02/03).</p> <p>CFCU contribution from GEF grants = US \$ 48,000 over 2 years; grant completed in May 2004.</p> <p>KGT contribution in kind (time) = c. £ 7, 400 in FY03/04.</p> <p>KEFRI – wood tech. experiments; in kind = c. £ 1,500.</p>
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## 16. Appendix III: Publications

Type (e.g. journals, manual, CDs)	Detail (title, author, year)	Publishers (name, city)	Available from (e.g. contact address, website)	Cost £
Book <sup>1</sup>	<i>Tapping the Green Market: certification &amp; management of NTFPs</i> ; Shanley et.al. 2002	Earthscan, London	Earthscan, <a href="mailto:info@earthscan.co.uk">info@earthscan.co.uk</a>	£24.95
FSC newsletter	FSC news and notes	FSC	June 2002 on FSC website; (unfortunately not available in their web-archive)	-----
Journal article	Obara et al. 2003 <i>Neem, Azadirachta indica</i> A. Juss. (Meliaceae), and its potential for sustainable woodcarving in Kenya. <i>Economic Botany</i> , Vol. 58; Issue 1; p. 98-111;	Economic Botany	libraries; Abstract accessible on <a href="http://www.bioone.org/bioone/?request=get-document&amp;issn=0013-0001&amp;volume=058&amp;issue=01&amp;page=0098">http://www.bioone.org/bioone/?request=get-document&amp;issn=0013-0001&amp;volume=058&amp;issue=01&amp;page=0098</a>	-----
Training of Trainers manual	<i>A training manual for extension workers in the Good Woods Project – First generation training manual &amp; Second generation training manual</i> KWETU Training Centre, 2004	KWETU Training Centre, Mombasa	<a href="mailto:Kwetu@sollatek.co.ke">Kwetu@sollatek.co.ke</a>	-----
Production manual & poster	<i>KG T, 2004</i>	Kenya Gatsby Trust, Nairobi	<a href="mailto:ckandie@kenyagatsby.org">ckandie@kenyagatsby.org</a>	-----
Book <sup>2</sup>	<i>Carving out a future: tropical forests, livelihoods and the international woodcarving trade.</i> A.B. Cunningham & B. Campbell (eds.) (July 2005)	Earthscan London	<a href="mailto:earthinfo@earthscan.co.uk">earthinfo@earthscan.co.uk</a>	£ 24.95
Video <sup>3</sup>	<i>Carving a Future: 10 lessons for sustainable woodcarving enterprises</i> 24 minutes. Camera, script and direction: Tony Cunningham	WWF/UNESCO	Natural History Book Service <a href="mailto:sales@nhbs.co.uk">sales@nhbs.co.uk</a>	£ 12.95
Newsletter	<i>Chonga 3</i> April (2003) and <i>Chonga 4</i> (July 2005)*	WWF EARPO	download from <a href="http://peopleandplants.org/whatweproduce/newsletter.html">http://peopleandplants.org/whatweproduce/newsletter.html</a>	
Info Brief	<i>Planning for woodcarving in the 21<sup>st</sup> century</i> ; CIFOR info brief (April 2002)	CIFOR	<a href="http://www.cifor.cgiar.org/publications/pdf_files/infobrief/001-Infobrief.pdf">http://www.cifor.cgiar.org/publications/pdf_files/infobrief/001-Infobrief.pdf</a>	

WWF  
EARPO  
newsletter

**EARPO News**  
page 4; minister pledges support for  
Good Woods Project

WWF  
EARPO

<http://www.panda.org/downloads/africa/octdec2004earponewsletter.pdf>

WWF  
International  
online  
'Newsroom'

Kenya carves its place in  
forests' history  
(29 March 2005)

WWF  
International

<http://www.panda.org/newsfacts/newsroom/news.cfm?uNewsId=19534&uLangId=1>

FSC  
newsletter

Rescuing species and  
preserving traditions.....  
(31<sup>st</sup> March 2005)

FSC

[http://www.fsc.org/en/whatsnew/news/news\\_notes/18](http://www.fsc.org/en/whatsnew/news/news_notes/18)

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- 1) Contains a chapter by Susanne Schmitt (project leader) and Tony Cunningham on the earlier phase of the Kenya woodcarving certification effort; p. 259-264
  - 2) contains a chapter by Susanne Schmitt (project leader) & David Maingi (project officer) with the title 'Certification and woodcarving'; should be published July 2005.
  - 3) This video provides 10 lessons aimed at developing sustainable woodcarving enterprises, including footage from Kenya. Produced by a colleague in the People and Plants Initiative.

