

**REPUBLIC OF KENYA**



**MINISTRY OF AGRICULTURE AND IRRIGATION**

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**STATE DEPARTMENT OF LIVESTOCK**

**EASTERN AND CENTRAL AFRICA AGRICULTURE TRANSFORMATION (ECAAT)  
PROJECT**

**VULNERABLE AND MARGINALIZED GROUPS FRAMEWORK (VMGF)**

**MAY 2018**

## **ACKNOWLEDGEMENT**

This Vulnerable and Marginalized Groups Framework has been prepared by the National Project Coordinating Unit (NPCU) under the Ministry of Agriculture and Irrigation. The Ministry wishes to thank all the different stakeholders from both the public and private sector who participated in the development of this framework.

## **Abbreviations and Acronyms**

ACHPR	African Commission on the Human and Peoples Rights (ACHPR)
BP	Bank Policy
CDD	Community Driven Development
CDDC	Community Driven Development Committee
CIGs	Community Interest Groups
COE	Council of Elders
CoK	Constitution of Kenya
CPS	Country Partnership Strategy
CSO	Civil society organizations
CRA	Commission on Revenue Allocation
EAs	Environmental Assessments
ESA	Environment and Social Audit
EAAPP	Eastern Africa Agricultural Productivity Project
ECAATP	East and Central Africa Agricultural Transformation Project
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free, Prior and Informed Consultation
FS	Feasibility Study
GDP	Gross Domestic Product
GOK	Government of Kenya
GRM	Grievance Redress Mechanism
GRS	Grievance Redress System
ICT	Information and Communication Technologies
IDA	International Development Association
IPO	Indigenous Peoples Organization
KNCHR	Kenya National Commission on Human Rights

KShs.	Kenyan Shilling
KFS	Kenya Forest Service
LA	Land Act 2012
LAC	Land Administration Committees
LACT	Land Acquisition Compensation Tribunal
LRA	Land Registration Act 2012
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MEWNR	Ministry of Environment, Water and Natural Resources
MSME	Micro, Small and Medium-scale Enterprises
MoA&I	Ministry of Agriculture and Irrigation
MoE	Ministry of Education
MoPHS	Ministry of Public Health and Sanitation
MOPE	Market-Oriented Producer Enterprise
MoU	Memorandum of Understanding
NCBF	National Capacity Building Framework
NCCAP	National Climate Change Action Plan
NEMA	National Environment Management Authority
NGO	Non-Governmental Organization
NLC	National Land Commission
NLP	National Land Policy
OP	Operational Policy
PAD	Project Appraisal Document
PAP	Project Affected Persons
NPCU	Project Implementation Unit
PDO	Project Development Objective
PIC	Public Information Center
FGM	Participatory Integrated Community Development
PIM	Participatory Impact Monitoring
PIM	Project Implementation Manual
PO	Producer Organizations

PRA	Participatory Rural Appraisal
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
RRA	Rapid Rural Appraisal
SA	Social Assessment
SIA	Social Impact Assessment
SLM	Sustainable Land Management
SSE	Small Scale Enterprises
UN	United Nations
UNDRP	United Nations Declaration on the Rights of Indigenous Peoples
US\$	United States Dollars
VMG	Vulnerable and Marginalized Groups
VMGF	Vulnerable and Marginalized Groups Framework
VMGO	Vulnerable and Marginalized Groups Organization
VMGP	Vulnerable and Marginalized Groups Plan
WB	World Bank

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## EXECUTIVE SUMMARY

### Introduction

1) Although poverty rates in Kenya seem to have fallen, formidable challenges at reducing poverty and increasing shared prosperity, in particular in rural areas, remain. Poverty reduction has been driven by solid growth across most sectors of the economy. However, improvements in income are not evenly shared amongst people and inequality appears to be rising among regions. According to the World Bank Group Kenya Country Partnership Strategy (CPS 2014-2018), Kenya's poverty rate has been falling—from 47 percent in 2005/06 to about 39 percent based on best estimates in 2012/13, but in the remote, arid, sparsely populated north-eastern parts of the country (Turkana, Mandera, and Wajir), poverty rates are above 80 percent. The scale of poverty in Kenya is staggering and is concentrated in rural areas. Based on the last national household budget survey, close to half of the population (nearly 17 million Kenyans) was poor in 2005. The vast majority of the poor lived in rural areas and were more likely to depend on income and consumption from crops and livestock, as their main source of livelihood. Revised poverty estimates indicate that in 2013 nearly 4 in 10 Kenyans continue to live in extreme poverty.

2) Vision 2030 recognizes the significance of agriculture to its goal of achieving an average GDP growth rate of 10 percent per year up to the year 2030. This level of growth will be crucial for attaining the SDGs 1 and 2 of ending poverty and hunger, respectively. Kenya's Agricultural Sector Development Strategy (ASDS, 2010–2020) operationalizes the Vision 2030 by focusing on transforming smallholder agriculture from low-productivity subsistence activities to more innovative, agri-business-oriented agriculture. Regarding adaptation to climate change, ASDS prioritizes investments in weather information systems, research on drought tolerant crop varieties, soil and water conservation, water harvesting, and strengthening integrated pest management systems. For livestock, it prioritizes improved management of grazing systems, biogas, livestock diversification, and improved breeding of animals.

3) The proposed ECAATP will contribute to GoK's Vision 2030 development strategy, launched in 2008 and Vision 2030 reiterates the importance of transforming smallholder subsistence agriculture into an innovative, commercially oriented, and modern sector. It

identifies the major challenges as low productivity, underutilized land, inefficient markets, and limited value addition. The agricultural sector's response to Vision 2030 was to develop the Agricultural Sector Development Strategy 2010–2020 (ASDS), completed in 2010. The overall target for the ASDS was to attain average agricultural sector growth of 7 percent annually between 2010 and 2015. In line with Vision 2030, the ASDS seeks to address two critical challenges: (i) increasing the productivity, commercialization, and competitiveness of agricultural commodities; and (ii) developing and managing key factors of production, such as land, water, and rural finance.

4) In addition, ECAAT project is expected to contribute to the “Big Four” immediate priorities and actions namely: Food and Nutrition Security, Manufacturing, Health and Housing which are the Government's key focus areas for the next five years (2018-2022).

5) The proposed ECAATP will, support *strategic interventions that are considered to be key elements of agricultural transformation including*: (i) enhancing technology of production along commodity value chains, including by providing farmers with access to technical knowledge and improved seeds and breeds; (ii) building resilience in primary agriculture to changing climate and promoting nutrition-sensitive agriculture and food safety; (iii) developing critical skills to meet the needs of current and future food systems, including skills required by private and public sectors; (iv) forming partnerships and alliances that connect farmers with markets and enable farmers to understand market needs and produce for the market, (v) regional integration of markets for technology of production, food commodities and food products; and (vi) facilitating a policy and regulatory environment that actively enables regional collaboration in developing solutions across the value chain and encourages private-sector participation, including in technology development.

6) The project will contribute to structural transformation for growth and poverty reduction through competitiveness, resilience to shocks, and macro stability through: (a) boosting agriculture productivity to improve the sectors competitiveness; (b) skills development, including technical skills and higher education, to generate competent skills that meet the needs of the private and public sectors; (c) building competitiveness of smallholder farmers to access formal regional markets for food; (d) nutrition sensitive agriculture to address malnutrition and

contribute to long-term human capital development; and (e) climate smart agriculture practices to build resilience in the food system. In this context, the project will seek regional solutions to: (i) generate highly productive technologies and improve farmers access to the technologies, innovations, and management practices; (ii) adapting to the threat of climate change, through a regional approach to development of resilient technologies (seeds and breeds) and management practices that improve water use efficiency; (iii) improve smallholder farmers access to regional value chains and removing barriers to movement of agricultural inputs and produce; (iv) leverage human capital and skills that may not be available in each country to support regional agenda for transformation of agriculture; (v) develop skills for the food system to meet the needs of public and private sectors; and (vi) promote innovative approaches in the business of agriculture and create sustainable regional collaboration for agriculture transformation.

7) **Project Development Objective (PDO).** The PDO is to enhance regional collaboration to improve productivity, resilience, and competitiveness of selected agricultural commodity value chains and increase smallholder farmer access to the regional market for food commodities and products. The proposed program supports Kenya’s Vision 2030 whose key element is the development of “an innovative, commercially oriented and modern agriculture, livestock and fisheries sector” in an inclusive way. This is a long-term vision and would require a series of operations during the next 5 to years.

8) **Project Description.** The National Government has requested for a credit facility from the International Development Agency (IDA – World Bank Group) to finance the implementation of the East and Central Africa Agriculture Transformation (ECAAT) Project which is the second phase of the Eastern Africa Agricultural Productivity Project (EAAPP). The project implementation is under the overall responsibility of State Department of Livestock under the Ministry of Agriculture and Irrigation. The Project will focus on harmonization of selected policies across the region to create a conducive regulatory environment for regional collaboration in development, transfer, and exchange of technologies – which then enables sustainable regional collaboration and private sector investment in technology development beyond the life of the project. Access to formal markets is a major constraint for agriculture in the region, and a huge amount of regional trade in agriculture commodities is informal. The project will support smallholder farmers to access regional value chains through proven

approaches, such as productive alliances, and support (at least on pilot basis) the use of regional commodity exchanges to improve regional integration of markets for agricultural commodities. Overall, the regional collaboration will generate important goods of a public nature, including: (a) technologies, innovations, and management practices – for example improved varieties and breeds; (b) capacities created in the regional centers of leadership/excellence – for example laboratories, databases and information; and (c) formal networks of competent scientists to underpin sustainable collaboration; (d) harmonized regional policies and improved capacity for policy analysis; (e) gene banks for germplasm conservation; (f) reduction of greenhouse gas (GHG) emissions; (g) regional platforms for access to formal markets – e.g. productive alliances and regional commodity exchanges.

### **Project Components**

9) **Component I: Regional Commodity Programs.** This component will support regional collaboration in the development of agricultural technologies, innovations, and management practices (TIMPs) for selected commodities and to facilitate exchange and dissemination of the TIMPs across national boundaries. The focus will be on (i) efficient use of existing knowledge, technical expertise, institutional capacity and physical facilities; (iii) faster development of new technologies, innovations, and management practices; and (iv) organized transfer of genetic materials, germplasms, planting materials, breeding stock and technologies across national boundaries. The project's investments in the regional centers will strengthen the human, institutional, and infrastructure capacities to enable the centers become platforms for: (i) coordinating regional priorities for development of agricultural TIMPs; (ii) advancing innovations and solutions along value chains, including post-harvest management, food safety, and development of food products; (iii) establishing linkages with global sources of knowledge, including CGIAR centers, US land grant universities, and national and regional universities; and (iv) establishing strong linkages with the private sector, especially agribusinesses involved in both input and output markets for food commodities and products. The project will also finance activities to eventually transform the selected centers into certified Regional Centers of Excellence for a specific commodity or group of commodities, based on agreed criteria. The support will include: (a) establishing formal network of researchers and other collaborators in

regional commodity programs; (b) capacity building on leadership and governance; (c) physical infrastructure such as scientific labs and incubation centers.

10) **Component 2: Enabling Policies and Agricultural Markets.** This component will support (i) creation of an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies; and (ii) Improvement of smallholder farmer's access to regional and national markets for food commodities and products and (iii) promoting effective models for service delivery. This will be realized through creating enabling policies and linking smallholder farmers to regional and national markets.

11) **Component 3: Contingency Emergency Response:** This zero-cost component will finance eligible expenditures under the Immediate Response Mechanism (IRM) in case of natural or man-made crises or disasters, severe economic shocks, or other crises and emergencies in the ECAAT project countries. This contingency facility can be triggered through formal declaration of a national emergency by the government authority and upon a formal request from government of the participating country to the World Bank through the Ministry of Finance/National Treasury. In such cases, funds from other project components will be reallocated to finance emergency response expenditures to meet agricultural crises and emergency needs. The emergency response would include mitigation, recovery, and reconstruction following crises and disasters, such as severe droughts, floods, disease outbreaks, and landslides, among others. Implementation of this component will follow a detailed Contingent Emergency Response Implementation Plan (CERIP), which is satisfactory to the World Bank to be prepared by the respective government for each Eligible Crisis of Emergency.

12) **Component 4: Project Coordination and Management:** This component will focus on project coordination and management at national and regional levels. Activities financed under this component will comprise coordination, fiduciary aspects, M&E, safeguards monitoring and compliance, and day-to-day implementation of the project.

## **Primary Beneficiaries**

13) The primary beneficiaries of the project will be smallholder farmers, including women and youth and Vulnerable and Marginalized Groups<sup>1</sup> (VMGs) and other stakeholders along dairy, wheat, rice, cassava, indigenous poultry and beans value chains. The project will target organized common interest groups (CIGs) and federated into Producer and marketing Organizations (PMOs) along the value chains (VC). It is envisaged that ECAAT will be implemented in the 23 counties that were covered under EAAPP and additional ones that will be identified through stakeholder consultations using a pre-determined criterion.

### **Rationale for the use of a Vulnerable and Marginalized Groups Framework**

14) This VMGF for ECAAT Project has been prepared by the borrower (Government of Kenya) based on the requirements of OP/BP 4.10 – Indigenous Peoples Policy of the World Bank and the applicable laws and regulations of the Government of Kenya. The Indigenous Peoples Policy (OP 4.10) is triggered when it is likely that groups that meet criteria of World Bank OP/BP 4.10 “are present in, or have collective attachment to, the project area<sup>2</sup>.” The VMGF will guide the preparation of the specific vulnerable and marginalized groups plans (VMGPs) of the ECAATP sub-projects that may affect VMGs in the proposed project counties.

15) WB Indigenous Peoples Policy (OP/BP 4.10) contributes to the Bank's mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. For all projects that are proposed for World Bank financing and that affect Vulnerable and Marginalised Groups (VMGs), the Bank requires the borrower to engage in a process of free, prior, and informed consultation leading to broad community support. The Bank provides project financing only where free, prior, and informed consultation results in broad community support to the project by the affected vulnerable and marginalised groups'. Such Bank-financed projects include measures to: -

- a) Avoid potentially adverse effects on the Indigenous Peoples' communities; or

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<sup>1</sup> In addition to those communities meeting the requirements of World Bank OP/BP 4.10; the other vulnerable groups include: single parents, the sick, physically challenged persons, elderly and those struggling with drug addiction or recovering from drug addiction.

<sup>2</sup>World Bank, Operational Policy (OP) 4.10 Indigenous Peoples, July 2005.

- b) When avoidance is not feasible, minimize, mitigate, or compensate for such effects;
- c) Ensure that the vulnerable and marginalized people receive social and economic benefits that are culturally appropriate and gender as well as inter-generationally inclusive; and that the VMGF is based on free, prior and informed consultations with indigenous peoples leading to broad community support<sup>3</sup>.

16) The objectives of the framework, therefore, are to avoid adverse impacts on vulnerable and marginalised groups, secure broad community support for the project and to provide Vulnerable and Marginalized Groups (VMGs)<sup>4</sup> with culturally appropriate benefits.

17) During project preparation, it has become clear that the sub-project investments under ECAATP might be undertaken in areas where groups that meet the criteria of WB OP 4.10 Indigenous Peoples are present in or have collective attachment to the project area. To qualify for funding from the Bank and following best practices documented in the World Bank's policy on Indigenous Peoples (OP 4.10), the Government of Kenya commissioned the preparation of a Vulnerable and Marginalised Groups Framework (VMGF) to ensure that the development process fully respects the dignity, human rights, economies, and culture of vulnerable and marginalised people and that the ECAATP sub-projects have broad community support from the affected vulnerable and marginalised people.

18) In such cases, and when the Bank's screening indicates that VMGs are likely to be present in, or have collective attachment to, the project area, but their presence or collective attachment cannot be determined until the programs or investments are identified, the borrower (in this case GoK) prepares a Vulnerable and Marginalized Groups Framework (VMGF). The VMGF provides for the screening and review of the proposed sub-projects in a manner

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<sup>3</sup> According to the Kenya Country Partnership Strategy (2014-2018) the key gender gaps for agriculture sector are land rights, agricultural productivity as well as women's access to inputs and agriculture extension. The CPS's gender focus areas are female education, entrepreneurship and rural women's groups. However, gender gaps and their prioritization vary in different regions in Kenya but the application of TIMPs along value chains must be appropriate e.g. keeping of local chicken, growing of fruits and vegetables just but to mention a few.

<sup>4</sup> Given particularities with respect to the term *Indigenous Peoples* in Kenya, the 2010 Constitution of Kenya uses the term "vulnerable groups" and "marginalized communities" Since adoption of the Constitution in 2010, the GoK has requested that project instruments related to the implementation of OP 4.10 use the constitutionally-sanctioned terminology. OP 4.10 contemplates that different terminology may be applied in different countries without affecting the application or substance of the policy. It states: "*Indigenous Peoples* may be referred to in different countries by such terms as *indigenous ethnic minorities; aboriginals, hill tribes, minority nationalities, scheduled tribes, or tribal groups.*"

consistent with this policy. The ECAATP will integrate the VMGF recommendations into the project design of each sub project based on the community project proposals. The selection of the sub-projects will be guided by the project implementation manual.

19) A Vulnerable and Marginalised Groups Framework is developed when a proposed project design is not yet finalised such that the specific sub projects whose specific impacts are impossible to identify so as prepare a Vulnerable and Marginalised Groups Plan (VMGP) as required. At the time of preparation of this VMGF the following issues were outstanding: (a) host sites for sub-projects had not yet been identified; and (b) those vulnerable and marginalised groups whose rights and livelihoods may be affected by the sub-projects had not yet been defined, as the location or alignment of the sub-projects were yet to be decided.

20) It should be noted that minimal, if any, negative impacts are anticipated as a result of ECAAT project interventions. Most of the impacts anticipated will be positive for all communities, including for VMGs. As a result, a key focus of the VMGF and the VMGPs will be to propose pro-active steps for such groups to benefit from the project (including the following: citizen engagement, stakeholder analysis, social assessment, gender analysis) through all-inclusive participation, effective citizen engagement and use of affirmative strategies where necessary. It is generally envisaged that the Vulnerable and Marginalized communities do not have access to these services in a similar way to other dominant communities in Kenya.

21) The VMGF recognizes the distinct circumstances that expose VMGs to different types of risks and impacts from development projects as social groups with identities that are often distinct from dominant groups in their national societies. VMGs are frequently among the most marginalized and vulnerable segments of the population. At the same time, this policy, together with the Resettlement Policy Framework (RPF) and Environmental and Social Management Framework (ESMF) already prepared for this ECAATP, recognizes that VMGs should benefit from the TIMPs, value addition, technical assistance and infrastructure investments at the farm, community and county levels which will ensure long-term sustainable management of agricultural and natural resource management.

22) This VMGF describes the policy requirements and planning procedures that ECAATP will follow during the preparation and implementation of sub-projects, especially those identified



as occurring in areas where VMGs are present. The VMGF outlines the processes and principles of screening to determine if a proposed investment has impacts on vulnerable communities and the preparation of a VMGP, including the social assessment process, consultation and stakeholder engagement, disclosure procedures, communication and grievances redress mechanism (GRM). A detailed VMGP will be prepared for each sub-project once a project location is identified, screening is conducted and a social assessment done to determine if VMGs are present in the project investment area.

### **Vulnerable and Marginalized groups in the ECAAT Project Area**

23) Based on the initial assessment at project preparation phase and the screening to be undertaken of the potential sub-projects investment towards increasing productivity and building resilience to climate risks the following WB safeguards policies are triggered (Table 1):

**Table 1: Operational Safeguards triggered for ECAATP**

<b>Environmental and Social Safeguards Triggered</b>	<b>YES</b>	<b>NO</b>
OP/BP 4.01 Environmental Assessment	X	
OP/BP 4.04 Natural Habitats		X
OP/BP 4.36 Forests		X
OP 4.09 Pest Management	X	
OP/BP 4.11 Physical Cultural Resources		X
OP/BP 4.10 Indigenous Peoples	X	
OP/BP 4.12 Involuntary Resettlement	X	
OP/BP 4.37 Safety of Dams		X
OP 7.50 Projects in International Waters		X

OP 7.60	Projects in Disputed Areas		X
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24) Given the nature of the proposed interventions with specific sub-project designs and locations not known at the time of project preparation, the project will take a framework approach to managing safeguards. There are three framework reports that have been developed by Ministry of Agriculture and Irrigation through the National Project Coordinating Unit.

- a. Environmental and Social Management Framework (ESMF) and Pest Management Plan;
- b. Resettlement Policy Framework (RPF); and
- c. Vulnerable and Marginalized Group Framework (VGMF).

25) This VMGF is to be used by the Ministry of Agriculture and Irrigation and the implementing agencies and officers at County to ensure that the Vulnerable and Marginalized Groups that meet the criteria established by World Bank Operational Policy OP 4.10 are adequately addressed. The purpose of this VMGF is to ensure that management of issues related to vulnerable and marginalised groups are integrated into the development and operation of proposed investments to be financed under the ECAATP for effective mitigation of potentially adverse impacts while enhancing accruing benefits.

26) The ESMF, VMGF and RPF will cover the types of activities envisioned, identify potential impacts of these activities and propose a screening mechanism and a process of assessment and design of the mitigation measures for investments once identified. The prepared instruments cover the scope and coverage; when they should be applied; implementation arrangements; responsibilities; and costs. The ESMF, VMGF and RPF will be subjected to stakeholder/public consultations' and disclosed prior to project appraisal, subject to World Bank RSA clearance. During project implementation and based on the screening report, ESA/ESMPs, RAPs and VMGPs will be developed for individual sub-projects and subsequently disclosed appropriately in-country in the MoA&I website and World Bank Info shop. In addition, any

changes to the document after clearance and disclosure will need to follow the same process of disclosure, clearance and re-disclosure.

### **Vulnerable and Marginalized Groups in the ECAATP**

27) Indigenous Peoples Policy (OP/BP 4.10) will be triggered<sup>5</sup> by proposed investment sub-projects to be implemented under the ECAATP. The ECAATP targets Counties in which the communities meet the World Bank criteria for indigenous peoples or have collective attachment to the sub-project areas where component 1, 2 and 3 might be implemented. While the exact sites of the sub-projects remain unknown at this point, a preliminary assessment indicates that the project is likely to be implemented in areas where the following VMGs are present (Table 2).

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<sup>5</sup> See Annex 1 for World Bank Operational Policy (O.P.) 4.10 Indigenous Peoples.

**Table 2:** Indicative counties with VMGs

<b>Zones</b>	<b>County</b>	<b>VMGs that may be present in the County and could meet OP 4.10</b>
ASAL	Marsabit, Isiolo, Tana River, Garissa, Wajir, Mandera	Rendile, Borana, Somali, Gabra, Malakote, Boni, Waata
Semi-Arid	West Pokot, Baringo, Laikipia, Nyeri, Tharaka Nithi, Lamu, Taita-Taveta, Kajiado	Sengwer, Ogiek, Maasai, Endorois/ Ilchamus, El Molo, Samburu, Ilkonono, Wakifundi, Yaaku
Non ASAL	Bomet, Siaya, Kisumu, Kericho, Busia, Kakamega, Uasin-Gichu, Elgeyo Marakwet, Nyandarua, Machakos	Ogiek, Sengwer

28) In addition to OP 4.10, screening and profiling of marginalized communities and marginal groups will be done in line with the Constitution of Kenya, 2010, section 260, which provides criteria that can be used as a basis for profiling of communities and groups that could possibly be identified as “Marginalized Communities” and “Marginalized Groups”.<sup>6</sup> See annex 1)

29) Where the MoA&I confirms the existence of VMGs within sub-project operational area, ECAATP will carry out a social assessment and an iterative process of free, prior and informed consultations, for purpose of ascertaining whether the respective VMGs are participating in the sub-projects and leading to broad community support. Where such VMGs exist, ECAATP will proceed to sensitize and support them (Annex 1 and 15). It should be noted that some

<sup>6</sup> The Constitution states that a marginalized community/groups is one that meet the following criteria: (a) **A community** that are unable to participate in the integrated social economic life of Kenya as a whole due to (i) relatively small population or (ii) any other reasons; (b) **Traditional Community** that has remained outside the integrated social and economic life of Kenya as a whole; (c) **Indigenous community** that has retained a traditional lifestyle and livelihood based on a hunter-gatherer economy; and (d) **Pastoral persons or communities**, whether: (i) **nomadic or (ii) a settled community** that, because of its relative geographic isolation, has experienced only marginal participation in the integrated social and economic life of Kenya .

communities such as *Ogiek, Sengwer, Ilchamus, Boni and Waata, and some specific pastoral communities amongst the Maasai, Yaaku and Samburu* have met the criteria set out in World Bank OP 4.10. In other Bank financed projects, however, site-specific verification is required given the fast pace of urbanization and social-economic change.