## 17. Appendix IV: Darwin Contacts

To assist us with future evaluation work and feedback on your report, please provide contact details below.

<b>Project Title</b>	Conserving Kenya's indigenous forest through certification
<b>Ref. No.</b>	
<b>UK Leader Details</b>	
Name	Dr Susanne F. Schmitt
Role within Darwin Project	Project leader
Address	WWF-UK, Panda House, Weyside Park, Godalming GU7 1XR
Phone	
Fax	
Email	
<b>Other UK Contact (if relevant)</b>	
Name	
Role within Darwin Project	
Address	
Phone	
Fax	
Email	
<b>Partner 1</b>	
Name	David Maingi
Organisation	WWF EARPO
Role within Darwin Project	Project Officer
Address	ACS Plaza, Lenana Road, PO Box 62440, Nairobi 00100
Fax	
Email	
<b>Partner 2 (if relevant)</b>	
Name	
Organisation	
Role within Darwin Project	
Address	
Fax	
Email	

**Appendix V: Original log frame with modifications in bold (nb; assumption were not altered)**

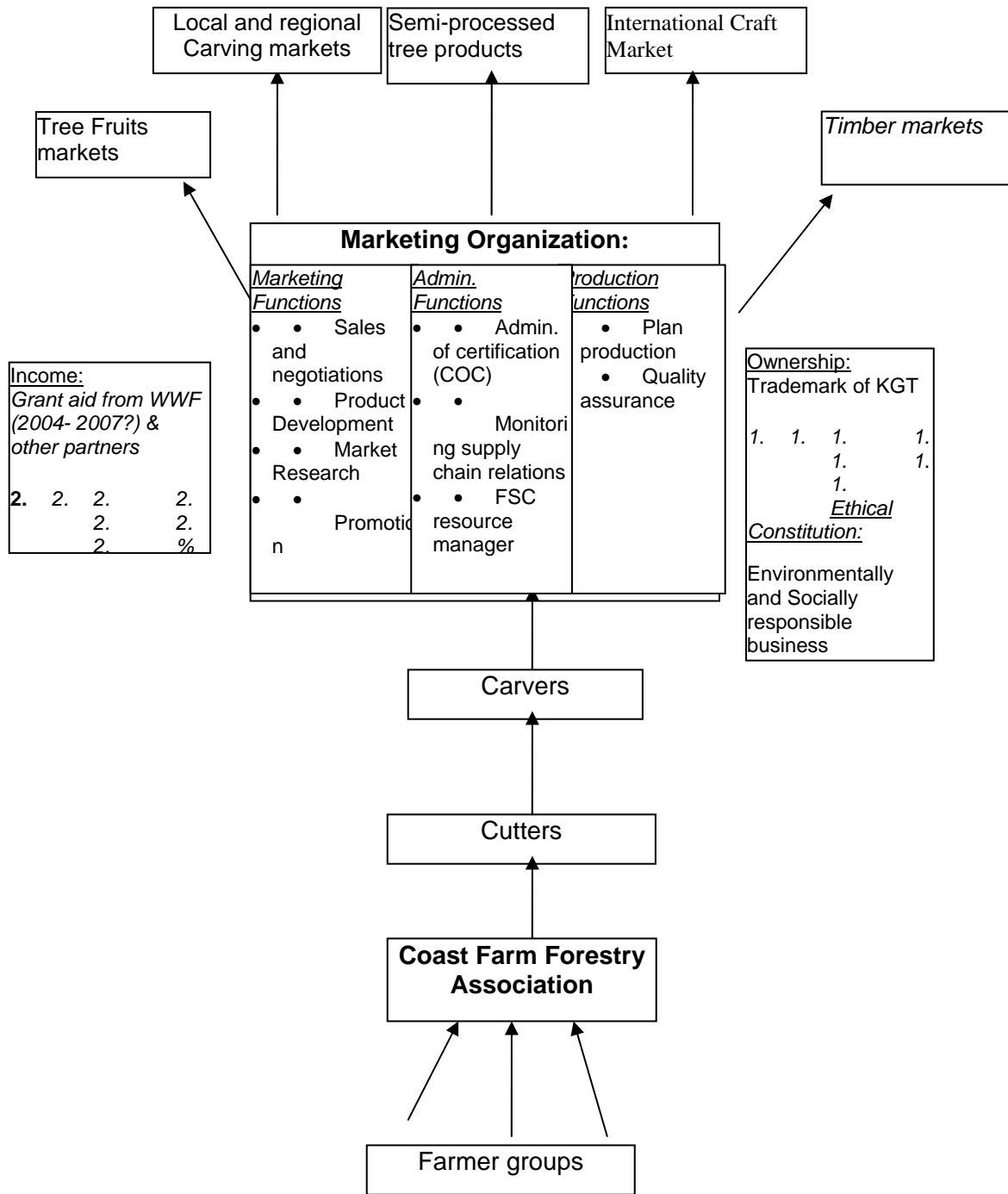
<b>Project summary</b>	<b>Measurable Indicators</b>	<b>Means of Verification</b>	<b>Assumptions</b>
<p><b>Goal:</b> To assist countries rich in biodiversity but poor in resources with the conservation of biological diversity and implementation of the CBD</p>	<p>(no measurable indicators, but means of verification only at this level)</p> <p>FSC accredited certification</p> <p>Case study on project prepared for COP of the CBD</p> <p><i>Cooperative records use of forest hardwoods vs. farm-grown or plantation trees</i></p>	<p>SC accredited certification</p> <p>Case study on project prepared for COP of the CBD</p> <p>Cooperative records use of forest hardwoods vs. farm-grown or plantation trees</p>	<p>Cooperatives acting rationally and in the best interest of its members</p> <p>Stability of the general political environment</p>