Hence for that reason, the list provided here is indicative. A two-step -process will be applied including (a) screening and (b) field verification.

### **Types of Sub-Project Interventions**

30) While there are different levels and types of ECAAT projects, community driven development projects can be defined as “projects for which the majority of investment funding is for a large number of small and scattered sub-projects. Such-sub-projects may be multi-sectoral or may be limited to a single sector, such as agriculture, tend to be homogenous within the sector, with the following characteristics relevant to safeguard issues:

- Overall size – small to medium
- Often aimed at rural development
- Numerous, scattered sub-projects
- Nature and scope of sub-projects not known at the time of appraisal
- Sub-projects selected by a community-driven mechanism
- Implementation governed by an Operational Implementation Manual (OIM) or equivalent
- Monitoring and evaluation (M&E) mechanisms fairly elaborate to capture the quantity and quality of project outcomes.

31) Identified Project Social Risks: It should be noted that minimal resettlement is anticipated under this project and is only likely to occur for sub-projects linked to building local community infrastructure and assets; and in any case under the ‘willing buyer-willing seller approach’. The kinds of sub-project activities to be undertaken are anticipated to have minimal adverse social risks and can be sited in such a way as to avoid the physical relocation of people. As a result, minimal, if any, physical resettlement is expected under any component of this project.

32) Most, if not all, ECAAT projects fall under category B projects<sup>7</sup>, with site specific, predictable and readily manageable impacts. Given the challenges involved in managing environmental and social issues related to Category A projects, it is recommended that ECAAT projects avoid any type of activities that could lead to a Category A rating. A Category A project is expected to have significant, large-scale irreversible or unpredictable impacts. However, if Category A sub-projects are explicitly excluded from ECAAT project, a clear technical justification will be provided to put such sub-projects in the Negative List, such as the lack of capacity by communities to manage significant environment and social risks and high transaction costs to properly manage impacts.

33) The exact sub-project sites for the ECAATP are not yet definitively identified. Therefore, at this stage it is neither possible to determine the exact location, demography and impact on assets and/or livelihood of neither the PAPs nor the resettlement related impoverishment risks they might face, if any. However, as noted no resettlement is envisaged and the siting of sub-project investments will, as much as possible, take this into consideration. Moreover, the majority of adverse impacts are minimal given the nature of the investments related to ECAAT projects. The types of sub-projects will be further elaborated during preparation, however the project components that will most likely trigger OP 4.12 and OP 4.10 are: Components 1 and 2.

### **Vulnerable & Marginalized Groups Requirements**

34) The World Bank's Operational and Procedural Policies, specifically OP 4.10 requires that the Government of Kenya prepare a VMGF which establishes a mechanism to determine and assess future potential social impacts of ECAATP planned sub-projects under the proposed ECAATP on vulnerable and marginalized groups. Other requirements of the policy are:

- **Consultation and Stakeholder Engagement:** This framework seeks to ensure that VMGs are informed of the impacts, consulted, and mobilized to participate in the

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<sup>7</sup> A Category B project is expected to have site-specific, predictable, and readily manageable impacts; a Category C project is expected to have no adverse material impacts; and a Category FI project involves many components financed through Financial Intermediaries and that can be screened as A, B, or C depending on the nature of the FI portfolio.

relevant sub-projects. The NPCU to be established by MOA&I for the oversight and implementation of the project will engage in a wide array of stakeholders at community and county levels, including Non-Governmental Organizations (NGOs) and Cultural Institutions active in the project area to undertake consultations from the very beginning and will continue till end of the project. The project team will undertake prior consultations with any likely impacted VMGs and those who work with and/or are knowledgeable in VMGs development issues and concerns. To facilitate effective participation, the VMGF will follow a timetable to consult VMGs at different stages of the project program cycle, especially during preparation of any civil works program. Also, the NPCU will undertake a social impact analysis (SIA) to gather relevant information on (i) demographic data; (ii) social, cultural and economic situation; and (iii) social, cultural and economic impacts, both positive and negative, on the vulnerable and marginalized groups in the relevant sub-project area.

- **Free and Prior Informed Consultation:** Projects affecting the vulnerable and marginalized groups, whether adversely or positively, therefore, need to be prepared with care and with the participation of targeted communities. The requirements include social analysis to improve the understanding of the local context and affected communities; a process of free, prior, and informed consultation with the affected vulnerable and marginalized communities to expressed their views on preferred project design considerations that would lead to broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

35) A grievance redress mechanism (GRM) will be developed for addressing the grievances from the affected VMGs related to sub-project implementation. The procedure for grievance redress will be incorporated in the project information pamphlet to be distributed prior to implementation. Participatory consultation with affected households will be undertaken during project planning and implementation stages.

36) The MoA&I through the State Department of Livestock will establish a mechanism to receive and facilitate resolution of affected VMGs concerns, complaints, and grievances about

the project's safeguards performance at each sub-project having VMGs impacts, with assistance from Non-Governmental Organizations (NGO). Under the Grievance Redress Mechanism (GRM), a Grievance Redress Committee (GRC) will be formed for each sub-project with involvement of VMGs representative and local stakeholders. The GRCs are to be formed and during the VMGPs implementation process be wholly involved. The VMGs will be trained and given assistance to document, record and resolve the complaints. The grievance redress mechanisms is designed with the objective of solving disputes at the earliest possible time and at the lowest levels where the VMGs will be operating for quick resolution.

37) The community traditional dispute resolution structures existing for each of the VMGs will be used as the first step in resolving grievances. The grievance redress system (GRS) may draw on and be part of that proposed in the Resettlement Policy Framework for the ECAAT project. The grievance mechanisms will include: (a) County Grievance Redress Committees (CGRC), including representatives from the MoA&I; county administration representative, sub-country leadership, and two VMGs representatives; and (b) sub-county Grievance Redress Committees (SCGRC) based in each administrative ward where sub-projects are located and shall be the voice of the project affected persons (PAPs) to include: ward administrator, location chief, assistant chiefs, men and women PAPs, youth and vulnerable groups representatives (c) Institutional level committees, (d) the community level GRM committees (e) National level RGM and (f) Judicial level (ultimate level where redress is sought by a dissatisfied complainant). The participation of local leaders and PAPs in disseminating information and resolving disputes will be important once VMGP implementation starts. VMG PAP representatives will participate in the sub-project workshops at mid-term and at the end of VMGP implementation. To the extent possible, the VMGP should include social accountability tools to assess the quality of VMGP implementation, and in some cases, assist the VMGP team in tracking expenditures.

38) All the grievances will be channeled to the existing structures of the project starting with the CIG, Producer Organization, Sub County and county levels, Institutional level then to those at a national level, with last recourse being the Kenyan Courts of Law. The VMGF will make the public aware of the GRS through public awareness campaigns.



39) Marginalized and vulnerable communities will be provided with a variety of options for communicating issues and concerns, including in writing, orally, by telephone, over the internet or through more informal methods as part of the grievance redress mechanism. In the case of marginalized groups (such as marginalized/minority communities, elderly, physically challenged, the sick, single parents, women and youth), a more proactive approach may be needed to ensure that their concerns have been identified and articulated. This will be done, for example, by providing for an independent party to meet periodically with such groups and to act as an intermediary. Where a third party mechanism is part of the procedural approach to handling complaints, one option will be to include women or youth as representatives on the body that deals with grievances. It should be made clear that access to the mechanism is without prejudice to the complainant's right to legal recourse. Prior to the approval of individual VMGPs, the affected VMGs will have been informed of the process for expressing dissatisfaction and seeking redress. The grievance procedure will be simple and administered as far as possible at the local levels to facilitate access, flexibility and ensure transparency. Grievances should be documented at all levels and shared accordingly.

## **Disclosure**

40) This VMGF and sub-project VMGPs will be made available to the affected VMGs in an appropriate form, manner, and language. Before project appraisal, the NPCU will send the Draft VMGF to the Bank for review, approval and clearance. Once the Bank accepts the document as providing an adequate basis for project appraisal, the Bank will make them available to the public in accordance with Bank Policy on Disclosure of Information, and the GoK will also make the documents available to the affected communities and stakeholders in the same manner as the earlier draft documents.

41) Each sub-project VMGP will be disclosed to the affected VMGs with detailed information of the sub-project. This will be done through public consultation and made available as brochures, leaflets, or booklets, using local languages. Summary of the VMGP will be made available in hard copies and in a suitable local language at: (i) Offices of the MoA&I; (ii) Sub County or County Offices; Ward Administrators' and Chiefs' offices and (iv) any other local level public offices. Electronic versions of the framework as well as the VMGPs will be placed

on the official website of MoA&I and the official website of Bank after approval and endorsement of the VMGF and each VMGP by the Bank.

42) A Stakeholder consultative workshop for the ESMF, RPF, and VMGF was conducted with participants drawn from 23 selected counties including relevant county and national government departments, smallholder farmers and representatives of the VMGs/IPOs, and the pastoral communities. A total of 73 stakeholders attended the forum with three counties representing the VMGs communities - Garissa, Elgeyo Marakwet and Kilifi. The feedback and comments from stakeholders have been incorporated in this document (Annexes: 12, 13 and 14). The ESMF, RPF and VMGF for the ECAATP will be made available at the county and sub-county levels as well as at the sub project implementation level. The frameworks will also be posted on MoA&I's website and disclosed in the World Bank's External Website before Project Appraisal Mission.

### **Capacity Building and Training**

43) Effective implementation of the VMGF requires that adequate capacity enhancement within institutions and other stakeholder is undertaken, especially in regard to monitoring and evaluation. There is need for capacity building through training to be conducted across the national, county and local project implementation levels with inclusion of the private sector.

44) ECAATP will ensure that VMGF, RPF, and ESMF are fully integrated in the implementation process and social inclusion strengthened by including relevant tools creating awareness and targeting vulnerable members of the society including minority ethnic communities and groups (women, youth, person with disabilities and aged citizens within the target community).

### **Monitoring and Evaluation**

45) The implementation of VMGPs will be monitored. The NPC Unit will establish a monitoring system involving national level staff, the private sector (support organizations), County governments, and VMGs to ensure effective implementation of VMGP. A set of monitoring indicators will be determined during VMGP implementation and will be guided by

the indicators contained in table 11 and Annex 10. The monitoring will be done by NPCU with support from consultants. Appropriate monitoring formats will be prepared for monitoring and reporting requirements.

46) For any sub-project with significant adverse impacts on VMGs, external experts will be engaged by the MoA&I/NPCU to verify monitoring information of the VMGP for such sub-projects. The experts will collect baseline data including qualitative information and analyze the same to assess the impacts of the project on vulnerable and marginalized groups. They will advise on compliance issues and if any significant issues are found, MoA&I will prepare a corrective action plan or an update to the approved VMGP. MoA&I will follow up on implementing the corrective actions to ensure their effectiveness.

47) Several key indicators and topics for monitoring and evaluation of VMGP are (i) process of consultation activities; (ii) appropriateness of affected assets valuation and compensation; (iii) economic status of VMGPs in comparison with pre-project condition (iv) status of VMGs as identified in the SA; (v) any disadvantaged conditions to VMGs that were not anticipated during the preparation of VMGPs, that required corrective actions; and (vi) grievance redress issues. The VMGP will collect required data/information and regularly analyze project outputs and impacts considering impact on VMGs, and semi-annually report the results to the World Bank.

### **Annual Reporting and Performance Review Requirements**

48) Annual progress reports will be prepared by the NPCU with the support of environmental and social safeguards specialists in the NPCU. These reports will be submitted to the Bank.

### **Budget**

49) All costs for implementation of VMGPs will be financed by ECAATP. The costs will be estimated during feasibility based on interviews with VMG members and relevant government officials. This will be updated after the detailed survey and investigation as well as further consultations with VMGs.

50) The budget for the implementation of the VMGP will mainly include costs for capacity building for NPCU (national and county), county staff tasked with monitoring environmental and

social safeguards, VMG members involved in the approval process of sub-projects to screen for VMGs and prepare VMGPs; consultation/meetings, information dissemination (including translation), NGO/Agency hiring for VMGP implementation & monitoring, service providers, and GRS members amongst others. Once the sub-project has been appraised and finalized in the context of the VMGF, the required budget is to be allocated by the MoA&I for proper implementation of the VMGP. The VMGPs budget will also include costs for implementation of VMGPs, such as allowances, per diems and travel costs of the relevant MoA&I staff. There should be adequate budgetary provisions to implement any VMGP where necessary for the sub-project development.

51) **Lessons Learned:** The project builds on lessons-learned and strengths of various existing and on-going operations of the GoK and development partners, including the Bank, especially, the EAAPP completed in 2015. Overall, project coordination and monitoring would be conducted at the national level at the MoA&I. However, sub-project level implementation is envisioned to be handled at the County level given the ECAAT project focus. While at the national level there is sufficient experience and expertise of handling safeguards related aspects, county, sub-county and local levels entities are not likely to have such capacity. The county level coordination and implementation agencies will be strengthened to provide quality services to the VMG institutions. As the counties were formed relatively recently, there is still a considerable variation in capacity and resources among the counties including capacity to manage safeguards, which will take a concerted effort to address. The project will make provision for capacity building and training in the safeguards for County and project staff.

## **1.0 BACKGROUND**

52) Agriculture is the mainstay of Kenya's economy and overall contributes 51% of the GDP. The sector employs about 75% of the population and contributes 65% of exports. Land is the main asset in agricultural production but only about 17% of it is of high and medium agricultural potential with adequate reliable rainfall. About 83% of the country is arid and semi- arid and not suitable for rain-fed farming due to low and erratic rainfall.

53) Extreme weather events, largely droughts and to a lesser extent floods, have been the principal driver behind the volatility in the agricultural sector's performance in Kenya. The frequency and intensity of severe weather events have increased and this trend will be further amplified in the future as temperatures rise due to climate change. The World Bank's agricultural sector risk assessment (2014) highlighted that recurring drought has profound effects on the agricultural sector, particularly in maize (main staple food) and livestock (in pastoral systems) production. Frequent drought events resulted in precipitous crop losses, livestock deaths, spikes in food prices, increased food insecurity and malnutrition for the poor and led to rural population displacement (temporary migrations).

54) The Government of Kenya (GoK) through the Ministry of Agriculture and Irrigation and the National Treasury has requested the World Bank to prepare a project that scales up and integrates successful approaches and lessons from the Eastern Africa Agricultural Productivity Project (EAAPP) other initiatives. The vision of the GoK is to support agricultural growth in an inclusive way.

55) The World Bank 2014-2018 Country Partnership Strategy for Kenya highlighted the need to reduce regional, rural-urban, gender and inter-generational inequities to productive, economic and social assets. While some social indicators have improved notably, yet inequality is high (Gini of 47.4); there are significant differences in opportunities and outcomes between women and men, for those living in the remote and most underdeveloped regions, and ethnicity remains an important factor in societal development. Kenya holds great potential including from its

growing and youthful population; dynamic private sector; a platform for change laid down by the new Constitution; and its pivotal role within East Africa and further afield. To unlock rapid and uninterrupted growth that is sustainable and inclusive, Kenya must address the key binding constraints of low investment and low firm-level productivity, address persistent poverty and reduce the inequality gaps.

## **1.2 PROJECT DESCRIPTION**

### **1.2.1 Introduction**

56) The East and Central Africa Agricultural Transformation Project will focus on harmonization of selected policies across the region to create a conducive regulatory environment for regional collaboration in development, transfer, and exchange of technologies – which then enables sustainable regional collaboration and private sector investment in technology development beyond the life of the project. Access to formal markets is a major constraint for agriculture in the region, and a huge amount of regional trade in agriculture commodities is informal. The project will support smallholder farmers to access regional value chains through proven approaches, such as productive alliances, and support (at least on pilot basis) the use of regional commodity exchanges to improve regional integration of markets for agricultural commodities. Overall, the regional collaboration will generate important goods of a public nature, including: (a) technologies, innovations, and management practices – for example improved varieties and breeds; (b) capacities created in the regional centers of leadership/excellence – for example laboratories, databases and information; and (c) formal networks of competent scientists to underpin sustainable collaboration; (d) harmonized regional policies and improved capacity for policy analysis; (e) gene banks for germplasm conservation; (f) reduction of greenhouse gas (GHG) emissions; (g) regional platforms for access to formal markets – e.g. productive alliances and regional commodity exchanges.

**Table 3: ECAATP Indicative Activities at Sub-Project Level**

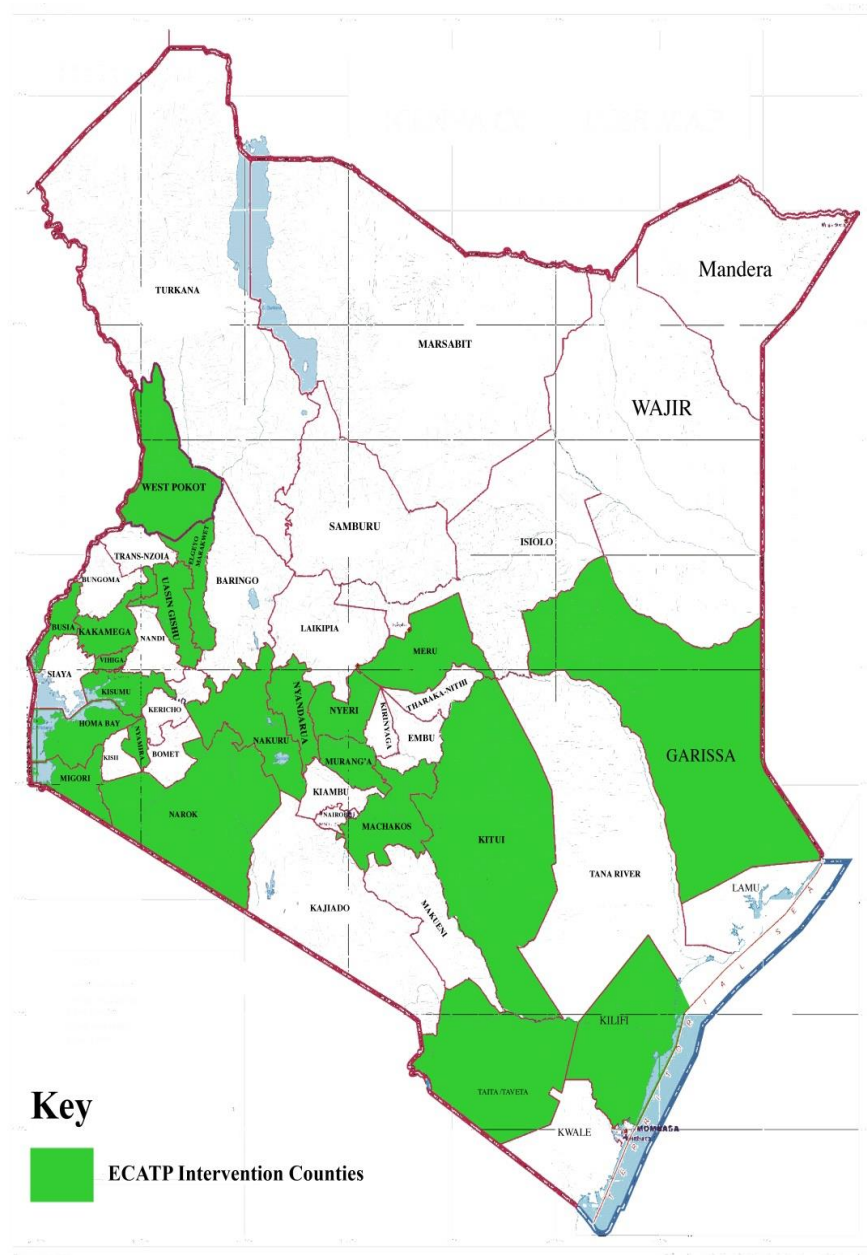
Objective	Activities
<b>Component 1: Regional Commodity Programs</b>	
<ul style="list-style-type: none"> <li>• To enhance regional collaboration in the development of agricultural technologies, innovations, and management practices (TIMPs) for selected commodities and to facilitate exchange and dissemination of the TIMPs across national boundaries.</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment and strengthening of regional and national centers of leadership/excellence;</li> <li>• Collaborative development, transfer, and dissemination of agricultural technologies</li> </ul>
<b>Component 2: Enabling Policy and Markets</b>	
<ul style="list-style-type: none"> <li>• To create an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies; and</li> <li>• To improve smallholder farmer's access to regional and national markets for food commodities and products.</li> <li>• To encourage innovation and entrepreneurship in transforming agricultural value chains and linking primary agriculture with the emerging food system and formal markets</li> </ul>	<ul style="list-style-type: none"> <li>• Completion of regional harmonization of about 17 policies, laws, and regulations identified for harmonization under EAAPP</li> <li>• Identification, formulation, and harmonization of new policies.</li> <li>• Linking farmers to regional value chains; and</li> <li>• Piloting the use of warehouse receipt systems linked to regional commodity exchanges as a means of enabling farmers access regional commodity markets.</li> <li>• Promoting effective models for service delivery.</li> </ul>
<b>Component 3: Contingent Emergency Response</b>	
<ul style="list-style-type: none"> <li>• To mitigate against natural disasters</li> </ul>	<p>The project will finance emergency response related mitigation, recovery, and reconstruction interventions following crises and disasters, such as</p>

Objective	Activities
	severe droughts, floods, disease outbreaks, and landslides, among others
<b>Component 4: Project Coordination and Implementation</b>	
<ul style="list-style-type: none"> <li>To coordinate the project implementation at the regional and national levels.</li> </ul>	This component will finance Project Coordination and management related interventions at National and Regional level. These activities will include: judiciary, Procurement, Monitoring and evaluation and Environment and Social safeguards among others at national level

### 1.3 Project Area:

57) ECAAT project will be implemented in the 23 counties that were under EAAPP and any other county that will be selected through stakeholder consultation (Figure 1).





**Figure 1 :**Eastern and Central Africa agriculture transformation project intervention counties

### **Project Components**

58) The project will comprise of 5 components: **Component 1: Regional Commodity Programs:** The objective of this component is to enhance regional collaboration in the development of agricultural technologies, innovations, and management practices (TIMPs) for selected commodities and to facilitate exchange and dissemination of the TIMPs across national boundaries. Agricultural technologies are developed for agro-ecological conditions and not national boundaries. The participating countries in the Eastern and Central Africa region not only shares similar agro-ecological conditions but also face similar challenges on many aspects of agriculture, including pests and diseases and changing climate. The adaptation solutions to climate change are relevant across national boundaries and likewise the effectiveness of measures to mitigate climate change depends on coordinated action across countries.

59) On the other hand, a capacity for technology development and agricultural sciences is not equally distributed among countries. Regional collaboration provides a platform for faster development of technologies and faster technical change at the farm level. It also saves money and time, by eliminating duplicating efforts, and enables countries to leapfrog the hurdles of scientific trials and evaluations by providing access to proven technologies. The experience from regional agricultural productivity projects shows that collaboration in technology development and transfer of genetic materials generates important outcomes such as: (i) efficient use of existing knowledge, technical expertise, institutional capacity and physical facilities; (iii) faster development of new technologies, innovations, and management practices; and (iv) organized transfer of genetic materials, germplasms, planting materials, breeding stock and technologies across national boundaries. These outcomes translate into important development impacts such as increased agricultural productivity, higher farm incomes, poverty reduction.

60) The component will focus on commodities that are important for regional food and nutrition security, and strategic regional value chains to create jobs and provide income generation opportunities. The criteria to select the commodities will be developed during project preparation and will draw from analytical work aimed at identifying commodities that meet these characteristics. The component is organized into three sub-components: (i) establishment and strengthening of regional and national centers of leadership/excellence; (ii) collaborative

development, transfer, and dissemination of agricultural technologies; and (iii) emergency response.

61) **Sub-Component 1.1: Establishment and Strengthening of Regional and National Centers of Leadership/Excellence** - The objective of this sub-component is to strengthen selected centers to lead and guide collaboration in development and exchange of TIMPS and transfer of scientific knowledge across the region. Two types of centers will be supported: (i) regional centers with a regional mandate; and (ii) national centers that will develop institutionalized linkages with the selected regional centers.

62) The project's investments in the regional centers will strengthen the human, institutional, and infrastructure capacities to enable the centers become platforms for: (i) coordinating regional priorities for development of agricultural TIMPs; (ii) advancing innovations and solutions along value chains, including post-harvest management, food safety, and development of food products; (iii) establishing linkages with global sources of knowledge, including CGIAR centers, US land grant universities, and national and regional universities; and (iv) establishing strong linkages with the private sector, especially agribusinesses involved in both input and output markets for food commodities and products. The project will also finance activities to eventually transform the selected centers into certified Regional Centers of Excellence for a specific commodity or group of commodities, based on agreed criteria. The support may include: (a) establishing formal network of researchers and other collaborators in regional commodity programs; (b) capacity building on leadership and governance; (c) physical infrastructure such as scientific labs and incubation centers.

63) This sub-component will build on the efforts of the EAAPP where four commodity-based Regional Centers of Excellence (RCoE) were established for: cassava (Uganda), dairy (Kenya), rice (Tanzania), and wheat (Uganda). While EAAPP had designated investments as RCoE from the onset, the proposed approach for ECAAT will be a graduation model similar to WAAPP, where the centers earn the RCoE recognition after meeting some established technical criteria and passing an external evaluation based on the set criteria. The technical criteria will be

developed during project preparation in consultation with key stakeholders, including: project countries, regional organizations for agriculture research, international research institutes, and regional agricultural programs in Africa (e.g. WAAPP and APPSA).

64) The project will also consider new regional centers for selected commodities that were not covered by EAAPP and thematic areas that cut across commodities. A number of commodities and thematic areas have already been proposed by participating countries and the selection will be made during project preparation. The new regional centers will follow a graduation model where they begin as centers of leadership and work towards earning the recognition of RCoE.

65) The sub-component will finance a regional learning agenda mainly focused on modeling different scenarios and mapping of the ecological zones using spatial analysis tools to help inform regional priorities for research and development. The project will hold annual scientific conferences every year to present the analytical findings from the models, progress on developing TIMPs, as well as receive feedback from stakeholders, and crowd in the private sector.

66) **Sub-Component 1.2: Collaborative Development, Transfer, and Dissemination of Technologies** - The objective of this sub-component is to facilitate the planning, development, transfer, exchange, and dissemination of TIMPs across participating countries – and in partnership with the regional projects for West Africa (WAATP) and Southern Africa (APPSA). The component will finance: (i) transfer and dissemination of TIMPs developed under EAAPP to new countries, as well as scaling-out TIMPs developed in later stages of EAAPP to all participating countries; (ii) mainstreaming of climate-smart and nutrition-sensitive agriculture into the regional priorities for agriculture; (iii) enhancing the role of private sector in technology development; and (iv) collaboration with other regional agriculture projects (especially WAATP and APPSA) in development and transfer of TIMPs. The new countries are keen to receive technologies developed under EAAPP because: (i) the technologies are for key staples that are strategic for food security in their countries; (ii) they are facing similar challenges in a production environment characterized by similar agro-ecological conditions; (iii) they provide an

opportunity to leapfrog and catch up with the EAAPP countries in terms of technical progress; (iv) they reduce cost of developing new or same TIMPs; and (v) they provide learning opportunities through regional integration in agricultural research and development. To support scaling-out of technologies the project will finance: (a) packaging of TIMPs and facilitating their transfer among the countries; (b) performance evaluation of the TIMPs with a view of improving them to enhance adoption by farmers; and (c) dissemination to farmers, which will include organizing farmers into producer organization, and linking them to markets.

67) The project will finance regional and national sub-projects on the following climate smart agriculture (CSA) investments: (i) development, transfer, and dissemination of varieties that are resilient to weather stress, drought, and diseases; (ii) establishing breeding programs for animals that are more resilient to climate, weather, and diseases (e.g. Sahiwal) and demand less feed and water resources (e.g. dairy goat); (iii) supporting innovations and management practices that improve water use efficiency – for example agronomic practices that identify, update, and disseminate knowledge on critical irrigation for different commodities; and (iv) sharing knowledge on efficient systems of irrigation.

68) The project will finance regional and national sub-projects on the following nutrition-sensitive and food safety investments: (a) transfer of bio-fortified genetic materials to improve the speed of developing such varieties across the region; (b) transfer global knowledge on using agriculture extension services to transmit nutrition messages – so that farmers not only know about how to produce a commodity, but also the nutritional value of food, the benefits of these nutrients, how to prepare local recipes from these foods without losing the nutrition value, food safety hazards at different stages (on-farm, harvesting, storage, prepared meals), and safe preservation of prepared meals; and (c) building capacity for food safety, sanitary, phytosanitary, zoo-sanitary, and microbial resistance.

69) The project support to enhance the role of private sector in technology development is based on global experience which shows that countries where the private sector has played a major role in seed multiplication have seen better outcomes, including higher adoption rate of new technologies and innovations in delivering inputs to farmers – for example packaging inputs

with knowledge and advisory services. These outcomes have translated to increased production and productivity. The project will finance national research organizations across participating countries and the private sector (including farmer organizations) to: (i) establish mechanisms to involve both private sector seed multipliers and a critical mass of farmers in technology needs assessment and priority setting; (ii) involve the private sector and farmers in later stages of trials and evaluation of promising varieties – such that by the time a variety is released both the private seed multipliers (the supply side) and farmers (the demand side) would have necessary information about the performance of the variety – which would in turn facilitate a market for seeds; and (iii) establish partnerships with the private sector to develop ICT tools for disseminating TIMPS to farmers, including innovations such as e-extension models capable of reaching many farmers at relatively lower cost.

70) The expected results from component 1 include: (i) number of improved technologies, innovations and management practices (TIMPs) released by multiple countries (% climate smart); (ii) number of TIMPs released by country (% climate smart); (iii) time and cost saved in technology development; (iv) number of farmers adopting improved technologies; (v) amount of GHG emissions reduced; (vi) increased crop and livestock productivity for selected commodities; (vii) number of networks for scientists established; and (viii) number of regional centers of leadership/excellence established or strengthened.

71) The development and transfer of agricultural technologies is hampered by a number of policy failures, including: (i) weak or poorly implemented seed policies that fail to provide for – or enforce – the strategic role of private sector in seed system; (ii) weak internal seed laws and regulations leading to poor quality seed and breeds; (iii) weak implementation of intellectual property rights leading to underinvestment in the sector, especially by private sector; and (iv) ineffective harmonization of regional seed laws, regulations and standards. Furthermore, the policy and regulatory environment for testing, evaluation, and validation of genetic materials varies widely among countries in the Eastern and Central Africa region.

72) The differences in certification systems, standards and procedures have led to diminished trust among seed certification authorities in the different countries, which is not surprising because some countries have not even passed a Seed Act to provide a basic framework and essential principles to govern research and development on improved seeds and marketing. Clearly, the harmonization of these policies across countries is important to create an enabling environment for sustainable regional collaboration in development and transfer of agricultural technologies and germplasm for crops and livestock. The benefits of harmonization of regional policies, laws, and regulations include: (i) reducing costs of technology development by preventing duplicative efforts across countries; (ii) faster technical change at the farm-level from dissemination of technologies developed in other countries; (iii) leveraging regional knowledge to generate solutions to common problems; and (iv) upgrading national policies with best practices.

73) The demand for food is rising in the region, driven by growing incomes and population growth, and yet access to markets continues to be a major challenge for majority of smallholder farmers, especially access to regional formal and remunerative markets for food commodities and products. Agriculture can drive incomes, poverty reduction, and jobs if smallholder farmers participate in formal markets characterized by: (i) modern value chains that can pass on information about food attributes demanded by consumers back to the farmers so that production is consumer-oriented; (ii) opportunities to upgrade the technology of production and receive cutting-edge advisory services; (iii) potential to move-up the value chain and provide marketing services, such as post-harvest management and primary processing; and (iv) linkages with agribusinesses that operate at scale, especially in output markets.

74) The objectives of this component are: (i) to create an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies; and (ii) to improve smallholder farmer's access to regional and national markets for food commodities and products. Two sub-components are proposed: (a) enabling policies; (b) linking smallholder farmers' access to markets to regional and national markets; and (c) Promoting Effective Models for Service Delivery

75) **Sub-Component 2.1 Enabling Policies:** The objective of this sub-component is to create a conducive policy and regulatory environment for regional collaboration in development, transfer, and exchange of technologies. The project will finance: (i) completion of regional harmonization of about 17 policies, laws, and regulations identified for harmonization under EAAPP; and (ii) identification, formulation, and harmonization of new policies, including intellectual property rights on plant and animal germplasm – which is key for sustainable regional collaboration and private sector investment. The project support will specifically finance: (a) thorough review of status of harmonization of policies in EAAPP countries and expansion of the process in new countries; (b) participatory identification of new policies for harmonization; (c) translation of the provisions of harmonized policies into an operation plan and guidelines for participating countries; (d) review of national legal frameworks and political economies to ascertain consistency with harmonization protocols; (e) assessment of the technical, institutional and human capacities; (f) customized support to countries to effectively harmonize and domesticate the policies; and (i) partnerships with country level champions to lead the adoption of policies and processes, etc. In providing this support, the project will draw from lessons learned under EAAPP and WAAPP on policy harmonization, including: (i) countries are at different stages in policy development such that a one-size-fit-all harmonization process hardly works and support should be customized to country needs; (ii) the coordination mechanism for policy harmonization are effective when buttressed by a regional platform for committing political ownership at country level; (iii) effective coordination of the process is key to ensure both the concept and benefits of policy harmonization are well understood by participating countries; and (iv) domestication of harmonized policies, including the drafting of associated procedures, regulations, and laws is an important final step to ensure the policies become effective.

76) **Sub-Component 2.2: linking smallholder Farmers’ access to markets to regional and national markets:** The objective of this sub-component is to improve smallholder farmer’s access to regional and national markets for food commodities and products. The project will finance: (i) linking farmers to regional value chains; and (iii) piloting the use of warehouse receipt systems linked to regional commodity exchanges as a means of enabling farmers access regional commodity markets. On linking farmers with regional value chains, the project will



finance: (i) identification of regional value chains that meet commonly agreed characteristics (e.g. regional import substitution, clear surplus and deficit countries, scope for value addition); (ii) agribusiness incubation grants to help farmers access markets; (iii) formation of horizontal alliance between smallholder producers and other stakeholders (e.g. productive alliances) to coordinate production with marketing and de-risk agribusiness investments – perhaps through partial credit guarantees; (iv) commodity innovation platforms that bring together all value chain actors (input providers, varieties, production, buyers etc.). The support to pilot the use of warehouse receipt systems linked to regional commodity exchanges will include financing: (a) review of implementation of warehouse receipt systems (WRS) and regional commodity exchanges; and (b) piloting WRS linked to a regional commodity exchanges in selected countries – with possible support including addition of priority commodities that are strategic for food security or regional value chains and partial credit guarantee to de-risk investments.

77) The expected results from component 3 include: (i) number of harmonized policies domesticated by countries; (ii) number of farmers accessing regional and national markets (% women); (iv) volume and value of commodities marketed in various platforms (productive alliances, commodity exchanges, direct purchases etc.); (v) value of warehousing receipts issued, by commodity; and (vi) amount of private investment leveraged in de-risked agribusinesses.

#### **78) Sub-Component 2.3: Promoting Effective Models for Service Delivery**

The objective of this sub-component is to develop and then scale-out innovative and efficient models of delivering agricultural services (e.g. mechanization) across the region. It will target stakeholders along the value chain, especially the private sector operators such as individuals, small and medium sized enterprises, and farmer organizations. The project will finance competitively selected Innovation Grants to: (i) promote innovative and effective business models for mechanization, such as leasing or repair services; (ii) gender-responsive testing, fabrication, and commercialization of appropriate agricultural mechanization; (iii) developing ICT-based platforms for agricultural advisory services (e.g. mobile apps, e-marketing services, e-extension, pest and disease control, nutrition-awareness); (iii) incubation support to develop and commercialize innovative food and agricultural products;

and (iv) services to improve value chain performance – for example logistics and online platforms.

79) The expected results from component 2 include: (i) number of centers of leadership/excellence established for providing relevant education for the food system; (ii) number of stakeholder (labor force, farmers etc.) trained with critical skills for the food system; (iii) number of farmers accessing mechanization services; (iv) number of farmers accessing labor-reducing technologies (% women); (v) number of farmers accessing innovative ICT based extension and advisory services (% women); and (vi) innovative food and agricultural products.

80) **Component 3: Contingent Emergency Response:** This zero-cost component will finance eligible expenditures under the Immediate Response Mechanism (IRM) in case of natural or man-made crises or disasters, severe economic shocks, or other crises and emergencies in the ECAAT project countries. This contingency facility can be triggered through formal declaration of a national emergency by the government authority and upon a formal request from government of the participating country to the World Bank through the Ministry of Finance/National Treasury. In such cases, funds from other project components will be reallocated to finance emergency response expenditures to meet agricultural crises and emergency needs. The emergency response would include mitigation, recovery, and reconstruction following crises and disasters, such as severe droughts, floods, disease outbreaks, and landslides, among others. Implementation of this component will follow a detailed Contingent Emergency Response Implementation Plan (CERIP), which is satisfactory to the World Bank to be prepared by the respective government for each Eligible Crisis of Emergency.

81) **Component 4: Regional Coordination and Project Management -** The objective of this component is to coordinate the project at the regional and national levels. Two sub-components are envisaged: (i) regional coordination and learning; (ii) national project management and evaluation.

82) **Sub-Component 4.1: Regional Coordination and Learning -** The objective of this sub-component is to facilitate regional collaboration and continuous learning across participating countries and technical components. The arrangements will build from the structures that were

developed for EAAPP and lessons learned in coordinating regional agricultural projects. The EAAPP was coordinated by ASARECA, which is a sub-regional organization (SRO) mandated to coordinate agricultural R&D in Eastern and Central Africa. However, unlike in EAAPP not all ECAAT countries are members of ASARECA – the Republic of Congo is a member of CORAF/WE CARD, a SRO with similar mandate in West and Central Africa. The coordination arrangements will be determined during project preparation.

83) The arrangements will most likely include organizations mandated to coordinate regional collaboration on the project's technical areas in participating countries, subject to meeting certain qualifications. Criteria to identify qualifying SRO's will include: (a) clear technical mandate from participating countries; (b) strong technical capacity in agriculture research and development or other technical areas of the project; (c) demonstrated good accountability, including fiduciary integrity and transparency; (d) physical presence in Eastern and Central Africa; and (e) ability to manage partnerships with the private sector, agriculture science community, and other collaborators.

84) The SRO's involved in coordinating the project will be required to jointly sign and implement a Memorandum of Understanding (MoU) that will be supervised by high-level Regional Steering Committee, whose membership will be determined during project preparation. A key lesson learned in regional agricultural projects is that effective coordination, especially of policy harmonization, not only requires working through SRO's with technical capacity but also access to platforms for securing political good will and commitment by the participating countries. Therefore, the proposed coordination arrangements will most likely involve two regional organizations (REC's) that collectively cover all participating countries – the East Africa Community (EAC) and Economic Community of Central African States (ECCAS). The REC's will sign and implement MoU that will be supervised by a high-level Regional Steering Committee.

85) **Sub-Component 4.2: National Project Management and Evaluation** - The objective of this sub-component is to facilitate project implementation, management, and evaluation in each participating country. The project will finance coordination of all project implementation

agencies at the national level, and the development and implementation of a robust M&E and MIS that would not only track the project performance, but also adoption rates, and feedback from the stakeholders. Annual R&D shows will also be financed both at the regional and national levels to share the project activities and its achievements. The national project coordination unit will be properly staffed with managerial staff, fiduciary staff (safeguards, financial management, and procurement) as well as technical specialists on key aspects of the project – including agricultural research and development, agricultural marketing, and trade.

86) The expected results from component 5 include: (i) timely implementation progress of regional and national sub-projects; (ii) effective dissemination and communication of project results and challenges; (iii) timely M&E reports; and (iv) functioning MIS.

### **1.5 Vulnerable and Marginalized groups in the ECAATP Project Area**

87) Based on the initial screening to be undertaken of the potential sub-projects investment towards increasing productivity and building resilience to climate risks are likely to trigger the following WB safeguards policies:

**Table 4 Operational Safeguards triggered for ECAATP**

<b>Environmental and Social Safeguards Triggered</b>	<b>YES</b>	<b>NO</b>
OP/BP 4.01 Environmental Assessment	X	
OP/BP 4.04 Natural Habitats		
OP/BP 4.36 Forests		X
OP 4.09 Pest Management	X	
OP/BP 4.11 Physical Cultural Resources		X
OP/BP 4.10 Indigenous Peoples	X	
OP/BP 4.12 Involuntary Resettlement	X	
OP/BP 4.37 Safety of Dams		X
OP 7.50 Projects in International Waters		X
OP 7.60 Projects in Disputed Areas		X

88) Given the nature of the proposed interventions with specific sub-project designs and locations not known at the time of project preparation, the project will take a framework

approach to managing safeguards. Three framework reports that have been developed by the National Project Coordinating Unit under the Ministry of Agriculture and Irrigation: (a) Environmental and Social Management Framework (ESMF); b) Resettlement Policy Framework (RPF); and c) Vulnerable and Marginalized Group Framework (VGMF).

89) The OP. 4.10 is being triggered for Components 1, 2 and 3 (see table 1). Some of the identified counties (Elgeyo Marakwet, Kajiado, and Garissa, among others) have known populations of groups that meet the criteria of OP 4.10. Since the location of the sub-projects are not yet identified, This Vulnerable and Marginalized Framework (VMGF) is being prepared to guide the preparation of plans to mitigate any negative effects and to enhance benefits of the ECAAT sub-projects. The VMGF will be disclosed before project appraisal. It outlines the processes and principles of: (a) screening to determine if a proposed sub-project investment will be undertaken in the vicinity of vulnerable and marginalized communities; and (b) the preparation of a Vulnerable and Marginalized Groups Plan (VMGP), including the social assessment process, consultation and stakeholder engagement, disclosure procedures, communication and grievances redress system. A detailed VMGP will be prepared for each sub-project once the location is identified and screening conducted to determine that Vulnerable and Marginalized Groups (VMGs) are present in the area.

90) This Vulnerable and Marginalized Groups Framework ( VMGF) sets out:

- The types of sub-projects likely to be proposed for financing under the project.
- The potential positive and adverse effects of such sub-projects investments on VMGs.
- A plan for carrying out the social assessment for such sub-projects.
- A framework for ensuring free, prior, and informed consultation with the affected VMGs at each stage of project preparation and implementation.
- Institutional arrangements (including capacity building where necessary) for screening project-supported activities, evaluating their effects on VMGs, preparing VMGPs, and addressing any grievances.
- Monitoring and reporting arrangements, including mechanisms and benchmarks appropriate to the project.

- Disclosure arrangements for VMGPs to be prepared under the VMGF.

91) The VMGF establishes an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation and other local civil society organizations (CSOs) identified by the affected Vulnerable and Marginalized Groups.

92) Free and prior informed consultation of the vulnerable and marginalized communities leading to broad community support was conducted at each stage of the project, and particularly during project preparation, to fully document their views and ascertain broad community support for the project (Annex 14).

### **International, Regional and Country Policy and Legal Frameworks on Vulnerable and Marginalized Groups and Communities**

#### **Definition and Treatment by the African Commission on Human and Peoples Rights (ACHPR)**

93) The Africa region has also taken important steps to recognize and apply the concept of Indigenous Peoples: The ACHPR, a sub-body of the African Union, adopted in 2005 the “Report of the African Commission’s Working Group of Experts on Indigenous Populations/Communities<sup>8</sup>.” The report recognizes the existence of populations who self-define as Indigenous Peoples, who are distinctly different from other groups within a state, have a special attachment to and use of their traditional land, and who experience subjugation, marginalization, dispossession, exclusion or discrimination because of their cultures, ways of life or modes of production different from those of the dominant society.

94) The ACHPR report concludes that these types of discrimination and marginalization threaten the continuation of Indigenous Peoples’ cultures and ways of life and prevents them from being able to genuinely participate in decisions regarding their own future and forms of development. The report is the ACHPR’s official conceptualization of, and framework for,

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<sup>8</sup>See ACHPR, *Report of the African Commission’s Working Group of Experts on Indigenous Populations*

addressing issues pertaining to VMGs, and as such it is an important instrument for recognizing Indigenous Peoples in Africa, improving their social, cultural, economic and political situation, and for protecting their human rights. The report outlines the following key characteristics, which identify certain social groups as VMGs/IPOs in Africa:

- Their cultures and ways of life differ considerably from the dominant society
- Their cultures are under threat, in some cases to the point of extinction
- The survival of their particular way of life depends on access and rights to their lands and the natural resources thereon
- They suffer from discrimination as they are regarded as less developed and less advanced than other more dominant sectors of society
- They often live in inaccessible regions, often geographically isolated
- They suffer from various forms of marginalization, both politically and socially.

95) The ACHPR report concludes that these types of discrimination and marginalization threaten the continuation of Indigenous Peoples' cultures and ways of life and prevents them from being able to genuinely participate in decisions regarding their own future and forms of development. The report is the ACHPR's official conceptualization of, and framework for, addressing issues pertaining to Indigenous Peoples, and as such it is an important instrument for recognizing Indigenous Peoples in Africa, improving their social, cultural, economic and political situation, and for protecting their human rights. In line with the approach of the United Nations<sup>9</sup>, the ACHPR emphasizes the principle of self-identification, and stresses that the criteria for identifying Indigenous Peoples in Africa is not mainly a question of aboriginality but of the above factors of structural discrimination and marginalization. The concept should be understood as an avenue for the most marginalized to advocate their cause and not as an attempt to deny any African his/her rights to their African identity.<sup>10</sup> The report emphasizes that the African peoples who are applying the concept include mainly hunter-gatherers and pastoralists.

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<sup>9</sup>E.g. the ILO Convention 169 and the UN Declaration on the Rights of Indigenous Peoples

<sup>10</sup>See ACHPR, Report of the African Commission's Working Group of Experts on Indigenous Populations/Communities, Banjul & Copenhagen: ACHPR & IWGIA, 2005; and ACHPR, Indigenous Peoples in Africa: the Forgotten Peoples? The African Commission's work on Indigenous Peoples in Africa, Banjul & Copenhagen: ACHPR & IWGIA, 2006.