<p><b>Purpose</b> <i>Conservation of critical forest habitats in Kenya (Art. 8 CBD) by putting in place an incentive (Art. 11 CBD) to enable carvers shift from traditionally preferred forest hardwoods to farm-grown or plantation species, thereby providing for sustainable livelihoods for carvers and tree owners (Art. 10 CBD)</i></p>	<p>Number of arrests for illegal timber harvesting [<b>% reduction in incidences of illegal harvesting</b>]</p> <p>Number &amp; % of carvers “signing up” to certification (target 5%)</p> <p>Number of farmers supplying carving industry</p> <p>Volume &amp; % of GW used for carving (target 10%) [<b>at coast: 90-100%good wood use by the end of project</b>]</p> <p>Income for farmers &amp; carvers</p>	<p>Records of Forest Department and Kenya Wildlife Service</p> <p>Records of resource manager and cooperative</p> <p>Records of resource manager and tree cutters</p> <p>Records of resource manager and cooperative</p> <p>Comparisons to surveys in 1996 and 2000</p>	<p>level of protection and size of protected areas in Kenya is effective in _addressing other threats</p> <p>Resource manager in place</p> <p>Management plans for wood supply and chain-of-custody being implemented</p> <p>Adequate training has been provided to cooperative, carvers, cutters and wood suppliers</p>
<p><b>Outputs</b></p>			
<p>Certification of sustainably sourced carvings from <b>largest</b> woodcarving cooperative <b>in Kenya</b></p> <p>Increased general awareness about sustainable woodcarving and</p>	<p>Certification documents</p> <p>Volume/percentage of certified carvings marketed</p> <p>Amount of media attention</p>	<p>Certification assessment by accredited certifier</p> <p>Records of resource manager and cooperative</p> <p>Newspaper cuttings and copies of radio and TV programmes</p>	<p>Scheme of group certification of a catchment of farmers and offsite ecological benefits acceptable under FSC policy.</p> <p>Increased awareness leads to</p>