## Definition and Treatment by the World Bank's Policy

96) The World has a set of “Do No Harm” safeguard policies that are meant to protect project affected persons (PAPs) from impacts and actions of Bank financed projects: Some of the World Bank’s development activities have significant impacts on the rights and livelihoods of VMGs, who worldwide constitute the “poorest of the poor and continue to suffer from higher rates of poverty, lower levels of education and a greater incidence of disease and discrimination than other groups” (World Bank 2010). Since the early 1980s the World Bank Group (WBG) has adopted a number of policies, designed to mitigate harm to indigenous peoples in WBG-financed projects (Mackay, 2005). These have been referred to as safeguard policies.

97) The World Bank Operational Policy/Bank Procedures Indigenous Peoples (OP/BP 4.10). The operational policy requirement that Bank-financed projects are designed not only to avoid adverse impacts but equally important to recognize that “the distinct identities and cultures of VMGs remained inextricably linked to the lands they inhabited and the natural resources they depended upon to survive”. The policy provides processing requirements for VMGs that include: (i) screening, (ii) social assessment, in consultations with communities involved, (iii) preparation of Vulnerable and Marginalized Groups Plans (VMGPs) or Vulnerable and Marginalized Groups Framework (VMGF) and, (iv) Disclosure. It also requires the borrower to seek broad community support of VMGs through a process of free, prior and informed consultation (FPIC) before deciding to develop any project that targets or affects VMGs.

98) The World Bank, like the UN, has no definition of IP: because of the varied and changing contexts, in which VMGs live, and because there is no universally accepted definition of IP (paragraph 3), **OP 4.10 presents a set of characteristics for identifying VMGs**. For purposes of this policy, the term “Indigenous Peoples” is used in a generic sense to refer to a distinct, vulnerable, social and cultural group<sup>i</sup> possessing the following characteristics in varying degrees:

- self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories<sup>ii</sup>



- customary, cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- An indigenous language, often different from the official language of the country or region.

### **Treatment of VMGs and 2010 Constitution of Kenya Legal and Policy Frameworks**

99) The CoK, 2010, does not specifically use the term IP, it is nevertheless robust in articles that define vulnerability and marginalization, including issues that VMGs cite as the reasons for their self-identification. It also addresses social exclusion in general. *Article 260 of the Constitution defines a “marginalized community” as:* (a) a community that, because of its relatively small population or for any other reason, has been unable to fully participate in the integrated social and economic life of Kenya as a whole;(b) a traditional community that, out of a need or desire to preserve its unique culture and identity from assimilation, has remained outside the integrated social and economic life of Kenya as a whole;(c) an indigenous community that has retained and maintained a traditional lifestyle and livelihood based on a hunter or gatherer economy; or (d) pastoral persons and communities, whether they are (i) nomadic; or (ii) a settled community that, because of its relative geographic isolation, has experienced only marginal participation in the integrated social and economic life of Kenya as a whole<sup>11</sup>.

100) *Similarly, the CoK, 2010, defines ‘marginalized group’ as:* a group of people who, because of laws or practices, on, or after the effective date, were or are disadvantaged by discrimination on one or more of the grounds in Article 27 (4) which prohibits discrimination on the basis of ethnic or social origin, religion, conscience, belief, culture, dress or language. In addition, article 27(6) calls on the state to undertake, ‘legislative and other measures, including affirmative action programmes and policies designed to redress any disadvantage suffered by individuals or groups because of past discrimination’. This article prohibits both direct and indirect discrimination.

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<sup>11</sup>Ditto

101) *Articles 56 and 260 of the Constitution are a clear demonstration of the intentions of the country to deal with the concerns of minority and marginalized groups:* The definition of marginalized communities and groups by the CoK, 2010, and the provisions for affirmative action programmes for minority and marginalized groups are efforts to provide a legal framework for the inclusion of minority and marginalized groups into mainstream development of the country. These articles present the minority and marginalized groups including groups that fit the OP 4.10 criteria as a unique category of certain segments of the Kenyan population that deserve special attention in order to bring them to par with the rest of the country.

102) *The Constitution of Kenya requires the State to address the needs of vulnerable groups, including “minority or marginalized” and “particular ethnic, religious or cultural communities” (Article 21.3):* The Specific provisions of the Constitution include: affirmative action programs and policies for minorities and marginalized groups (Articles 27.6 and 56); rights of “cultural or linguistic” communities to maintain their culture and language (Articles 7, 44.2 and 56); protection of community land, including land that is “lawfully held, managed or used by specific communities as community forests, grazing areas or shrines,” and “ancestral lands and lands traditionally occupied by hunter-gatherer communities” (Article 63); promotion of representation in Parliament of “...(d) ethnic and other minorities; and (e) marginalized communities” (Article 100); and an equalization fund to provide basic services to marginalized areas (Article 204) (see also Table 5).

### **Other Legal and Policy Provisions that Facilitate Operationalization of OP 4.10 within Kenya’s Legal Frameworks**

103) *Kenya’s legal and regulatory framework has inclusion of several provisions, policies and instruments that if well developed and implemented hold promise for addressing marginalization and inclusion of VMGs. These include:*

- a) *The National Land Policy (NLP):* The NLP was endorsed in 2009<sup>12</sup> while the Land Act, Land Registration Act and National Land Commission Act were adopted in May

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<sup>12</sup> Sessional Paper No. 3 of 2009, Ministry of Lands

2012.<sup>13</sup> According to the policy, a Community Land Act is scheduled to be adopted within five years of the enactment of the new Constitution, along with a number of other land related laws and regulations. The NLP includes a key policy principle for restitution of land rights of minority communities as a way of restoration and protection of land rights which were violated by colonial and post-colonial governments (articles 3.6.1.2 and 3.6.6 on restitution and land rights of minority communities respectively). The policy calls on the GoK to secure community land and to “document and map existing forms of communal tenure, whether customary or non-customary, in consultation with the affected groups, and incorporate them into broad principles that will facilitate the orderly evolution of community land law” (article 3.3.1.2, paragraph 66).

b) *The Forest Act of 2005 and Forest Policy of 2007 both provide some provisions for the customary rights of forest communities and community forestry:* The Forest Act states, that “nothing in this Act shall be deemed to prevent any member of a forest community from using, subject to such conditions as may be prescribed, such forest produce as it has been the custom of that community to take from such forest otherwise than for the purpose of sale” (Article 22), and “...may include activities such as ‘collection of forest produce for community based industries’” (Article 47.2.e) under a license or management agreement. The Act defines a “forest community” as “a group of persons who: (a) have a traditional association with a forest for purposes of livelihood, culture or religion [...] (Article 3). The Forest Policy recognizes the “traditional interests of local communities customarily resident within or around a forest” (paragraph 4.3).

c) *The National Policy on Culture and Heritage (2009) aims to promote and protect the cultures and cultural diversity among Kenya’s ethnic communities.* This includes the protection of indigenous languages, the expression of cultural traditions, knowledge, and practices, traditional medicines, and community rights.

d) *Ministry of Education’s Sessional Paper No. 1 of 2005: A Policy Framework for Education, Training and Research - Meeting the Challenges of Education, Training and Research in Kenya in the 21st Century.* This sessional paper establishes that the language of instruction shall be the mother tongue in lower primary school (classes 1-3) in the rural

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<sup>13</sup> The Land Act No. 6 of 2012, the Land Registration Act No. 3 of 2012, and the National land Commission Act No. 5 of 2012

areas, and that a culturally sensitive approach must be used to address the learning needs of different communities – including the VMGs.

e) *Policy Framework for Nomadic Education in Kenya (COK, 2010)*: Free and mandatory education was introduced in Kenya in 2003. However, the pastoralist areas have continuously recorded a much lower enrollment and completion rates as compared to the rest of the country. The Government of Kenya formally adopted the Nomadic Education Policy in 2010 to boost *education* access to Nomadic communities. The policy contemplates education terms based on seasons rather than calendar terms. The policy considers use of an academic calendar that would be flexible and factor in climatic conditions and patterns of nomadic livelihood. The policy provides for the development of curriculum that would be useful to pastoral lifestyle. The policy further proposes creation of a National Council for Nomadic Education.

f) *National Policy for the Sustainable Development of Northern Kenya and other Arid Lands*. The policy states that the Government will put in place an institutional and legal framework for the development of Northern Kenya and other arid lands. The policy thus calls on the government to establish a range of institutions that will provide long-term continuity in Arid and Semi-Arid Land (ASAL) development, including a National Drought Management Authority and National Drought and Disaster Contingency Fund to increase responsiveness to drought, National Council on Nomadic Education, a Northern Kenya Education Trust, a Livestock Marketing Board, and a Northern Kenya Investment Fund.

104) Kenya's 2010 Constitution provides a rich and complex array of civil and political rights, socio-economic rights and collective rights that are of relevance to indigenous communities. While important, constitutional provisions alone are not enough. They require a body of enabling laws, regulations and policies to guide and facilitate their effective implementation. In 2011, Kenya's parliament enacted 22 laws in the main, these laws are of general application and will have a bearing on the way in which the state exercises power in various sectors, some of them of fundamental importance to indigenous communities.

105) Additionally, the adoption of a law establishing the Environment and Land Court is important for indigenous communities given that the Court will "hear and determine disputes

relating to environment and land, including disputes: (a) relating to environmental planning and protection, trade, climate issues, land use planning, title, tenure, boundaries, rates, rents, valuations, mining, minerals and other natural resources; (b) relating to compulsory acquisition of land; (c) relating to land administration and management; (d) relating to public, private and community land and contracts, chooses in action or other instruments granting any enforceable interests in land; and (e) any other dispute relating to environment and land

106) The new Revenue Allocation Commission, mandated by Article 204 of the Constitution to earmark 0.5% of annual state revenue to the development of marginalized areas, in addition to 15% of national revenue for direct transfer to county governments. In implementing Article 59 of the Constitution, the government has created a) the Human Rights Commission b) the Commission on Administrative Justice and c) the Gender Commission.

107) **ECAAT Project Inclusive Approach:** To promote inclusive and sustainable agricultural and livelihood development, the proposed project interventions are based on the following key guiding principles of: **participation, inclusion, poverty targeting, productivity, resilience, transparency, accountability, value-for-money, and self-help.**

a) *First*, to address key aspects of rural development that cut across cultural, ecological, and socioeconomic areas<sup>14</sup>, the project design will use a holistic, *integrated* landscape approach that looks at all resources: natural capital (land, water, and other natural resources), physical capital (infrastructure) and social capital (communities, institutions.) to develop strong horizontal and vertical collaboration with stakeholders to managing competing demands.

b) *Second*, to effectively identify and address distinct local needs, the project will use a community-led approach that has been successfully providing services to rural populations in Kenya. Participation of the beneficiary *population* and County governments in all stages of the process would be essential for ensuring ownership and sustainability of the investments.

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<sup>14</sup>Such as gender, jobs, nutrition, food security, on-farm natural resources management, climate change, and key small-scale infrastructure (roads and markets).

c) *Third*, the project will adopt a market-driven approach to ensure that *agricultural* development and livelihood promotion are linked to markets thereby contributing to increased economic transformation and improved livelihoods of the target population. **With focused support, a sizeable group of small-holder farmers and other vulnerable groups can be a source of much needed increased productivity and building resilience to climate change risks in the rural areas.** The project will also place a strong emphasis on sustainability.

### ***1.6 Vulnerable and Marginalized Explained***

108) The project area is characterized with communities who are likely to fit in the general understanding of the VMGs. Therefore, the project team will undertake prior consultations with any likely impacted VMGs and those who work with and/or are knowledgeable in VMGs development issues and concerns (see Table 5 below). To facilitate effective participation, the VMGF will follow a timetable to consult VMGs at different stages of the project program cycle, especially during preparation of any civil works program. Also, the NPCU will undertake a social impact analysis (SIA) to gather relevant information on (i) demographic data; (ii) social, cultural and economic situation; and (iii) social, cultural and economic impacts, both positive and negative, on the vulnerable and marginalized groups in the relevant sub-project area.

**Table 5: VMGs Present in ECAATP Operational Area that could meet the criteria of OP 4.10**

<b>Name</b>	<b>Other Names (derogatory)</b>	<b>Estimated Population<sup>15</sup></b>	<b>Livelihood<sup>16</sup></b>	<b>Counties<sup>17</sup></b>
<b>1. Sengwer</b>	Charangany	50,000	HG/Farmers	Elgeyo-Marakwet,
<b>2. Ogiek</b>	Dorobo	40,000	HG/Farmers	Baringo, Elgeyo Marakwet,
<b>3. Waata</b>	Wasanye	13,000	HG/Farmers	Lamu, Garissa, Tana-River, Isiolo
<b>4. Ilchamus</b>		33,000	Fishing/Farmers/	Baringo

<sup>15</sup> Internet based – several sites

<sup>16</sup> Source: ERMIS Africa Ethnographic Survey of Marginalized Groups, 2005-2012

<sup>17</sup> Ibid.

			Livestock Keeper	
<b>5. Endorois</b>	Dorobo	60,000	Fishing/Farmers/ Livestock Keeper	Baringo
<b>6. Boni</b>			Fishing Pastoralists	Garissa
<b>7. Malakote</b>			Pastoralists	Garissa
<b>8. Maasai</b>		666,000	Pastoralists	Kajiado,

### ***1.7 Proposed project and sub-projects***

109) The ECAATP present a wide range of sub-project that could target and benefit the VMG within the project operational area. The sub-projects include: (i) Support smallholder farming communities to implement Technology, Innovations, and Management Practices (TIMPs); (ii) Support Climate-Smart Agriculture Research, innovations and Seed Systems; (iii) Support access and use of Climate Smart Technologies, Market Information and Advisory Services. For VMGs to benefit from potential sub-projects, they will need strengthening of VMG level institutions through mobilization, awareness creation of the Participatory Integrated Community Development (PICD) process through which priority interventions will be identified; support to identify and develop value chain; fiduciary and extension advisory services, sub-projects planning and implementation support, local value addition, and strategies for VMGs forming Common Interest Groups (CIGs) and Producer Organization (POs).

110) The identification of VMG members will be guided by the following criteria: land ownership, asset ownership/perceived value, meals per day, number of dependents, female/child headed households, and advanced age. Among others as well as criteria as spelled out in the OP 4:12.

111) The specific selection of sub-projects for each VMG will be determined by numerous factors some of which will include: available local resources, state of infrastructure, literacy level, agro-ecological settings, and priority county value chain among others.

### ***1.8 Potential Positive and Negative Impacts on VMG***

112) It should be noted that minimal, if any, negative impacts are anticipated as a result of the project. Most of the impacts anticipated will be positive for all communities, including for VMGs. As a result, a key focus of the VMGF and the VMGPs will be to propose pro-active steps for such groups to benefit from the project. It is generally envisaged that the Vulnerable and Marginalized Populations do not have access to these services in a similar way to other ethnic communities in Kenya.

113) The ECAATP and its sub-project has a likelihood of precipitating a range of political and governance, institutional, environmental, social, economic, technological, technical skills, fiduciary related positive and negative impacts. The ECAAT project is assigned EA category B, based on the screening during project preparation. There are no significant and/or irreversible adverse environmental and social issues anticipated from the investments to be financed under the Project. Civil works (small irrigation infrastructure, community level value addition processing plants) may lead to relatively minor air and water pollution during the construction phases and, once the works are completed, limited loss of non-critical animal and plant habitats.

114) Environmental Risks. The envisaged environmental risks at project implementation include: (i) new production technologies which may involve intensified use of fertilizers and pesticide may increase soil acidity and water pollution; (ii) skills on safe use of agri-chemicals and fertilizers is also limited among smallholder farmers (iii) technical capacity to handle implementation and monitoring of the projects' safeguards instruments is limited and especially at County level (iv) interventions targeting SLM landscape (v) interventions targeting seed production.



115) The project impacts will be assessed through a screening process and appropriate mitigation measures will be proposed in the ESMF prepared by MoA&I. The ESMF also contains an environmental and social screening process, including impacts related to natural habitats, pest management and physical cultural resources, as well as mitigation guidelines at the sub-project level.

116) **Social Risks.** The main social risks is that of exclusion of the VMGs. Social risks envisioned in the implementation process include: (i) possibility of elite capture at the community and county levels thus excluding target groups; (ii) political capture as the project is being launched in the lead up to the national elections in 2017; (iii) leakages of inputs and resources as funds are to be channeled to community groups. These risks will be mitigated through the following: sequencing of project so that in first year focuses on building capacity of farmer organizations at community levels, lobbying and advocacy skills to understand and influence the country integrated development plans use of PICD approach, application of social accountability tools at community and county levels for transparency.

117) A key principle of the project is inclusion and therefore the VMGF will focus on how to ensure that VMG are aware of the project and can participate. The project is therefore triggering the OP 4.10 Indigenous Peoples which will require the preparation of a Vulnerable and Marginalized Group Framework (VMGF). The VMGF will include: (i) screening to determine presence of Vulnerable and Marginalized Groups (Indigenous Peoples per OP 4.10 criteria) in the project areas and, if present, (ii) measures to ensure they benefit from the project activities through the preparation of a Vulnerable and Marginalized Group Plan (VMGP).

118) **Other risks at the county level include weak capacity to implement and monitor safeguards at the county level as this is a recently devolved function.** A training component is included into the project design targeting counties to address this as well training for communities and provision for the ESMF, RPF and VMGF to guide development of plans and legal requirements for national gender policy. Socio-cultural issues in some target communities hinder resource allocation/sharing, resource access and use, and equity issues in project implementation, particularly the inclusion of women and youth in decision making structures and access to project benefits. For example in some communities a woman can not own a cow.

119) The project will require gender analysis as part of the PICD process and development of the action plan. The functions of managing land acquisition have been devolved to the county land boards resulting in delays in some counties related to land transactions. In addition, compensation for community land and/or donations of community land for investments may also be challenging. The project has prepared an RPF which lays out the principles for compensation. As noted, the bulk of the investments are CDD, small in size and their impacts are not likely to result in physical resettlement or land acquisition. The investments for value chain addition will also be sited in a way as to avoid resettlement. The key challenges associated with the ECAATP that might impact the VMGs are summarized in the table below.

**Table 6: Summary of Strengths, Opportunities, Risks and threats (SORT) analysis**

Component	Positive Impacts (Strengths & Opportunities)	Negative Impacts (Risks and Threats)
<b>Component 1: Regional Commodity Program</b>		
<b>Subcomponent 1.1: Strengthening Centers of Leadership/Excellence</b>	<ul style="list-style-type: none"> <li>Accessing Services at the Regional Center of Leadership/Excellence (Feed analysis and training)</li> </ul>	<ul style="list-style-type: none"> <li>High cost of accessing the services</li> </ul>
<b>Sub component 1.2: Technology Generation, Dissemination and Transfer</b>		
<ul style="list-style-type: none"> <li>Community mobilisation</li> <li>Awareness creation</li> <li>Development of and training on standardized training modules</li> <li>Technology dissemination &amp; transfer</li> <li>Sustainable land management and value chains</li> </ul>	<ul style="list-style-type: none"> <li>VMG would get an opportunity to: <ul style="list-style-type: none"> <li>Reflecting of the locally and county-wise available resources</li> <li>Discover external capacities that they require for self-determination</li> <li>Learn and integrate development model within their traditional economies towards livelihood improvement</li> <li>Enhanced participation in decision making processes</li> </ul> </li> </ul>	<p>Exclusion of VMG from the project due to:</p> <ul style="list-style-type: none"> <li>Limited understanding of VMG by national and country government officers, FBO and NGO</li> <li>Language barriers due to low literacy and competence in national language</li> <li>Cultural barriers that exclude women and youth from certain economic activities and assets</li> <li>Livelihood style like pastoralism, hunting and gathering, fishing</li> <li>Women on-farm and household chores</li> <li>Logistical issues like remoteness, distance, and transport cost from and to VMG site</li> </ul>
<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Increases SLM knowledge, skills and appropriate practices</li> </ul>	<ul style="list-style-type: none"> <li><b>Lack</b> of incentive to undertake SLM initiatives:</li> </ul>

Component	Positive Impacts (Strengths & Opportunities)	Negative Impacts (Risks and Threats)
	<ul style="list-style-type: none"> <li>Improved VMG production bases through: <ul style="list-style-type: none"> <li>Improved micro-climate of farms (reduced soil erosion, improved soil moisture retention, soil nutrients,</li> <li>Increased farm produce (crop and livestock) due to increase food base</li> <li>Improved nutrition through variety of crops</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Lack of Land titles among hunter-gatherers, fishing communities</li> <li>Group ownership of land e.g. Group Ranches which suffer tragedy for the commons, community driver for sub-division</li> <li>Land conflict between different land users (pastoralist and farmers)</li> <li>VMG have low incomes might require exemption from 10% contribution or do so in kind</li> </ul>
<b>Component 2: Enabling Policy and Market</b>		
<ul style="list-style-type: none"> <li>Market-oriented livelihood interventions</li> </ul>	<ul style="list-style-type: none"> <li>Increase income base by extending production base to processing and marketing through value addition:</li> </ul>	<ul style="list-style-type: none"> <li>The remoteness of VMG site might limit the market-oriented opportunities</li> <li>VMG cultural believes and perceptions might limit the market-oriented opportunities</li> </ul>
<ul style="list-style-type: none"> <li><b>Targeted support</b> to Vulnerable and Marginalized Groups</li> </ul>	<ul style="list-style-type: none"> <li>Targeted support on VMG that is based on baseline survey will inform inclusive socio-economic benefits that are culturally relevant.</li> </ul>	<p><b>1. Lack of targeting due to the following limitation</b></p> <ul style="list-style-type: none"> <li>Stringent criteria for identification of VMG that might not target</li> <li>Lack capacity among project actors (national and county government officers)</li> </ul>

Component	Positive Impacts (Strengths & Opportunities)	Negative Impacts (Risks and Threats)
		<ul style="list-style-type: none"> <li>○ application context of OP.10 and Constitution of Kenya, 2010 Article 260</li> </ul> <p><b>2. Raising expectation too high</b></p> <ul style="list-style-type: none"> <li>○ Transference of unsettled historical land injustices to ECAAT project context</li> <li>○ Overreliance on ECAAT project to address historical marginalized and exclusion from the integrated social and economic life of Kenya as a whole</li> </ul>
<ul style="list-style-type: none"> <li>• <i>Nutrition mainstreaming</i></li> </ul>	<ul style="list-style-type: none"> <li>• Women groups among the VMGs' will be able to access: <ul style="list-style-type: none"> <li>○ Labor saving initiatives</li> <li>○ Credit schemes</li> <li>○ Household food home-based gardening ("<i>Healthy Garden Program</i>")</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <b>Exclusion of VMG in nutritional benefits</b> <ul style="list-style-type: none"> <li>○ Limited rural credit scheme among the VMG</li> <li>○ Language barriers in utilizing nutritional education – need for translation of manuals in Kiswahili and local dialect</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>• <i>Employment Programs</i></li> </ul>	<ul style="list-style-type: none"> <li>• Cash for work will offer VMG off-season opportunities for earning incomes and consequently livelihood improvement for unemployed and out-of-school</li> </ul>	<ul style="list-style-type: none"> <li>• VMG often associate intensive labor to members of dominant societies and as such they might be reluctant in undertaking activities in this component. There would be need to mobilize and sensitize then youths on the purpose and benefits on this component</li> </ul>

Component	Positive Impacts (Strengths & Opportunities)	Negative Impacts (Risks and Threats)
<b><i>Subcomponent 3.0 Emergency Contingency Emergency Response</i></b>	<ul style="list-style-type: none"> <li>Localized disaster with likelihood of disrupting VC production base would be addressed to ensure and that would</li> </ul>	<ul style="list-style-type: none"> <li>Most VMG live in localities that experience localized disasters such as drought incidences, floods, fires, human-wildlife conflicts, disease outbreak, and landslide which could disrupt their local economies.</li> <li>ECAATP should promptly ensure contingency emergency response provision is availed.</li> </ul>

120) In addition to the above impacts the following risks have been envisaged as being likely to influence the outcome of the project.

**Table 7: Potential risks for ECAATP**

<b>Risk Category</b>	<b>Rating (High, Substantial, Moderate, Low)</b>
1. Political and Governance	S
2. Macroeconomic	M
3. Sector Strategies and Policies	M
4. Technical Design of Project	M
5. Institutional Capacity for Implementation and Sustainability	S
6. Fiduciary	S
7. Social Safeguards	M
8. Environmental Safeguards	M
9. Stakeholders	M
10. Other	
<b>OVERALL</b>	<b>S</b>

- **Political profile and Governance** – SUBSTANTIAL. The risk rating is based on current devolved structure of government. County governments now play the primary role of delivering agriculture services, with national government retaining a policy making and research roles. The capacity of County governments to deliver these services and is currently inadequate.
- **Macroeconomic** – SUBSTANTIAL. Kenya remains vulnerable to production and price shocks in its most important sectors. Climate shocks remain a serious threat to agriculture production. ECAATP will increase agricultural productivity and build resilience to climate change hence contributing to inclusive growth and shared prosperity.
- **Sector Strategies and Policies** – MODERATE. There is moderate risk of adverse impact on the project implementation stemming from sector strategies and policies. ECAATP is consistent with the country's main agricultural policies and strategies, but their coordination needs to be strengthened.

- **Technical Design of Project**– MODERATE. The project design aims to address the low agricultural productivity, rural employment and the climate change risks facing the agriculture sector. This risk relates to the capacity of county governments to deliver advisory service. **Institutional Capacity for Implementation and Sustainability** – SUBSTANTIAL. This risk is related to the uncertainty regarding the county governments’ capacity to sustain the outcomes of ECAATP beyond the project period. However, investing towards increasing productivity and building resilience is among the top priorities at the national and county levels.
- **Fiduciary** – SUBSTANTIAL. The overall fiduciary environment has inherent weaknesses associated with inadequate the financial management and procurement control systems both at the National and County levels. Detailed assessment of the financial and procurement system will be finalized during project appraisal.
- **Social Safeguards** - MODERATE. Communities are highly influenced by the political and social conditions; thus, decisions could be driven by political agenda. To minimize the possibility of certain groups being excluded from the project, a participatory targeting approach to identify and support VMGs, including IPs, will be adopted.
- **Environmental Safeguards** - MODERATE. The project has triggered the OP 4.01 and OP 4.09 Pest Management Policy as chemical fertilizers will be used at the community level where technical capacity for use and safe disposal of such chemicals (and chemical containers) is limited. This risk will be mitigated using the Integrated Pest Management Framework (IPMF) and the screenings under the Environmental and Social Management Framework (ESMF), which will guide the preparation of sub-project specific Environmental Management plans (EMPs).
- **Stakeholders** – MODERATE. Counties selected to participate in the project may include those with IPs. Opposition from IP representatives is not uncommon in Kenya. Community members will be actively engaged in local level planning and implementation of project activities.



## **Proposed Mitigation Measures**

121) To avoid or minimize adverse impacts and, at the same time, ensure enhancement of benefits and full participation of the vulnerable groups, several measure shall the instituted including:

### **Disclosure Mechanism**

122) ECAATP will ensure that all project design frameworks and consecutive processes and activities will be disclosed in culturally appropriate and accessible manner using FPI-Consultation guidelines stipulated in this document.

### **Capacity Development of VMG and Stakeholders**

123) ECAATP will finance and support the development of and training on standardized training modules on the following subjects:

124) ***Fiduciary Module.*** VMG's will be trained on group dynamics, governance and management and record keeping to improve their relevant capacity on project implementation

a) ***Environmental and social safeguards Module.*** Relevant County government staff, Servicer Providers and VMG will be trained on how to use checklists and development of environmental management plans where applicable),

b) ***Agri-business and financial services Module:*** Relevant County government staff, Servicer Providers, PO's, VMG and other relevant development actors will be trained on agri-business and financial service principles and skills to ensure that the ECAATP integrated business model in the design of value change development and implementation.

c) ***Climate Change Adaptation measures module:*** relevant county technical teams, service providers and target beneficiaries as well as other stakeholders will be trained on this to ensure quick adoption of proposed TIMPs under ECAATP.

### **VMGs and Community Contribution**

a) **Special consideration for VMG on community contribution and matching grants:** ECAATP will develop criteria for assessing and appraising VMG that require

exemption or lower contribution or matching grant level to ensure all the VMGs participate and benefit from the ECAATP.

b) **Contingency plans and pegging for funds for mitigating local disasters.** Most VMG live in localities that experience localized disasters such as drought incidences, floods, fires, human-wildlife conflicts, disease outbreak, and landslide which could disrupt their local economies. ECAATP should promptly ensure contingency emergency response provision is availed.

**Table 8: Potential negative challenges/Impacts (and mitigation measures for ECAATP)**

<b>Component</b>	<b>Negative Impacts</b>	<b>Possible Actions</b>	<b>Responsibilities and Issues</b>
<b>Component 1:</b> Technology Generation, Dissemination and Transfer	Land use is likely to be changed due to adoption of more TIMPs that promote cropping and livestock systems. VMGs and especially pastoralists are likely to lose grazing grounds for their livestock through adoption of for example irrigated systems and this may lead to resource use conflicts.	Undertake a comprehensive stakeholder as well as citizen engagement to ensure that solutions are arrived at in a participative manner. Undertake SA to ensure community support and implement the safeguard tools.	NPCU, County governments and beneficiaries
<b>Component 2:</b> <b>Enabling Policy and Markets</b>	<ul style="list-style-type: none"> <li>• The remoteness of VMG site might limit the market-oriented opportunities</li> <li>• VMG cultural believes and perceptions might limit the market-oriented opportunities</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National &amp; County Governments</li> </ul>
<b>Targeted support</b> to Vulnerable and Marginalized Groups	<p><b>1. Lack of targeting due to the following limitation</b></p> <ul style="list-style-type: none"> <li>○ Stringent criteria for identification of VMG that might not target</li> <li>○ Lack capacity among project actors (national and county government officers due to limited understanding of the application context of OP.10 and Constitution of Kenya, 2010 Article 260</li> </ul> <p><b>2. Raising expectation too high</b></p> <ul style="list-style-type: none"> <li>○ Transference of unsettled historical land injustices to ECAAT project context</li> </ul>	<ul style="list-style-type: none"> <li>• Targeted support on VMG that is based on baseline survey will inform inclusive socio-economic benefits that are culturally relevant.</li> <li>• Managing expectation</li> </ul>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National &amp; County Government</li> </ul>

Component	Negative Impacts	Possible Actions	Responsibilities and Issues
	<ul style="list-style-type: none"> <li>○ Overreliance on ECAAT project to address historical marginalized and exclusion from the integrated social and economic life of Kenya as a whole</li> </ul>		
<b>Nutrition mainstreaming</b>	<ul style="list-style-type: none"> <li>• <b>Exclusion of VMG in nutritional benefits</b> <ul style="list-style-type: none"> <li>○ Unregistered schools to participate in health gardens</li> <li>○ Limited rural credit scheme among the VMG</li> <li>○ Language barriers in utilizing nutritional education – need for translation of manuals in Kiswahili and local dialect</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Purposeful targeting based on social assessment that identifies women groups, and existing rural credit scheme</li> <li>• Translation of some of the relevant manuals into Swahili (a popular version of the English version)</li> </ul>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National and County Government</li> <li>•</li> </ul>
<b>Organization and capacity building of POs/Productive alliances</b>	<ul style="list-style-type: none"> <li>• <b>Limited VMG to federate into PO's</b> <ul style="list-style-type: none"> <li>○ Limited VMG's with similar value chains for effective federation into PO's</li> <li>○ Incompatibility of VMG's value chain with those from dominant societies for inter-community federation</li> <li>○ Resistance by VMG to federate within the CIG from dominant societies</li> <li>○ Slow pace for VMG to develop their value chain at the pace of ECAAT project cycle</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <b>Baseline survey related to:</b> <ul style="list-style-type: none"> <li>○ Value chain mapping and analysis within the VMG areas</li> <li>○ Inter-community value chain linkages to determine federation dynamics across the VMG and dominant society</li> </ul> </li> <li>• <b>Positive citizen engagement to cross perception gaps between VMG and member of the dominant society with project operational areas</b></li> </ul>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National &amp; County Government</li> </ul>

Component	Negative Impacts	Possible Actions	Responsibilities and Issues
	<ul style="list-style-type: none"> <li>○ Slow transition of VMG based PO across</li> </ul>		
<b>Identification and selection of value chains</b> (at county and community levels) <ul style="list-style-type: none"> <li>• Value chain mapping and strategy development</li> <li>• Support to value chain stakeholder platforms</li> <li>• Value chain upgrading matching grants</li> <li>• Value addition and processing</li> </ul>	<ol style="list-style-type: none"> <li>1. County government and other development partners have limited capacity on VMG and thus might opt to concentrate on CIG's</li> <li>2. The pace for establishing value chain stakeholder platforms might be slow than for CIG as the market forces that accelerate this pace are not fully operational, thus more time might be required than the 2 years</li> <li>3. VMG lifestyle is characterized by socialism where competitiveness is attributed with dominant societies, this might limit their participation competitive grant</li> <li>4. The VMG might not be able to provide matching grants due to their low capital base</li> </ol>	<b>Capacity Development of VMG and Stakeholders</b> ECAATP will finance and support the development of and training on standardized training modules on the following subjects: <ul style="list-style-type: none"> <li>• FGM Module:</li> <li>• VC analysis and development Module:</li> <li>• Fiduciary Module.</li> <li>• Environmental and social safeguards Module.</li> <li>• Agri-business and financial services Module:</li> </ul> <b>Affirmative support for VMG CIG formation and strengthening</b>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National and County Governments</li> </ul>
<b>Component 3.0:</b> Contingency Emergency Response	<ul style="list-style-type: none"> <li>• Most VMG live in localities that experience localized disasters such as drought incidences, floods, fires, human-wildlife conflicts, disease outbreak, and landslide which could disrupt their local economies. ECAATP should prompt ensure contingency emergency response provision is availed.</li> </ul>	<ul style="list-style-type: none"> <li>• Training of VMG on monitoring and reporting of disaster risk detection and reduction strategies</li> </ul>	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National and County Governments</li> </ul>
<b>Component 4.0:</b>			<ul style="list-style-type: none"> <li>•</li> </ul>

Component	Negative Impacts	Possible Actions	Responsibilities and Issues
Project Coordination, & Management			

### 3.0 Framework for Free, Prior, Informed Consultation

#### *1.9 Overview of application of Free Prior Informed and Accessible (FPIA)-Consultation*

125) FPIA-Consultation refers to a process whereby affected vulnerable and marginalized communities, freely have the choice, based on sufficient information concerning the benefits and disadvantages of the project and how these activities occur.

126) The OP 4.10 requires that a process of FPI-consultation leading to broad community support, with the affected vulnerable and marginalized communities throughout the ECAATP design and implementation process. The framework will be infused into the PICD process in all the steps which utilizes high level consultation and participatory tools at every stage of project design, implementation and monitoring and evaluation. The FPIA-Consultation will be used in conjunction with the ESMF/p and RAF/p to ensure that any potential negative impacts are avoided, minimized and/compensated, and further that they share benefits accruing from ECAATP and sub-project.

#### **Box 2. The Elements of Free, Prior and Informed Consultation**

- Free – people are able to freely make decisions without coercion, intimidation or manipulation
- Prior – sufficient time is allocated for people to be involved in the decision-making process before key project decisions are made and impacts occur
- Informed – people are fully informed about the project and its potential impacts and benefits, and the various perspectives regarding the project (both positive and negative)
- Consultation – there are effective uses of consultation methods appropriate to the social and cultural values of the affected Indigenous Peoples' communities and their local conditions and, in designing these methods, gives
- Special attention to the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits.

Adapted from UN Permanent Forum on Indigenous Interests (UNPFII), the Tebtebba Foundation, the International Indian Treaty Council and others.

#### **Box 1: The Elements of Free, Prior and Informed Consultation**

127) The PICD process will ensure that gender, youth, persons with disabilities in the respective VMG are targeted, any negative impacts are addressed and they share benefits accruing from the ECAATP. FPI consultation of the vulnerable and marginalized communities will be conducted at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project (para. 101 and the Farmer Grant Manual).

### ***1.10 FPI-Consultation Tools***

128) ECAATP will utilize an evidenced approach and tools to ensure FPI-Consultation is observed throughout the life of project. The proposed FPI-Consultation tools will include: stakeholders' attendance list using Template 1 and VMG members list using Template 2 (both attached in Appendix I), photographic evidences and minutes and/or back-to-office report.

## **2.0 Vulnerable and marginalized groups Plans**

129) This VMGF contains specific measures to ensure that the VMGs receive social and economic benefits that are culturally appropriate, including measures to enhance the capacity of the project implementing agencies and other stakeholders. This VMGF calls for the preparation of a Vulnerable and Marginalized Group Framework (VMGP) for each sub-project screened and found to be implemented in areas where VMGs are present or have a collective attachment. The VMGP will be prepared through a participatory, flexible and pragmatic manner, and its step-wise details will be provided in a PICD Manual as part of Project Implementation Manual.

### **2.1 Elements of a Vulnerable and Marginalized Groups Plan**

130) All the VMGPs that will be prepared by ECAATP will include;

- a) A summary of a scale appropriate to the marginalized community. Relevant baseline information on the demographic, social, cultural characteristics of the affected marginalized communities (including governance structures) and the natural resources on which they depend within project affected area.
- b) A summary of the social assessment findings
- c) A summary of the framework for free prior informed consultation and evidence of community input to the framework.
- d) Results of the FPI-consultation with the affected VMGs including considerations for whether broad community support has been achieved



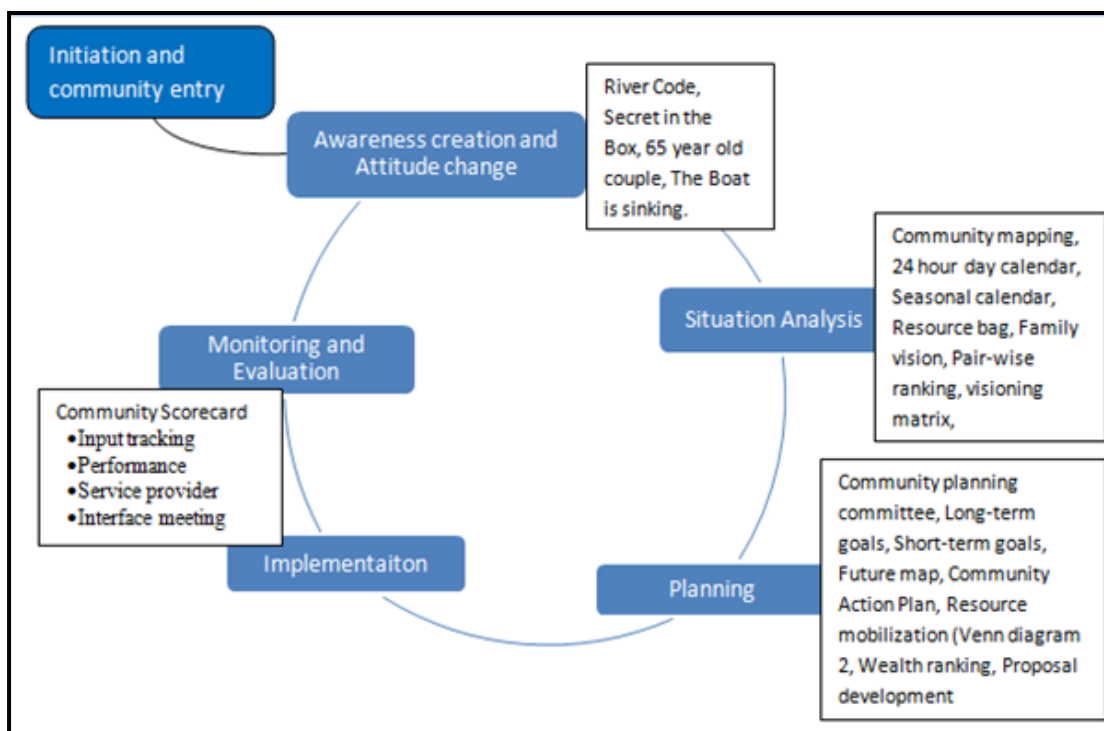
- e) An action plan of measures to ensure that the VMGs receive social and economic benefits that are culturally appropriate, including measures to enhance the capacity of the project implementing agencies.
- f) When potential adverse effects on VMGs are identified, appropriate action plans of measures to avoid, minimize, mitigate or compensate for these adverse effects.
- g) The cost estimates and financing plan for the VMGP.
- h) Accessible procedures appropriate to the project to address grievances by the affected VMGs arising from project implementation. When designing the grievance procedures, the borrower takes into account resolution of grievances at lowest levels possible; the availability of judicial recourse and customary dispute settlement mechanisms among the VMGs’.
- i) Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the VMGP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consultation with the affected VMGs’.

## ***2.2The Participatory and integrated Community Development Process (PICD)***

131) PICD is a combination of different participatory methodologies for starting and sustaining ‘community conversations’ that enable community groups to reflect on their development needs, prioritize those needs, draw up community action plans (CAPs), design, implement and monitor their own projects. The background of PICD is based on the project cycle management (PCM) as illustrated in Figure 2. PICD integrates participatory tools in the various stages of a PCM approach. During the training of VMG an introductory session will be devoted in providing an overview of PCM upon which the attitude changing, skills impacting and output delivering PICD will be built on. The PCM/PICD infusion will include the following steps and tools:

- i) awareness creation and attitude change will be delivered through 6 attitude change tools;

- ii) situation analysis of the VMG context such as the extent of the locality, socio-economic, cultural and governance status that need to be addressed and/or that support communities development, available resources that can be utilized in increasing productivity and building resilience for livelihood improvement including land, human resource, financial sources among other contextual issues; and visioning where households and entire community would be after successful utilizing the available development resources to address the existing underdevelopment issues;
- iii) planning stage process that will lead to the generation of VMP plans – this will entail selection of a community planning committee from the participating community members who are selected based on publicly established criteria such as gender, intergenerational (youth), elders, persons with disabilities, professionals within the community, development of long term and short term goals, depicting how the community locality would be after implementation of the goals, and developing VMG action plans to achieve these goals and bring about the desired future map, identifying resources and institutions that would be required to implement the goals based on such consideration as wealth ranking and stakeholder mapping, and finally development of the proposals:
- iv) implementation of proposed plans based on establishment of various implementation committees such as procurement, financial, monitoring and conflict resolution and grievance redress structures and actual implementation of activities; and
- v) Monitoring and evaluation using several participatory performance scorecards for tracking inputs, performance, services providers and interface meetings.



**Figure 2: PICD Process**

132) The VMG framework elements will be infused into the PICD process for ease for implementation of the framework which will ensure free, prior and information consultation that lead to board community support of the ECAATP. The infusion of the VMGF and PICD is summarized and demonstrated in Table 9.

**Table 9: Elements of a PCM and FGM and their meaning**

	FGM Process Details	VMGF/P
<b>Project Appraisal Document</b>		<ul style="list-style-type: none"> <li>• <b>VMG Framework</b> [Elements: - policy context; outline process primary and secondary screening; Impact (positive &amp; negative); Framework for Free, Prior, Informed and Accessible Consultation; Stakeholder Mapping and Analysis; Capacity Development Plan for government and IPOs'; Grievance Redress Mechanism; Monitoring and Evaluation that is affirmative to VMG's; Disclosure Arrangements for VMG Plans]</li> </ul>
		<ul style="list-style-type: none"> <li>• <b>Disclosure Arrangements for VMGF</b> <ul style="list-style-type: none"> <li>○ National meeting with government and known IPO's in the proposed project operational area</li> </ul> </li> </ul>
<b>Project Implementation</b>	<b>1. Initiation and Community Entry</b> <ul style="list-style-type: none"> <li>▪ Making contact with the community leadership and members to familiarize oneself, cultivate trust and introduce the development processes</li> </ul>	<ul style="list-style-type: none"> <li>• Identify, consult with legitimate IPO's are identified consulted, cultivate trust and introduce the development process</li> </ul>
		<ul style="list-style-type: none"> <li>• Conduct a <b>Primary Screening</b> using the proposed VGM Screening Form and VMG Mapping Template</li> </ul>
	<b>2. Awareness creation and</b>	<ul style="list-style-type: none"> <li>• <b>Free Prior, Informed, Accessible Consultation</b> with screened</li> </ul>

	<b>attitude Change</b> <ul style="list-style-type: none"> <li>▪ A process of making the community aware of their development status and influencing the changing of precarious conditions that causes the status.</li> </ul>	VMG's
	<b>3. Situation Analysis</b> <ul style="list-style-type: none"> <li>▪ Determine the existing conditions regarding the target beneficiary and project area</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Social Analysis/ Social Assessment scope depending on impacts</b> <ul style="list-style-type: none"> <li>○ Review appropriate Legal and institutional framework for VMG</li> <li>○ Baseline information on demographic, social, cultural and political characteristics of VMG, land they traditionally or customary owned and accessed and natural resources they depend on</li> <li>○ Identifying key stakeholder</li> <li>○ Elaboration of cultural appropriate and gender sensitive process for meaningful consultation with VMG's at each stage for implementation</li> <li>○ Gender sensitive assessment of perception about the project</li> <li>○ Plan for avoiding, mitigating, mitigating adverse effects</li> <li>○ Plans for ensuring VMG receive culturally appropriate benefits under the project</li> </ul> </li> </ul>
	<b>4. Planning</b> <ul style="list-style-type: none"> <li>▪ A process of making decision based on the</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Development of VMG Plans</b> <ul style="list-style-type: none"> <li>○ Identifying types programmes and sub-projects appropriate for VMG's</li> </ul> </li> </ul>

	information derived from the situation analysis	
	<p><b>5. Implementation</b></p> <ul style="list-style-type: none"> <li>▪ A process through which beneficiaries and their partners undertake to work on the project activities as planned</li> </ul>	<p><b>Developing VMG Plans</b></p> <ul style="list-style-type: none"> <li>• <b>Capacity Development</b> for government and IPOs’;</li> <li>• Utilizing of <b>Free, Prior, Informed and Accessible Consultation</b> framework</li> <li>• <b>Screening Impacts</b> (positive &amp; negative); <ul style="list-style-type: none"> <li>○ <i>Utilizing ESMP</i></li> </ul> </li> <li>• <b>Grievance Redress Mechanism;</b></li> </ul>
<b>Monitoring and Evaluation</b>	<p><b>6. Monitoring and Evaluation</b></p> <ul style="list-style-type: none"> <li>▪ It’s a systematic collection and analysis of information as the project progresses towards improving the efficiency and effectiveness of a project or organization.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Monitoring and Evaluation</b> that is affirmative to VMG’s; <ul style="list-style-type: none"> <li>○ <b>Social impact assessments (capturing and documenting VMG’s impacts and concerns)</b></li> </ul> </li> </ul>

133) The VGMF framework was prepared and disclosed as a part of the ECAATP PAD preparation process. However, its elements will be developed and/or elaborated during the project implementation time. The implementation of the VGMF will utilize 7 tools for data collection, analysis, planning, monitoring (Table 8).