<p>benefits of certification amongst carvers, tourists, exporters and importers.</p> <p><b>Establishment of a marketing and production company owned by carvers and farmers.</b></p> <p><b>*Influence national efforts to curb illegal logging</b></p> <p><b>*Improve FSC certification process for small-scale producers</b></p>	<p>Number of media contributions</p> <p><i>Number of meetings with importers</i></p> <p>Number of workshops and training activities on the subject</p> <p><b>company registered &amp; operating successfully</b></p> <p><b>illegal harvesting significantly reduced</b></p> <p><b>standards amenable for small-producers exist, are tested and applied.</b></p>	<p>relating to certification</p> <p>Workshops reports</p> <p><b>registration documents; orders completed; professional staff (marketing &amp; production expert) recruited.</b></p> <p><b>FD records; low hard wood stock in carvers log yards</b></p> <p><b>documentation of FSC technical committee meetings; copy of standards; certification documents based on modified standards</b></p>	<p>change in behaviour</p> <p><b>Registration without problems and all stakeholders can/want to commit to owning company</b></p> <p><b>FD willing and able to enforce logging ban</b></p> <p><b>FSC willing/able to make sufficient concession to benefit small producers</b></p>
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\*outputs added on suggestion of 2004 annual report reviewer.

**Appendix VI, Figure 2: The Coastal Tree Products Company**



**Appendix VII: Breakdown of expenditure over 3 years, showing budget amendments (see attached excel file: Final financial report Darwin.xls)**

**Appendix VIII:**

**LIST OF DOCUMENTS PRODUCED DURING THE PROJECT LIFE-TIME (APRIL 02 – MARCH 05)\***

2005

- Workshop report: 2005 Review & Planning meeting with workplan.
- FSC certificates: CFFA Forest management certificate, Akamba COC certificate, CTP COC certificate
- Soil Association - Woodmark FSC assessment reports (FM & 2 COC)
- SLIMF Standards
- 2005 Harvesting schedule for neem
- Darwin Post-project application (failed to get funding)
- CTP business concept by KGT
- FSC newsletter, March 2005, with coverage on the Good Wood certification
- WWF International News Internet article:
- Quality Assurance system and monitoring of COC documents
- Operations meeting minutes
- Bi-monthlies

2004

- Bi-monthlies
- Good Woods Production and quality assurance manual
- Chain of custody manual
- Administration Guidelines Good Wood certification scheme
- Monitoring system for the Good Woods certification scheme
- Resource survey report (Pakia Mohammed)
- Workshop report: Review and planning workshop 2004
- Final wood technology report – M. Muga
- Draft CTP Business plan
- Final People & Plants evaluation report – Kenya part
- 1<sup>st</sup> and 2<sup>nd</sup> generation Farmers training manual
- Soil Association Scoping report (February 2004)
- 2-page project outline compiled by Oxfam & WWF UK
- Scaling-up short report (Odera)
- Scaling-up report (P. Maundu)
- Operations meeting minutes

2003

- Bi-monthlies
- Review & Planning workshop report (R. Waweru)
- Neem policy and market research in Kenya (KGT)
- Wood technology report (Muga & Burclaff)
- Baseline livelihood report (Kwetu, French Vibar)

2002

- Bi-monthlies
  - 1<sup>st</sup> wood technology report (Muga)
  - Presentation of Good Woods project to Oxfam (S. Schmitt)
  - Presentation of Good Woods project to Society of Conservation Biology Conference, Canterbury, Kent, July 2002.
  - Presentation of Good Woods project to SLIMF Technical Committee, September 2002
  - Minutes of WWF-Oxfam planning workshop, October 2002, Mombasa
- \* generally excludes published material such as books and articles