**Table 10: Data collection and presentation tools**

<b>Tools</b>	<b>Approach of their application</b>
1. Project Appraisal Form	This will provide an approach for identifying potential types of programmes and sub-projects that could be considered for financing under the project. This will be based on Participatory Integrated Community Development approach
2. VMG's Screening Form	This will provide criteria for identifying VMG's based on World Bank, Kenya Government and other adopted policy and legislative framework
3. Mapping Template	This will be used to demonstrate locations: <ul style="list-style-type: none"> <li>i. Area where VMG's, specifically (marginalized communities), are likely to be present</li> <li>ii. Areas with high poverty index<sup>18</sup></li> </ul>
4. Social Assessment Questionnaire	Provide a pilot application of social assessment tool for already identified VMG's
5. Impact Assessment Matrix	Provide an impact screening forms and pilot results of potential benefits and negative that might result from programmes and sub-projects on the VMG's
6. Stakeholders Analysis Matrix	This will used to provide logical basis for identifying proposed programmes and sub-projects as well as beneficiaries related issues and needs and relevant existing and potential actors in addressing these issues and needs including their interests, capacities and the roles they can play in the implementation of the programmes and sub-projects
7. Participatory Action Plan	This will be used during the consultative meetings to develop the six tools enumerated below: <ul style="list-style-type: none"> <li>i. Free Prior, Informed and Accessible Consultation Action Plan</li> </ul>

<sup>18</sup> The factors to be considered in calculating this index will be determine through consultation with the relevant government ministries, departments, and agencies



	ii. Stakeholder Capacity Development Plan iii. Grievance Redress Mechanism iv. VMGP Disclosure Arrangement v. Consultation and Participation Process vi. Complaints /Concerns Handling Process
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### *2.3 Possible Types of Interventions*

134) The table below shows counties that were beneficiaries of the KAPAP project (now closed). It shows the value chains that were selected and ranked by the various CIGs and how they are similar or different from those selected by the VMG CIGs. All these counties are target counties under the KCSAP. In most cases, the value chains selected by the VMGs differed from those of the main value chains for the county.

### *2.4 Phases of implementing the VMGF*

135) The VMGF will be implemented in three phases:

- i. **County and VMG sites disclosure of the VMF:** This will entail sharing the VMGF details through county fora and specific VMG sites. During these disclosure fora and meetings, additional comments and views will be gathered and included in the VMGP design process as well as ensuring broad support of the ECAATP by the County Governments and VMGs. Continued disclosure will be required as the VMGF has been disclosed at the national level and there remains many stakeholders from Counties and community levels who are not able to attend these disclosure fora.
- ii. **Development of standardized Capacity Development Manuals.** The manuals will be developed to include both PICD process, Participatory Monitoring Impact (PIM), Conflict Redress Process and Grievance Redress Mechanism; and Value Chain Analysis Mapping and Development.
- iii. **Capacity Development and Coaching of relevant Stakeholders:** This will entail training sessions for various stakeholders such as NPCU,, CPCU, Sub-committee: SAIC, PMC's VMG CIGs' and VMGPO, CSO, NGO, FBO's among others. In addition, during

the VMGF implementation coaching session will be mounted on the project activities to ensure any negative impact on the VMG are mitigated and/or avoided and that they share benefits that accrue from the ECAATP.

### **3.0 Plans for carrying out Social Assessment**

136) The social assessment will be conducted after the National and County launching of the ECAATP and disclosure at VMG sites based on primary screening. The social assessment will utilize PICD process and tools for project initiation and community entry which entail consultations with VMG elders and other opinion leaders and VMG organizations' (VGMOs).

#### ***3.1 Social Assessment Process***

137) Analysis: If, based on the screening, the NPCU concludes that VMGs are present in, or have collective attachment to, the project area; the executing agency of that sub project will undertake a social assessment to evaluate the project's potential positive and adverse effects on the VMGs, and to examine project alternatives where adverse effects may be significant. The breadth, depth, and type of analysis required for the social assessment will be proportional to the nature and scale of the proposed sub-project potential and effects on the VMGs present, whether such effects are positive or adverse (see Annex 5.1 for details). The NPCU will prepare detailed Terms of Reference (ToR) for the social assessment study once it is determined that VMGs are present in the project area. (Annex 5 contains draft sample ToRs for the development of a VMGPs).

138) Consultation and participation: Where the project affects VMGs, the NPCU will engage in FPI consultation with them. To ensure such consultation, the NPCU:

- a) establishes an appropriate gender and inter-generationally inclusive framework that provide opportunities for consultation at each stage of project preparation and implementation among the implementation structures, the VMGs, the VMGOs if any, and other local Civil Society Organizations (CSOs) identified by the affected VMGs;

- b) uses consultation methods<sup>19</sup> appropriate to the social and cultural values of the affected VMGs and their local conditions and, in designing these methods, gives special attention to the concerns of VMGs and their access to development opportunities and benefits; and
- c) Provides the affected VMGs with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected VMGs communities) in a culturally appropriate manner at each stage of project preparation and implementation.

139) In deciding whether to proceed with respective sub-project, initially under component 1, NPCU will ascertain, on the basis of social analysis, FPI Consultation, whether the affected VMG communities provide their broad support to the project. Where such support will be provided, the NPCU will prepare a detailed report that will document:

- a) the findings of the social assessment;
- b) the process of FPI consultation with the affected VMG communities;
- c) additional measures, including project design modification, that may be required to address adverse effects on the VMGs and to provide them with culturally appropriate project benefits;
- d) recommendations for FPI consultation with and participation by VMGs during project implementation, monitoring, and evaluation; and
- e) Any formal agreements reached with VMGs and/or the vulnerable and marginalized groups' organizations (VMGOs).

140) The NPCU will submit the social assessment report for inspection by the World Bank and advice based on the outcome of the FPI Consultation with the VMGs as a basis for determining whether there is such report.

141) The social assessment will be conducted using documentation review, interviews with key informants and focused group discussion with the VMGs, the VMGOs if any, and other local

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<sup>19</sup> Such consultation methods (including using indigenous languages, allowing time for consensus building, and selecting appropriate venues) facilitate the articulation by VMG of their views and preferences.

CSOs identified by the affected VMGs. The process will utilize PICD tools and will generate the data and information based on the indicators summarized table 13 below.

**Table 11: Methodology for addressing the various tasks pertaining to the ToR**

<b>Tasks</b>	<b>Indicative Data and Information</b>
<ul style="list-style-type: none"> <li><b>Identification of Potential projects and sub-projects for proposed financing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Identify Types of programmes and sub-projects: <ul style="list-style-type: none"> <li>- <i>Agriculture</i></li> <li>- <i>Livestock</i></li> <li>- <i>Resilience to Climate Change risks</i></li> <li>- <i>Others</i></li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li><b>Initial Screening</b></li> </ul>	<ul style="list-style-type: none"> <li>- Documentation review to identify already documented IP's/Vulnerable groups and marginalized communities</li> <li>-</li> </ul>
<ul style="list-style-type: none"> <li><b>Potential positive and adverse effects of proposed programmes and sub-projects</b></li> </ul>	<ul style="list-style-type: none"> <li>- Subject the prototype programmes and sub-project to environmental, social and Health impact assessment <ul style="list-style-type: none"> <li>- <i>(screening,</i></li> <li>- <i>Preliminary Assessment</i></li> <li>- <i>Recommendations</i></li> <li>- <i>Develop a screening and initial assessment process</i></li> <li>- <i>Institutional framework for impact assessment</i></li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li><b>Social Assessment [Secondary Screening]</b></li> </ul>	<ul style="list-style-type: none"> <li>- Review of applicable legal and institutional framework</li> <li>- Baseline information for characterizing VMGs</li> <li>- <i>Demography</i> <ul style="list-style-type: none"> <li>- <i>(Population size: gender disaggregated population, composition by age; population growth and distribution; sex ration)</i></li> </ul> </li> <li>- Social economic indicators</li> <li>- <i>Health (life expectancy by and age; Maternal, infant &amp;</i></li> </ul>

	<p><i>under 5 mortality rates, child bearing-adolescent and total fertility)</i></p> <ul style="list-style-type: none"> <li>- <i>Housing</i></li> <li>- <i>Education</i></li> <li>- <i>Work</i></li> <li>- Representation in decision making platform</li> <li>- <i>(governance system and structures and linkage with government – county and national levels)</i></li> <li>- Relative geographic location</li> <li>- Traditional lifestyle (traditional dressing, rituals, belief system, language) governance</li> <li>- Livelihood</li> <li>- <i>(food and income generating activities)</i></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Framework for Free, Prior, Informed and Accessible Consultations Framework</b></li> </ul>	<ul style="list-style-type: none"> <li>- Governance structures</li> <li>- Local consultation process and protocol</li> <li>- Communication channels /spaces</li> <li>- Language</li> <li>- Gaps analysis</li> <li>- Recommendation for strengthening the process by government and target VMG's</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Identify the main actors/stakeholders (formal and informal) for screening project supported activities</b></li> </ul>	<ul style="list-style-type: none"> <li>- Actors/Stakeholders mapping (<i>identification</i>) within the project operational area</li> <li>- <i>Identify the actors and their roles</i></li> <li>- <i>Capacity assessment to support the screening of activities</i> <ul style="list-style-type: none"> <li>○ <i>Technical support</i></li> <li>○ <i>Capacity development</i></li> </ul> </li> <li>- <i>Evaluating their effect on the VMG (+ve &amp; -vet)</i></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Capacity development plan for government</b></li> </ul>	<ul style="list-style-type: none"> <li>- Training needs assessment for project implementation and impact monitoring</li> <li>- Social and Technical</li> </ul>

<b>institutions and VMG organizations for project effectiveness</b>	<ul style="list-style-type: none"> <li>○ <i>Project planning and management;</i></li> <li>○ <i>Community mobilization; group dynamics, participatory integrated community development;</i></li> <li>○ <i>Complaints handling and grievance redress mechanism; participatory impact assessment, procurement;</i></li> <li>○ <i>Financial and accounting, value chain analysis and value addition, business development skills, etc.)</i></li> <li>- Legal (<i>constitutional referencing, policy analysis, legislative interpretation. Registration of CIGs</i>)</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Grievance Redress Mechanism &amp; Complain Handling Process</b></li> </ul>	<ul style="list-style-type: none"> <li>- Governance process and structures</li> <li>- Local grievance redress mechanism</li> <li>- Communication channels /spaces</li> <li>- Complaint uptake</li> <li>- Complaints sorting</li> <li>- Complaints handling organs</li> <li>- Feedback mechanism</li> <li>- Redress process for grievances including</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Monitoring and reporting arrangements</b></li> </ul>	<ul style="list-style-type: none"> <li>- Participatory Impact monitoring process</li> <li>- Definition of impact boundaries</li> <li>- Definition of types of impacts</li> <li>- Identification of impacts indicators</li> <li>- Composition of PIM Teams</li> <li>- Data collection and analysis</li> <li>- Triangulating results</li> <li>- Feedbacks mechanism to project beneficiaries</li> <li>- Utilization of PIM results</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Disclosure arrangements</b></li> </ul>	<ul style="list-style-type: none"> <li>- Documentation disclosure process of the resultant draft and final VMGPF</li> <li>- Process for participation, information disclosure and consultation with affected VGMP</li> </ul>

- Consultation and participation mechanisms to be used during project implementation
- Process of capturing and documenting VMGs concerns with respect to social impact assessment results
- Actual disclosure for draft and final VMGPF

#### **4.0 Institutional and Implementation Arrangements**

142) Implementation of ECAATP will involve a three-tiered institutional arrangement (national, county and community level). At the first-tier, national level, the National Treasury (NT) will represent the Government of the Republic of Kenya (“the Borrower”) and the MoA&I will be the main implementing agency. Within the MoA&I, the project will be anchored in the State Department of Livestock (SDL). The second tier will be the county level, with the county governments as the executing agencies of the project. The third tier will be the community level, where beneficiaries will implement their community-led interventions. The three-tier institutional arrangement aims to: (a) lessen the approval layers for faster decision-making and consequently efficient project implementation; and (b) utilize mostly the constitutionally mandated governance structures at the national and county levels, to the extent possible.

143) National level: The overall project oversight and policy guidance will be provided by the National/Project Steering Committee (NPSC). The National Project Steering will be composed of Principal Secretaries of all sector related ministries and agencies; namely (PS-Livestock, PS-Agriculture, PS-National Treasury, PS-EAC Integration, PS-Vocational Training, PS-Trade, PS-Cooperatives, DG-KALRO, COG, CEO-KENAFF, CEO-KEPSA, JKUAT, Vision 2030 Secretariat Representative, CFO, Supply Chain). The NPSC will provide coherence and policy guidance and direction to the reform process. The National Technical Committee: Technical Committees to ensure that proposed reforms follow a common and coherent overall framework in line with stakeholder analysis and views. This committee will be composed of; the Agriculture Secretary, Director of Livestock Production, Director of Veterinary Services, Representatives of KALRO, TVETA, Trade, Cooperatives, KEPHIS, KAGRC, KDB, KEPSA, STAK, KIRDI, Kenya Dairy Processors, Producer Associations, JKUAT, KENAFF, ILRI and Chair Agriculture CECs Caucus. The ECAATP National Project Coordinator will be the secretary of these two

implementation structures. The steering committee will facilitate the formation and functions of the requisite sub committees. These include the ;( a) Finance, (b) Procurement, (c) Audit, sub committees. These will report directly to the steering committee.

144) The Sub- component will also support the establishment and operations of the following coordination structures: (i) the ECAATP Secretariat, which provides overall coordination of the project, while overseeing the Monitoring, Evaluation, Information, Knowledge management and Communication functions; while acting as a liaison between the farmers, private, public institutions, and the project; and (ii) County Coordination Units to coordinate project implementation and reporting on county interventions. The Council of Governors will play a critical role as they will provide the required structural linkage between the National and County Governments.

145) County level: The County Project Steering Committee (CPSC) to be chaired by the County Secretary (CS) will provided project implementation oversight in the respective counties. The CPSC will comprise Chief Officers of the relevant county ministries, county director of environment; and representatives from the private sector, and civil society. CPSC will be responsible for approving the project's AWP&Bs at county level, as well as ward and community micro-project proposals. Wards will be responsible for implementing interventions that cut across several communities. In such cases, Ward Development Plans (WDP) will be prepared. CPSC will also ensure that project activities are incorporated in their respective County Integrated Development Plans (CIDP).

146) The County Project Coordination Units (CPCUs) will be embedded into the respective county government structures. CPCUs to be headed by the County Project Coordinators (CPCs) will be responsible for the day-to-day operations of the project in each county. Community level: The Community Driven Development Organizations (CDDOs) with elected leaders (chair, secretary, treasurer and board members) will represent beneficiaries in the targeted communities. With facilitation from SPs, the CDDOs will be responsible for mobilizing communities into CIGs and VMGs, through participatory approaches. CDDOs will facilitate the preparation of the prioritized Community Development Plans (CDPs) and community micro-projects, as well as



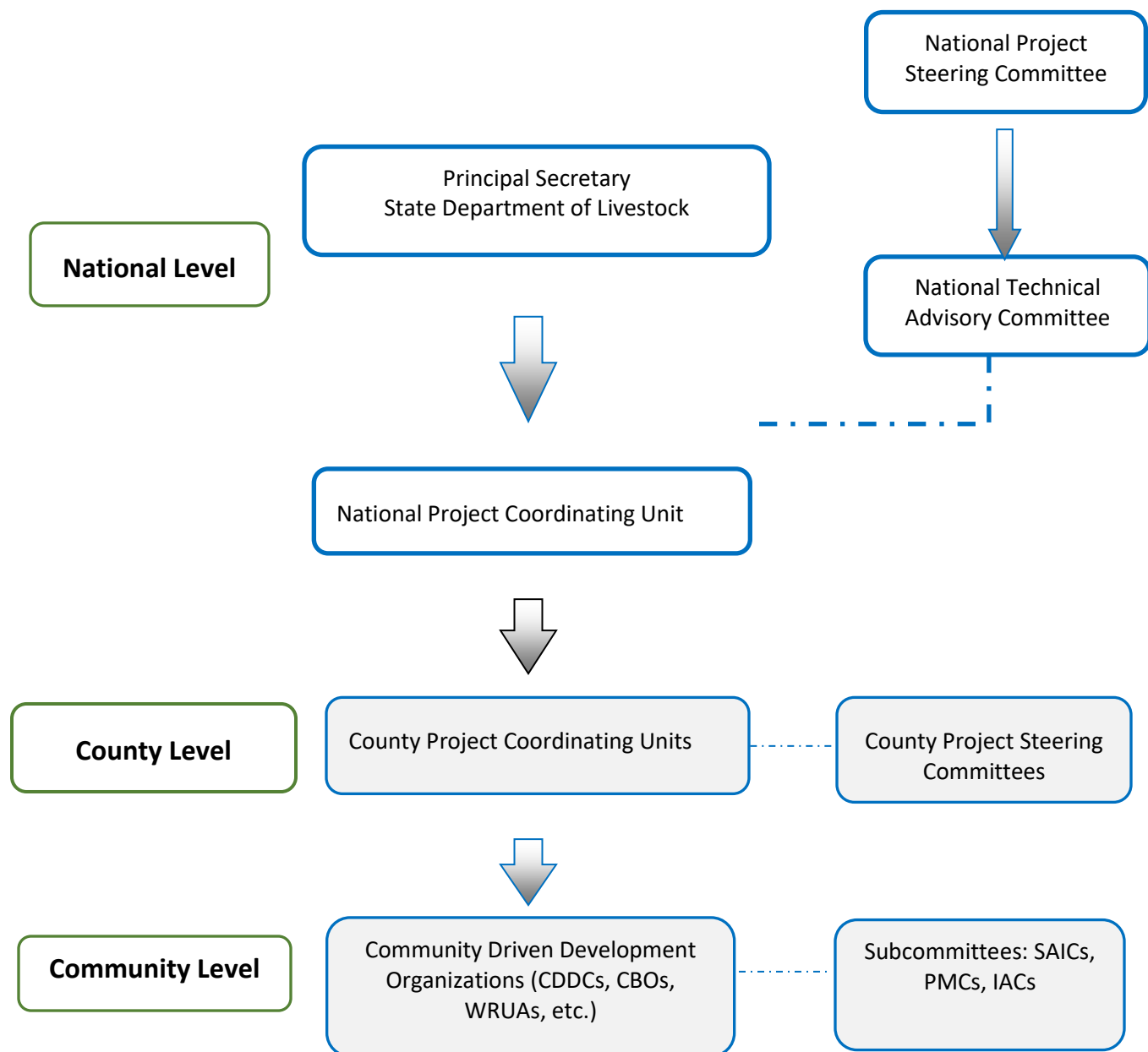
their implementation, community participatory monitoring and reporting. Other community-level groups and subcommittees, including Water Resource Users' Associations (WRUAs), CBOs, SACCOs, and Social Accountability and Integrity Committees (SAICs) will also participate in the project.

#### **4.1 Screening for sub-projects**

147) The screening for sub-projects start with identifying community needs through the PICD process which enables the VMGs to assess their local needs and challenges, prioritize these needs, suggest possible solutions, and develop action plans in order to address the prioritized needs.

148) The outputs of the PICD process are the institutions including VMG Driven Development Committee ( VMG DDC), that coordinates the implementation of the VMG action plan (VMGAP), and identification of VMG Common Interest Groups (VMGCIGs), and producer groups to implement prioritized VMG projects, selection of the VMG Procurement Subcommittee (VMG-PSC) to procure goods and services, VMG Project Management Committee (VMG-PMC) to oversee the implementation of the sub-projects and the VMGAP which details the prioritized needs of the implementing communities. The VMGAP are the source of the developed sub-projects proposals.

**Figure 3: Institutional Implementation Arrangement**



## 4.2 Capacity Building

149) Social inclusion starts from good communication and social awareness actions using various media, combined with capacity building and training. A module on social inclusion will be included in the capacity building for relevant stakeholders and VMGs.

150) County capacity building: County governments will be supported to use census and other databases to identify and target VMGs (for example, ward administrators tend to have the ward profile with the data on people with disabilities, widows, etc.). County governments are encouraged to create (if it does not exist yet) a database that includes youth and VMGs in the concerning County.

151) County-level capacity building: The sub-component will further support safety net programs (e.g. cash or food for work) to generate jobs or create employment during off-season, targeting VMGs but mainly youth. Counties will be supported to review existing targeting mechanisms and programs for VMGs to move towards targeting mechanisms that combine data available to the national and county governments with the participatory identification of VMGs under Component 1 through the PICD process.

152) Supporting Community-Driven Development: For community-level institutions, general capacity building on an inclusive PICD process and participatory identification of VMGs will be essential. In addition to having modules on cross-cutting themes like inclusion, it is also important to have conflict resolution as part of the training and awareness creation for communities.

153) Social Inclusion-informed selection of investments. Menu of goods and services available within ECAAT projects must include those that are of relevance and interest to women and VMGs. e.g., if the plan only has activities that need a large piece of land, it would not be helpful for landless members and physically challenged people.

#### ***4.3 Specific capacity-building for VMGs***

154) As the target groups become clearer and awareness of the social and economic inclusion principle of the project is widely shared, the VMG's members will be invited to participate in training and capacity building sessions. The VMG's may have specific capacity building needs, and dedicated skills training funded through potentially dedicated funding. Youth from the

VMG's like in other communities, may need separate training programs, tailored to their needs and lifestyle.

- ***Social inclusion:*** The stakeholder will be trained on strategies for enhancing social inclusion such as: (i) good communication, (ii) social awareness actions, (ii) creation and utilization of databases on vulnerable communities and groups such as: marginalized communities, women, single parents, widows, youth, persons with disabilities, aged and sick members of the community and all those communities who fit the national description of marginalized and minority communities (Article 56 CoK 2010) . (iv) group dynamics among others. The skills gained will be used to mobilize and create awareness among the VMGs, develop Community Development Plans, build capacity on VMG and support the VMG to implement, monitor and evaluate their action plans
- ***PICD Module:*** The VMG, national and county government, services providers and other development actors who will interface with the VMGs will be capacity build on the PICD process and VMGF principles and elements
- ***Climate Risks Module:*** The VMGs, CIGs, POs, Service Providers, National and County Government will be trained on the use of tools and methodologies for assessing climate risks
- ***Fiduciary Module.*** VMGs will be trained on community procurement and financial management to improve their relevant capacity on project implementation and management.
- ***Environmental and social safeguards Module.*** Relevant County government staff, Servicer Providers and VMGs will be trained on how to use checklists and development of environmental management plans where applicable),
- ***Agri-business and financial services Module:*** Relevant County government staff, VMG and other relevant development actors will be trained on agri-business and financial service principles and skills to ensure that the ECAATP integrated business model in the design of value change development and implementation

155) Target trainees: ECAATP will develop a training program targeting relevant project actors at the national, county, sub-county and community levels with each target with relevant training module and knowledge, skills and practice areas

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156) Facilitators/trainers and modes of training. Terms of Reference and the selection process for facilitators and trainers will ensure that candidates who can deliver training modules in an inclusive way will be hired. Also, language and tools to be used in documents and training should factor in potential barriers these training media can pose to the participation of certain excluded groups in capacity building measures. The County Governments should explore the possibility and ensure the language and modality of training provision would not exclude certain groups of members. Similarly, the facilitators of the trainings should take into account the background and profile of the trainees.

Areas of focus for Training for Environmental and Social frameworks under the ECAATP

**Table 12: Proposed Areas of capacity building for Environmental and Social Safeguards**

<b>Level</b>	<b>Key target groups</b>	<b>Type of Training</b>
National level	<ul style="list-style-type: none"> <li>• NPCU</li> <li>• National Steering Committee</li> <li>• National Technical Advisory Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Sensitization on the</li> <li>• PICD</li> <li>• Social and Environmental safeguard framework</li> </ul>
County level	<ul style="list-style-type: none"> <li>• County Project Steering Committee,</li> <li>• County Project Technical Team with line department and ministries at the county level)</li> </ul>	PICD Social and Environmental safeguard framework Application of the screening checklists, manuals and tools Conflict Resolution and the grievance mechanism Social Audits Report Writing Citizen and Stakeholder Engagement Group dynamics Gender awareness
Community level	<ul style="list-style-type: none"> <li>• Community level structures Value chain producer organizations,</li> <li>• Community interest groups, Vulnerable and Marginalized Groups, and the</li> <li>• Community Development Committees).</li> </ul>	PICD Social Skills on screening and use of the Environment & Social Check List Checklist for the RFP and RAP implementation VMGF and Plan training Group dynamics Conflict Resolution and GRHC Participatory M& E and reporting Gender awareness Gender Screening Training on the CIDP Lobby and Advocacy Building Farmer organizations

#### 4.4 Budget

**Table 13: A Budget for the proposed areas of training for the Environmental and Social Safeguards**

Level	Type of Training	Budget [KES]
National level	<ul style="list-style-type: none"> <li>Sensitization on the PICD</li> <li>Social and Environmental safeguard framework</li> </ul>	<ul style="list-style-type: none"> <li><u>1 Training Sessions</u></li> <li>Training Subsistence – KES 2,000,000</li> <li>Facilitation = KES 700,000</li> <li>Transport = KES 500,000</li> <li>Consultant = KES 3,000,000</li> </ul>
County level	PICD Social and Environmental safeguard framework Application of the screening checklists, manuals and tools Conflict Resolution and the grievance mechanism Social Audits Report Writing Citizen and Stakeholder Engagement Group dynamics Gender awareness	<ul style="list-style-type: none"> <li><u>5 Training Sessions (County)</u></li> <li>Training Subsistence – KES 12,000,000</li> <li>Facilitation = KES 4,200,000</li> <li>Transport = KES 3,000,000</li> <li>Consultant = KES 22,500,000</li> </ul>
Project implementing Staff	PICD Social and Environmental safeguard framework Application of the screening checklists, manuals and tools Conflict Resolution and the grievance	<ul style="list-style-type: none"> <li><u>5 Training Sessions (County)</u></li> <li>Training Subsistence – KES 12,000,000</li> <li>Facilitation = KES</li> </ul>

Level	Type of Training	Budget [KES]
	mechanism Social Audits Report Writing Citizen and Stakeholder Engagement Group dynamics Gender awareness	6,000,000 • Transport = KES 3,000,000 • Consultant = KES 22,500,000
Community level	PICD Social Screening and use of the Environment & Social Check List Screening RFP and RAP implementation VMGF and Plan training Group dynamics Gender awareness Conflict Resolution and GRHC Participatory M& E and reporting Gender Screening Training on the CIDP Lobby and Advocacy Building Farmer organizations	• <u>5 Training Sessions Community level)</u> • • Facilitation = KES 10,000,000 • Transport = KES 6,000,000
<b>Total</b>		• <u><b>107,400,000</b></u>

#### 4.5 Grievance Redress Mechanisms

157) ECAATP is charged with the responsibility of introducing the GRM, its purpose, operations and administration including establishing these GRM committees at all project levels (community/Institutional Investment, sub county, County, National project levels and the Judiciary as the ultimate redress level. A grievance redress mechanism will be developed for addressing the grievances from the affected VMGs related to sub-project implementation. The procedure of grievance redress will be incorporated in the project information pamphlet to be distributed prior to implementation. Participatory consultation with affected households will be undertaken during project planning and implementation stages. The VMGP will provide contact



information on the GRM focal points in terms of names/designation, phone numbers, addresses etc.

158) ECAATP will establish a mechanism to receive and facilitate resolution of affected VMGs concerns, complaints, and grievances about the project's safeguards performance at each sub-project having VMGs impacts, with assistance from Non-Governmental Organizations (NGO). Under the Grievance Redress Mechanism (GRM), a Grievance Redress Mechanism Committee (GRMC) will be formed for each sub project with involvement of VMGs representative & local stakeholders. The GRMCs are to be formed and activated during the VMGPs implementation process. Assistance to VMGs will be given to document and record the complaint. The grievance redress mechanisms is designed with the objective of solving disputes at the earliest possible time and at the lowest levels where the PAPs reside for quick resolution. The traditional dispute resolution structures existing for each of the VMGs will be used as the first step in resolving grievances.

159) Simply put, a Grievance Redress Mechanism is a system by which stakeholders of the sub project or an activity will seek information and clarifications about the sub project and are responded to in a timely manner. A system in which, if problems arise out of implementation these problems will be communicated, tracked and resolved in a most efficient and transparent manner. In addition, GRMs will be mandated for sub projects/activities that trigger OP 4.10 or 4.12 (Indigenous Peoples, Involuntary Resettlement respectively).

160) Again during implementation, if applied well, the GRMs will reduce the likeliness of escalation of disputes between the implementers and communities and other interested stakeholders found where the investments are being implemented. Through these operationalized GRM committees, identification and addressing potential negative impacts, and unanticipated issues through broadening scope of consultation by the implanting agencies is made easy by improving results and lessons learned through inclusive stakeholder consultations and participation.

161) A GRM helps project management fulfill a number of values: resource targeting; provides feedback in a systematic and timely manner; generates awareness and demand among citizens to utilize the services properly; deters project-related fraud and corruption; and finally it allows beneficiaries to express their voices creating a sense of ownership. To achieve this, the borrower will ensure multiple grievance uptake locations and multiple channels for receiving grievances; fixed service standards for grievance resolution; prompt and clear processing guidelines (including reviewing procedures and monitoring systems); and an effective and timely grievance response system to inform complainants of the action taken

162) The VMGs will be provided with a variety of options for communicating issues and concerns, including in writing, orally, by telephone, over the internet or through more informal methods as part of the grievance redress mechanism. In the case of marginalized groups (such as women and young people), a more proactive approach may be needed to ensure that their concerns have been identified and articulated. This will be done, for example, by providing for an independent person to meet periodically with such groups and to act as an intermediary. Where a third party mechanism is part of the procedural approach to handling complaints, one option will be to include women or youth as representatives on the body that deals with grievances. It should be made clear that access to the mechanism is without prejudice to the complainant's right to legal recourse. Prior to the approval of individual VMGPs, the affected VMGs will have been informed of the process for expressing dissatisfaction and seeking redress. The grievance procedure will be simple and administered as far as possible at the local levels to facilitate access, flexibility and ensure transparency.

#### **4.5.1 The roles of the GRM Committee**

163) The roles shall include but not limited to the following: Timeliness receiving, logging, acknowledging, screening and sorting, referring, responding to complaints. The secretary of the GRM Committees shall receive, record and refer complaint to the committee for handling. The secretary shall also keep track of all the happenings and document them appropriately in the prescribed format. The new dispensation has existing structures which tackle grievances and the project will adopt such structures and also enhance them. The borrower will also capacity build them on the expected procedures including: recording, registering, and sorting grievances; conducting an initial assessment of grievances; referring grievances to appropriate units or

persons; determining the resolution process; making decisions, including parameters and standards for accurate and consistent decision making; The GRM Committees shall in liaison with other relevant stakeholders offer solutions to grievances presented in a timely manner to avoid the same being escalated. The Committees shall notify complainants and other affected parties of eligibility, the resolution process, and outcomes; The Committees shall also track, monitor, document, and evaluate complaints. The secretaries shall analyze data and prepare regular updates and progress reports for their committees with proposed follow-up activities and establishing feedback loops with both the complainants and the PAPs.

#### **4.5.2 Grievance Redress Mechanism Process**

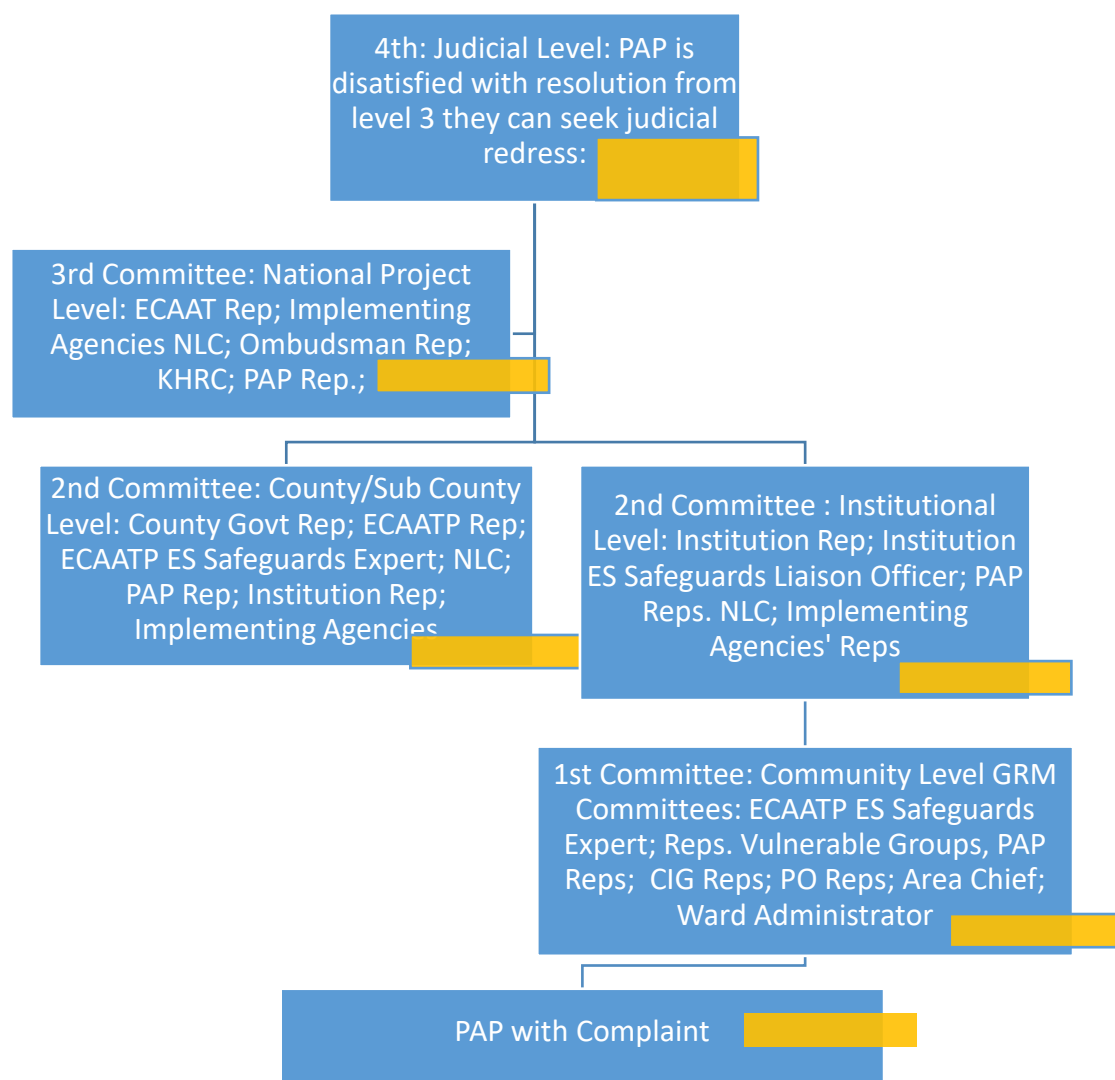
164) The receipt of complaints is key and hence a simple and understandable procedure shall be adopted for receiving grievances, suggestions and comments relating to the project. The complainant may submit, containing his/her personal information, suggestions and/or comments on the prescribed form under the custody of each committee level. Generally, each of the various levels of grievance redress shall undertake the following steps: Receive and register grievance (indicating the mode of communication i.e. oral, letter, text, email, telephone call, video, etc.; also indicate the details of the complainant – name, I/DNo., PAP or otherwise, gender, contacts); screen and sort out type of complaint (does it require just immediate answer? Who by? Do it or refer accordingly; or does it require a decision by the GRM Committee? Book it accordingly); send acknowledgement to grievance owner (write an acknowledgement to the complainant regardless of the type of complaint); forward grievance to relevant sub-committee (after booking the complaint in the register, bring it to the attention of the relevant contact person for the committee. Do ensure this process is tracked – date and timing, etc.). Verify the complaint/investigate/redress (the committee shall investigate and take appropriate action. Keep minutes of the undertakings, etc.). Where redress calls for other parties/stakeholders to come in, kindly consult, convene and together think and decide as a team on the best course of redress. If the complaint is not resolved at a level, kindly refer it to the next level (See illustration 2). Provide documentation as to the justification why the issue could not be resolved at your level (case reference, complainant/contacts/case summary, date logged in, summary of findings, why it is being referred, etc.). The complainant will have a right of appeal at all levels of the GRM.

At all stages it is reemphasized that tracking, monitoring, documentation, and evaluation are key processes and **MUST** be well documented (See illustration 1 below).

DO STAGE	STAGE	DON'T
<ul style="list-style-type: none"> <li>• Create accessible uptake locations and channels</li> <li>• Maintain log books at various levels to record all complaints, inquiries and suggestions received</li> <li>• Publicize uptake options/contact, information on communication materials, in offices, etc.</li> </ul>	<b>Uptake</b>	<ul style="list-style-type: none"> <li>• Create barriers to complaining by making uptake processes time consuming or complicated</li> <li>• Forget to take measures to ensure that vulnerable groups are able to access the GRM</li> </ul>
<ul style="list-style-type: none"> <li>• Clearly outline who is responsible for handling different types of complaints</li> <li>• Assign each complaint a unique ID number</li> </ul>	<b>Sort and process</b>	<ul style="list-style-type: none"> <li>• Leave any ambiguity about how complaints are supposed to be routed</li> <li>• Develop a GRM that does not differentiate between different types of complaints</li> </ul>
<ul style="list-style-type: none"> <li>• Inform users about steps in the complaints-handling process</li> <li>• Try to resolve the complaint at the first point of contact</li> <li>• Stick to agreed timetables for responding on complaints</li> </ul>	<b>Acknowledge and Follow-up</b>	<ul style="list-style-type: none"> <li>• Divulge complainant's identity to others</li> <li>• Treat GRM users as if their complaint is an inconvenience</li> </ul>

<ul style="list-style-type: none"> <li>• Objectively evaluate the complaint's merit on the basis of facts</li> <li>• Ensure that investigators are neutral</li> <li>• Take action that is proportional to the comment or complaint</li> </ul>	<b>Verify, investigate and act</b>	<ul style="list-style-type: none"> <li>• Expect users to prove they are right; this is the purpose of an investigation</li> <li>• Forget to update users on the status of their complaint</li> <li>• Appoint investigators that are biased</li> </ul>
<ul style="list-style-type: none"> <li>• Signal importance of complaints handling putting topic as agenda item for management meetings</li> <li>• Establish a tracking system to record, classify, and assess complains</li> <li>• Analyze grievance redress data and make improvements</li> </ul>	<b>Monitor and evaluate</b>	<ul style="list-style-type: none"> <li>• Miss the opportunity to integrate the GRM into the project's management information system</li> <li>• View the resolution of complaints as an end in itself – it is just a first step in improving processes</li> </ul>
<ul style="list-style-type: none"> <li>• Contact users to explain how their complaint was resolved and how they can appeal</li> <li>• Publicize results of investigations to enhance visibility of and increase trust in the GRM</li> </ul>	<b>Provide feedback</b>	<ul style="list-style-type: none"> <li>• Neglect to follow up with users; this undermines trust in the GRM</li> <li>• Keep complaint results private; this undermines transparency</li> </ul>

**Illustration 1: GRM Valuation Chain Principles**



**Illustration 2: proposed ECAATP GRM levels**

#### ***4.6 Citizen Engagement***

165) CE is the two-way interaction between citizens and governments or the private sector that gives citizens a stake in decision-making with the objective of improving the intermediate and final development outcomes of the interventions. The implicit theory of change in promoting CE in Climate Smart Agriculture is that communities with a participatory stake in the functioning of the climate smart agriculture TIMPs are more likely to adopt, use and support them and be greater champions of the working TIMPs and of their own needs. CE can also help hold service providers accountable for results. For this reason, CE mechanisms are designed to make target communities including VMGs more aware of the services and technologies provided, more

involved in the choice and application of such TIMPs, better able to communicate with service providers and, in turn, feel more responsible and accountable for the success of the project results.

166) For example, between 2011 and 2013, the MOH, with support from the World Bank, tested integration of approaches, which is part of CE, in selected health facilities across the country. The pilot demonstrated that the model holds considerable promise for achieving better local governance and health service delivery. Following the pilot, the MOH developed a manual to assist service providers and communities in adopting and implementing the tested practices in service delivery. This underscored the fact that until recently service provision has largely been supply driven with little or no input from the citizens. ECAATP will draw good practices and lessons and leverage on these guidelines to integrate CE in service delivery as a means of ensuring that citizens have a greater voice; that the project system will be accountable to its citizens. Indicators that support and enhance CE should be included.

167) CE will contribute to achievement of the PDO through: (i) improved demand for TIMPs for productivity and resilience to climate change risks as a result of enhanced community participation in decision-making and management processes; (ii) improved governance as a result of strengthened governance and institutional structures; (iii) empowered communities as a result of demand for up scaled climate change agricultural practices by smallholder farmers and pastoral communities and increased community participation in service delivery accountability and (iv) improved quality of service provision as a result of feedback systems and grievance Redress Mechanism (GRM). Activities will be centered on the three components of CE:

- **Information sharing.** The extent to which research, meteorological and value chain operational information is made publicly and interactively available. Community participation. The improved functionality of community units as well as establishing community-based monitoring (CBM) mechanisms while also strengthening existing mechanisms such as inclusion and empowerment of community representatives on the decision-making structures of the project implementation units.
- **GRM:** The extent to which feedback and GRM are available at the community level and whether/how the feedback loop is closed.

- **The proposed CE activities are expected to be led by two key actors, (i)** National Project Management Unit that should not only have key safeguards specialists (Environment and Social) but ideally assist in the appointment of focal persons for not only CE but also Safeguards within each of the county teams to guide the process at county level as well as within the larger community umbrella/committees, producer and farmer organizations at CIG levels (specifically to guide safeguards in their entirety including CE/GRM, and (ii) All Community smallholder/pastoral based groups/institutions are expected to designate their CE/GRM focal persons/Committees at the existing community fora.

168) Communities and individuals who believe that they are adversely affected by a World Bank supported project may submit complaints to existing project-level grievance redress mechanisms or the World Bank's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project-affected communities and individuals may submit their complaint to the World Bank's independent Inspection Panel, which determines whether harm occurred, or could occur, as a result of World Bank non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate GRS, please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

#### ***4.7 Stakeholders Engagement***

169) The term "stakeholder engagement" is emerging as a means of describing a broader, more inclusive, and continuous process between a sponsor and those potentially impacted that encompasses a range of activities and approaches, and spans the entire life of a project cycle. In this context, good stakeholder relations are a prerequisite for good risk management. Tips for successful stakeholder engagement include: (i) Start early -relationship-building takes time. Many of the hallmarks of good relationships – trust, mutual respect, and understanding – are intangibles that develop and evolve over time, based on individual and projects should design



their engagement strategies in line with the needs of their respective activities; (ii) Take a proactive approach - this means fighting the instinct to delay consultation because it is still early days and you don't have all the answers yet or are worried about raising expectations. The reality, most likely, is that people's expectations are already raised in some form or other, and that speculation about the project is beginning to circulate. Early engagement provides a valuable opportunity to influence public perception and set a positive tone with stakeholders early enough; (iii) In the high-pressure context of getting a project up and running, interacting with stakeholders when there doesn't seem to be any urgent need to do so can be viewed as a low priority and not a particularly good use of scarce time and resources. However, if a conflict or crisis does occur, the absence of established relationships and channels of communication puts the project at an immediate disadvantage in trying to manage the situation; and (iv) Establish and maintain good relationships - this requires a long time-horizon. Projects who take this view tend to make different types of decisions. They invest in hiring and training community liaison staff and see the value of consistently following through on their commitments to stakeholders.

## **5.0 Gender Mainstreaming and Inclusion of Youth, Vulnerable and Marginalized Groups in Climate Change TIMPS**

170) The social pillar of Kenya's Vision 2030 aims at ensuring equity in power and resource distribution between the sexes, improved livelihoods for all vulnerable groups, and responsible, globally competitive, and prosperous youth. Specific strategies involve: increasing women's participation in all economic, social, and political decision-making processes; improving access to all disadvantaged groups (e.g., business opportunities, health and education services, housing and justice); and minimizing vulnerabilities through prohibition of retrogressive practices (e.g., female genital mutilation and child labour) and up scaling training for people with disabilities and special needs.

171) Gender is the collective social difference between males and females, as determined by culture. Gender is one of the many components of vulnerability to climatic change. Changes in the climate affect genders differently, magnifying existing gender inequality. Both women and men are affected by and vulnerable to climate change and global warming, but women often bear more of the burden. This increased vulnerability is mostly not due to biological or physical

differences, but is molded by the social, institutional and legal contexts. Therefore, vulnerability is less an intrinsic feature of women and girls but rather a product of their marginalization. When women have fewer rights and less power in society, more of them suffer due to climate change related aspects, but when there are equal rights, access and empowerment for all groups, climate change impacts are more equally matched.

## 6.0 MONITORING AND EVALUATION

172) All project results indicators will be disaggregated by gender and age to monitor women and youth participation in the project interventions. The project will also enhance inclusion of most vulnerable groups including female headed households, child-headed households and those from marginalized communities.

173) Monitoring for implementation of VMGPs: The NPCU at the MoA&I will establish a monitoring system involving the NPCU staff at national and county level, as well as community groups of VMGs to ensure effective implementation of VMGP. A set of monitoring indicators will be determined during VMGP development and will be guided by the indicators contained in the VMGF document. The NPCU support consultants will carry out monitoring as will the World Bank social staff. Appropriate monitoring formats will be prepared for monitoring and reporting requirements.

174) For any sub-project found to have significant adverse impacts on VMGPs, external experts will be engaged by the NPCU to verify monitoring information of the VMGP for those sub-projects. The NPCU and external experts will collect baseline data including qualitative information and analyze the same to assess the impacts of the project on groups that meet the OP 4.10. The experts will advise on compliance issues and if any significant issues are found, the NPCU will prepare a corrective action plan or an update to the approved VMGP. The NPCU will follow up on implementing the corrective actions to ensure their effectiveness.

a) **Monitoring Indicators:** several key indicators and topics for monitoring and evaluation of VMGP are (i) process of consultation activities; (ii) appropriateness of affected assets valuation and compensation; (iii) economic status of VMGPs in comparison with pre-project condition (iv) status of VMGs as identified in the SA; (v) any disadvantaged conditions to VMGs that was not anticipated during the preparation of VMGPs, that required corrective actions; and (vi) grievance redress issues. The VMGP will collect required data/information and regularly analyze project outputs and impacts considering impact on VMGs, and semi-annually report the results to the Bank.

b) *Annual Reporting and Performance Review Requirements.* Annual progress reports will be prepared by the NPCU and the preparation of the progress reports will be supported by the environmental and social safeguards specialists in the project at the county and community levels. These reports will be submitted to the Bank.

c) *Budget.* All costs for implementation of the safeguards instruments (RPF, ESMF, and VMGF) will be financed by ECAATP. The costs of the VMGF, RPF and EMSF will be reviewed during appraisal based on interviews with community members and relevant government officials. This will be updated after the detailed survey and investigation as well as further consultations with VMGs.

d) *Assessment of capacity and preparedness for appraisal.* MOALF has the requisite capacity to undertake the preparation of the safeguards instruments. The county staff will be trained on the required policies and use of the social and environmental screening tools.

175) All the plans will include a Consultation and Stakeholder Engagement strategy to ensure that PAPs and VMGs are informed, consulted, and mobilized to participate in the relevant sub-projects. The Grievance Redress Mechanisms is related to sub-project implementation with operationalization addressing all project activities and issues; and a process for Bank and Government Disclosure to the public in accordance with Bank Policy on Disclosure of Information and will be implemented. Consultations with local stakeholders from the relevant national and county line Ministries and departments; and representatives of VMGs will be undertaken during the preparation of the social and environmental documents including the VMGPs.

**Table 14: Proposed Budget to Implement the VMGF**

No	Planned activity	Target No.	Budget (USD)
1	Sensitization/Awareness creation of stakeholders at National, County and investment /community levels	National, county, community levels	100,000
2	Train specialists as ToTs	46	100,000
3	Screening exercise of sub projects / investments /VMGs	200	120,000

4	Undertake FPIC	11 counties	200,000
5	Identify VMG activities	33	80,000
6	Targeted support to the VMGs	10	150,000
7	Formulate VMGPs	33	200,000
8	Consultation and disclosure of the VMGPs	33	80,000
9	Capacity building the VMGs	11 counties	160,000
10	Establish/Operationalize GRM Committees	11 counties	100,000
11	Monitor implementation of VMGPs and Reporting	33	50,000
<b>Total</b>			<b>1,340,000</b>

176) The accounting function under the project will be managed as per country regulations, and PIM that will include requirements specific to the Bank financed projects. In Kenya, the fiduciary agency is the Ministry of Agriculture, Livestock and Fisheries. Under KALRO, a key implementing agency, the project will also be guided by the KALRO Financial Management Manual that will be updated to reflect the new staff establishment and changes in organogram before ratification by its Board. Project will be executed through IFMS as per the National Treasury policy directive.

**Table 15: Monitoring and Evaluation Indicators for ECAATP VMGF**

Component	Indicator	Responsibility	Data Sources
<b>Component 1: Commodity Programs, Technology Generation, Dissemination &amp; Transfer</b>			
<ul style="list-style-type: none"> <li>• Community mobilisation</li> <li>• Awareness creation</li> <li>• Development of and training on standardized training modules</li> <li>• Improving water and soil management</li> <li>• Promoting livelihoods and crop diversification</li> <li>• Climate risk mitigation initiatives (including crop insurance options)</li> <li>• On farm trials for TIMPs on CSA</li> </ul>	<ul style="list-style-type: none"> <li>• No of VMG screened</li> <li>• No of VMG's mobilized and sensitized</li> <li>• List of VMG members participating in the mobilization and sensitization meetings</li> <li>• No of Training modules developed</li> <li>• No of VMG's benefiting from promoted livelihood options and crop/livestock diversification</li> <li>• No of VMG members benefiting from the climate risk mitigation initiatives</li> <li>• No of TIMPs that are socially and culturally appropriate for VMGs agricultural activities</li> </ul>	ECAATP NPCU County Government Researchers	Field meetings and workshops PIM report M&E reports Progress reports/ Project MIS
<b>Subcomponent 2.0 Enabling Policy and Markets</b>			
<ul style="list-style-type: none"> <li>• Community mobilisation and establishment of productive alliances</li> <li>• Development of and training on standardized training modules</li> <li>• Facilitation of county technical departments to provide oversight and quality assurance for service providers</li> <li>• Contracting farmers for seed bulking</li> </ul>	<ul style="list-style-type: none"> <li>• No of Productive alliances established/strengthened</li> <li>• No of VMG's mobilized and sensitized</li> <li>• No of Training modules developed</li> <li>• No of VMG members contracted</li> <li>• Amount of seed produced (kgs. for crops and numbers for livestock)</li> </ul>	NPCU Researchers KEPHIS KAGRC VMG CIG's	Field meetings and workshops Progress reports

<b>Component</b>	<b>Indicator</b>	<b>Responsibility</b>	<b>Data Sources</b>
<b>Subcomponent 3.0: Contingency Emergency Response</b>	<ul style="list-style-type: none"> <li>No of potential local disasters addressed within VMG localities</li> </ul>	ECAATP NPCU	PIM report M&E reports
<b>Component 4.0: Project Coordination and Coordination</b>			

## **7.0 STAKEHOLDERS' CONSULTATIONS AND PUBLIC DISCLOSURE**

177) This VMGF and sub project VMGPs will be made available to the affected VMGs in an appropriate form, manner, and language. Various project design, launching, implementation; monitoring and evaluation completion sessions will be disclosed and/or communicated throughout the project phase. Once the documents are reviewed and cleared as providing an adequate basis for project compliance, the borrower will make them available to the public in accordance with Bank Policy on Disclosure of Information, and the Bank will also make the documents available on the World Bank external website. Each sub-project VMGP will be disclosed to the affected VMGs with detailed information of the sub-project. This will be done through public consultation and made available and accessible as brochures, leaflets, or booklets, using local languages. Summary of the VMGP will be made available in hard copies and in language at: Offices of the MoA&I; Sub County or County Office; Ward Administrators' and Chiefs' offices and any other local level public office.

178) Electronic versions of the framework as well as the VMGPs will be placed on the official website of MoA&I and the official website of Bank after approval and endorsement of the VMGF and each VMGP by the Bank.

179) One national stakeholder/public consultative workshop was held on 6th March, 2018 at KALRO Headquarters for the Vulnerable and Marginalized Frameworks, (VMGF), Environment and Social Management Framework (ESMF) and Resettlement Policy Framework (RPF) with 73 representatives from the 23 project Counties and national implementing institutions. There were three representatives of the VMGs drawn from Garissa (Indigenous Peoples), Elgeyo Marakwet (Indigenous Peoples) and Kilifi (Indigenous Peoples) counties (Annex 13 is a template on how the participation was captured). The identification of the VGs representatives was done through the county agriculture and livestock offices as guided by the existence of the VMGs in their respective counties. Gender was also considered in the identification of stakeholders. The stakeholders were taken through the proposed ECAAT project focusing on the technical components and the proposed activities/interventions and the frameworks (VGMF, ESMF/IPM and RPF). This was followed by guided discussions and issues/clarifications/questions arising were adequately



addressed. The comments and observations from the national consultative workshop were incorporated into the VGMP to generate the final version (see Annex 12).

180) This representation for the VMGs fell short of the expectations and the project team purposed to convene further county consultations to ensure VMGs were well consulted and their views were brought on board in the project design. Therefore, Further, county consultations exclusively for the VMGs were planned. These were done between 20th to 22nd April 2018 in Nyandarua county (other VGs) while Garissa and Elgeyo Marakwet Counties represented communities who meet requirements of OP 4.10 with a combined attendance of 80 smallholder and pastoral farmers - 27 participants in Nyandarua, 20 participants in Garissa and 33 participants in Elgeyo Marakwet. These consultations were done in form of focused group meetings. In Garissa County, there were also two disabled persons while in Elgeyo Marakwet County there were three disabled participants. The county consultation comments and observations from the consultative meetings were incorporated into the VGMP to generate the final version and also will inform the project design (see Annex 14).

181) This document will be approved/cleared by the Government of Kenya and the World Bank and disclosed in the World Bank's website and locally to all stakeholders in a language and manner that is culturally appropriate. Any revisions/changes to the document will need to follow the same clearance and disclosure procedures.

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## ANNEXES

### **Annex 1:** Summary Profiles of VMG Identified in the Proposed Counties through Screening for the ECAATP

1) The Social Analysis draws mostly from data collected from a desk review of recent existing documents in the public domain about VMGs that meet the criteria of OP 4.10. Obtained information on the views of various categories of VMGs on the potential impacts that the implementation of the various components of ECAATP might have on them. Key informant interviews and focused group discussions with a sample of IPOS drawn from around the country. It was also informed by a national workshop held on December 16, 2015 drawing on representatives of key stakeholders and beneficiaries groups, including farmer organizations, IPOs, country officials, CBOS, women farmer groups, pastoralist organizations. The social analysis collected socio-economic and socio-demographic characteristics of VMGs from the 23 target Counties. Finally, the SA suggested mitigation measures and alternative support to the VMGs livelihood bases. Below is a summary of the findings of the SA.

2) Kenya is home to a number of groups who self-identify as Indigenous Peoples. Some of these are hunter-gatherers, others nomadic or semi-nomadic pastoralists and other blacksmiths and fishing foraging communities.<sup>20</sup>In the absence of updated and reliable statistics, it is difficult to give precise demographic data of the various groups. Estimations vary greatly and depend on who one considers as Indigenous Peoples in Kenya. Some experts have put the total population of groups that self-identify as Indigenous Peoples at around 1.5 million.<sup>21</sup>

#### ***VMGPs whose livelihoods are linked to Forest/Natural Resources/Forest Adjacent Communities***

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<sup>20</sup>See the Report of the UN Special Rapporteur on Indigenous Peoples in Kenya, UN Doc. A/HRC/4/32/Add.3, 26 February 2007; the Report of the African Commission's Working Group of Experts on Indigenous Populations/Communities; Banjul & Copenhagen: ACHPR & IWGIA, 2005; and the website of the International Working Group on Indigenous Affairs (IWGIA) at <http://www.iwgia.org/regions/africa/kenya>.

<sup>21</sup>Kipuri, Naomi. "Kenya and its Indigenous Peoples" (unpublished paper). This number does not include all pastoral groups in Kenya; all pastoral groups make up about 25% of the Kenyan population.

3) The hunter-gatherer groups<sup>22</sup> are generally found in the forested areas of the central Rift Valley province, in the western part of the country: Moving from south to north, these groups include: the Ogiek (approx. 20,000), who live in the Mau Forests; the Sengwer (30,000) of the Cherangany Hills and Kapolet Forest in Trans Nzoia, Marakwet and West Pokot Districts;<sup>23</sup> and the Yaaku (less than 1,000) who live in the Mukogodo forest west of Mount Kenya, in the Laikipia District. Two more groups are the Waata (a few thousands) who live dispersed in the southern coastal areas of the Coast region, and the Elmolo (a few hundreds) who are a small fishing community living on the shores of the Lake Turkana, in the northwestern part of the country.

4) These hunter-gatherers are often derogatorily addressed as Torobbo, Dorobo, Ndorobo, or Wandorobo, which are all Swahili terms deriving from "Il Torobbo," the Maa-term for people without cattle, i.e., in the Maasai understanding "poor people:" In the coastal areas, hunter-gatherers are mostly addressed by the Somali term "Boni", which refers to someone without any possessions, and/or "Sanye", which means in Somali "to gather together to use for a general purpose". The people themselves, however, usually refer to themselves by their own names. Communities who are found in the proposed counties whom may meet the criteria OP 4.10 and the Constituion of Kenya 2010 as marginalized and vulnerable groups are the Dorobos, Sengwer, Ogiek, Waata, WaSanye, El Molo.

### **Sengwer**

5) Sengwer (though referred differently by different sections of the community as Cherangany or Dorobo) is an ancient hunter-gatherer marginalized group area former hunter-gatherers, who live in the Trans-Nzoia, Marakwet and West Pokot Districts in and around the Cherangany Hills. The community is characterized by non-recognition, marginalization, oppression, mal-representation, illiteracy, poverty, torture, powerlessness and discrimination. "...The Cherangany is a nickname given to us by the Maasai. Sengwer acquired cattle from the Maasai through blackmail."<sup>24</sup> "...We were robbed of our cattle by the Karamojong and

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<sup>22</sup> The project through the FPIConsultation principle will ensure these communities benefit from the sub projects that will be utilizing TIMPs along value chains. Based on their nature some of the value chains may border on local chicken, apiculture, and others. The VMGs will also be capacity build in order to be more efficient uptake of project benefits.

<sup>23</sup> Rodolfo Stavenhagen, 2006, Mission to Kenya UN Doc. A/HRC/4/32/Add.3, 26 February 2007, para. 39

<sup>24</sup> Kenya Land Commission report 1932

then the Maasai laughed at us because we had no cattle, and called us Cherangany (ni).”<sup>25</sup> Besides, there’s belief that Sengwer who survived after the fall of Kipteeperr are called in contempt the Cherangany<sup>26</sup>. We are also referred to as Dorobo<sup>27</sup>. “...The Dorobo problem has risen because these people, living in small scattered groups, spread over large areas without any property...lived from hand to mouth by hunting and bee keeping...”<sup>28</sup>

6) Sengwer Indigenous Peoples traditional governance is made of sub-tribes<sup>29</sup>, clans<sup>30</sup>, totems<sup>31</sup>, and *orkoi*<sup>32</sup>. Each sub-tribe had their own portion of the ancestral territory whose boundaries were marked either by rivers, hills, trees, etc. The sub-tribe territories covered the plains of Kapchepkoilel and highlands of Cherangany Hills i.e. each of them had a portion of *soi* the plains and *mosop* the forests which forms the Cherangany Hills. Hunting, gathering and bee-keeping was well coordinated. It was illegal for a member of one sub-tribe to either hunt or gather or harvest honey or fetch herbs in another sub-tribes territory

7) Significant parts of the ancestral lands have been demarcated as forests: Kapkanyar 70,000 acres; Kipteber 57,000 acres; Kapolet 10,800 acres; Chemurgoi 9,800 acres; Sogotio 8,800 acres; Kerer 5,340 acres; Kaisingor 2,680 acres and Embobut 8,000 acres. Access to land and forest resources has been an issues highlighted by the Sengwer.

8) Adjacent to the Embobut forest in the Marakwet district live, according to local sources, approximately 5,000 Sengwer, which claim to have arrived in the area in the 1930s when they were displaced from the plains of Trans-Nzoia. The settlements are located right on top of the highest lines of the Cherangany hills, with a view into the Rift Valley and the plains of Trans-Nzoia on either side, but without roads, schools, health infrastructure as it is officially considered as forest. . Many of the Sengwer who lived in the forest, along with Marakwet (victims of landslides) and internally displaced people were relocated out of the forest under a Government program targeted at IDPs in 2012/2013. They continue to advocate for access the forests and participate in co-management of the forest.

<sup>25</sup> Kenya Land Commission report as stated by Sengwer chief Arap Kamusseini at A.C.Hoey’s farm on 2<sup>nd</sup> October 1932.

<sup>26</sup> District Commissioner Elgeyo/Marakwet, Tambach, Report dated 11<sup>th</sup> October 1927

<sup>27</sup> Kenya Land Commission of 1932 and colonial District Commissioners monthly and yearly reports

<sup>28</sup> Evidence given by Mr. C.H. Adams acting Provincial Commissioner Rift Valley Province before the Kenya Land Commission in 1932

<sup>29</sup> Kaplema, Kamengetiony, Kipsirat, Kapteeteekee, Kapsormeii,, Kimarich, Kaamosus, Kaasango, Kaptoo, Kaptapkitiny, Kapkutung, Kaptongon, Kapumpo, Kaptoyoo, Kapchepar, Kapchepororwo, Kitony, Maron, Kimala, Kaptokol

<sup>30</sup> Toyoi, Kapon, Tul, Talai, Moi, Kopil, Songom, Sot, Saniak, Teriki,

<sup>31</sup> Ilat, Moroorch nyipo pei, moroorch nyipo sang, soo kaapumpai, soo kaptieny, cheprak nyi lel kat, asis, sese, cheptipi, cheptuke, chepsireree, tora, etc

<sup>32</sup> Overseers

## **Ogiek**

9) The Ogiek. The Ogiek (Ogiot - sing.) ethnic group consists of 20-30 groups of former hunters and honey-gatherers, mostly living in forested highlands in west and central Kenya. Local groups have more specific names, e.g., Kaplelach, Kipsang'any, Kapchepkendi etc. Okiek, a Kalenjin language of the Southern Nilotic group, is the mother tongue of most Ogiek people, but several groups now speak Maasai as their first language. Five groups in the extreme west of the Yala river catchments near the villages Serengoni, Senghalo and in the Kipkurere forest south-west of Burnt Forest (the last one has been visited) and one group in the Enoosupukia forest southwest of Maiella in the Kinale- Kikuyu catchments (this one has also been consulted) (see areas circled in red in the maps. Traditionally the Ogiek had occupied the forests of the upper Yala catchments and the higher areas of the eastern rift valley escarpment. Precise demographic figures are not available as the Ogiek are not captured as an independent group within the last national census. The African Commission on Human and Peoples' Rights estimated their total population to be between 15,000 and 20,000 individuals (ACHPR 2005:15) while the Ogiek themselves estimate their total number to be between 20,000 (Kobei 2002:60) and 60,000 (Ogiek.org).

## **Dorobos /Ltorobo Community of Samburu**

10) In the Forest of Mathews ranges, in North-eastern parts of Wamba area of the larger Samburu district, there are a group of Dorobo community who were ancestrally hunter-gatherers. The community is composed of 5 clans or family lineages namely: Lngwenya, Soei, Lmaron, Warges, and Lgoyo. However, the Dorobo community were evicted by the Kenya Government from the Mathew ranges forest. The clans now live in several villages around the Mathew ranges which included (Muchemi, 2015).

## **The Waata**

### **Watha**

11) The Watha people are mostly found in the rural arid and semi-arid lands of the country. A minority of them live in thick forests scattered all over the country. This people are traditionally hunters and gatherers. In Malindi Sub-County a Watha community is found in four divisions (i.e. Malindi, Langobaya, Marafa and Magarini). In Tana River Sub-County the Watha are found in Sombo and Laza divisions while in Mandera the Watha are found in

Central division. The population of Watha community in the Sub-Counties is estimated at approximately 30,000 persons. This is only 2.7% of the entire Malindi, Mandera and Tana River Sub-County population.

12) The Watha people are traditionally hunters and gatherers. However since the government abolished unlicensed hunting of game and wild animals, the Watha people now live in permanent settlements, some of them along the river and where there are forests, mainly in the mixed farming and livestock farming zones. The forests afford them an opportunity to practice bee keeping while those along the river practice crop production.

13) The land tenure system in the Sub-County is communal ownership. Most of the land in the three Sub-Counties of Malindi, Mandera and Tana River are currently under trust land by the county councils. Few influential people in the Sub-County have however managed to acquire title deeds from the land offices in Nairobi. However, most of this trust lands are controlled by the majority tribes and becomes a point of conflict if the smaller tribes and outsiders get involved. This is what has pushed the small and marginalized tribes like Watha deep into the forests.

### **Agro Pastoralists/Fishing**

#### **Wasanye**

14) Originally, Mpeketoni and its surroundings were inhabited by Swahilis called Wabajuni and a small hunting and gathering tribe by the name of Wasanye or the Sanye who are almost extinct. In the early 1970s Mpeketoni was transformed into a settlement area for landless Kenyans. Most of those who settled there were Kenyans from up country who had been living in Tanzania but decided to return home due to changing political climate. It emerged during these consultative meetings that the Saanye currently occupy the areas of Mapenya, Mkunumbi, Ndambwe, Witu and Kipini in Mpeketoni.

15) They are currently doing subsistence farming, fishing at Kizuke beach as well as harvesting honey in the forest in the Witu forest. There has been a debate on whether the Sanye are part of the Watha community that occupies parts of Kwale, Kilifi, Tana River and Taita Taveta within the Kenyan coast. Currently, the community has three young men who have completed form four and a young girl who is now in form two. This community claims to have been dominated by the neighbouring Bajuni and the landless settlers from up country who settled in Mpeketoni area in the 1970s.



## **El molo**

16) The **El Molo**, also known as **Elmolo**, **Dehes**, **Fura-Pawa** and **Ldes**, are an ethnic group mainly inhabiting the northern Eastern Province of Kenya. They historically spoke the El Molo language as a mother tongue, an Afro-Asiatic language of the Cushitic branch. The El Molo today primarily inhabit the northern Eastern Province of Kenya. They are concentrated in Marsabit District on the southeast shore of Lake Turkana, between El Molobay and Mount Kulal. In the past, they also dwelled in parts of the Northern Frontier District.

17) El molo is a community or a tribe that lives along the shores of Lake Turkana on the southeastern side of the lake. They are the smallest community in Kenya because they have a population of about 300 people. The name of this tribe (El molo) originated from a phrase of Maasai community meaning “those who make a living from other sources other than cattle”. The original homeland of El molo is not known because some people are saying that they came from Somalia while others are saying that they came from Ethiopia. With increase in the intermarriages between the El molo and Samburu and Turkana people, there is increase chance of extinction of the El molo community. In fact there are few people from El molo community who speak the language purely. The language is only spoken well by the elders.

18) The life of the El Molo is generally based on fishing, using spears or harpoons, fishing rods (made from the roots of an acacia with doumpalm fiber and a forged iron point or hook) and nets (made from doumpalm fiber).

19) Currently the El Molo are affected by increased pollution of the Lake, lack of sanitary facilities and lack of access to fresh drinking water.

## **Ilchamus of Baringo**

20) Ilchamus are ma-speaking plain Nilotes closely related to the Samburu. Originally, the community practiced pastoralism but due to cattle rustling by the Pokot community, they have started farming through irrigation with water drawn from Lake Baringo and fishing within the same lake. They are originally a pastoralist people who used to live on the mainland but due to clashes they have been forced to migrate to an island in Lake Baringo. It is a very traditional and culturally bound society, hierarchical and male-dominated. They live from fishing in small boats made of balsam tree that dates back maybe a thousand years. They also make some souvenirs and have some livestock. Many are uneducated and with little or no formal education. They communicate mainly in their local language. Their

population is estimated at 34,000. They are located in the Country: Southeast and south shore of Lake Baringo, and southwest shore as far north as Kampi ya Samaki.

21) Livelihood: The majority of the Ilchamus practice both livestock rearing and agriculture, but on the islands in Lake Baringo there are about 800 Ilchamus who live nearly entirely from fishing. The mainland Ilchamus are semi-pastoralists with a long history of small scale agriculture. The main types of livestock owned by the Ilchamus are cattle (zebus), sheep (red maasai and dopper cross) and goats (small east African), but their herds are significantly smaller than those of their neighbours. The key problems here are the insufficient security against aggressions from their neighbours, access to water and pressure of other people on their land due to the non-existence of land titles. The nearest markets are at Marigat and Kiserian.

22) The Ilchamus fishing communities, on four of the seven islands of Lake Baringo, has a total population of around 800 people. Due to the absence of significant rains and irrigation systems, they don't cultivate anything and the grazing areas on the island sustain only very limited numbers of livestock. The only source of income is fishing (Ol Kokwai), jobs in the Baringo island camp. Income from fishing (Tilapia, Catfish and Mudfish) has reduced significantly over the last years as industrial fishing carried out in 70s and 80s from the mainland and by migrants from other areas have significantly reduced the stocks. As they are unable to stop fishing to allow the stock to recover, even their very limited fishing reduces the stocks further. The ever reducing stocks are associated by the villagers to environmental degrading (sedimentation from erosion along the contributors) and overexploitation in the 70s and early 80s, and on the other hand to the increasing population of crocodiles, which are totally protected and are said to affect not only the fish stocks, but also cause significant losses of livestock and even human lives.

23) Agriculture is carried out at very small scale and nearly entirely for subsistence due to limited rainfalls in the area and due to the fact that the Ilchamus have been displaced from their former land in which they had established small scale irrigation schemes. Two modern irrigation schemes (with small dams) at the Perkerra and Molo Rivers have enhanced the situation and enable the families involved to produce enough to even commerce parts of it. The main products cultivated are maize, beans and millet.

24) Cultural Profile: Traditionally the Ilchamus don't seem to have any central authority, but are ruled by the elders of the patrilineages. The Ilchamus claim that structures above the level of the clan were first introduced in the 60s in preparation of independence. The first sub-chief was elected around 1970. Presently, Ilchamus chiefs and councillors have been elected in all six locations where they constitute the majority, but in none where they are in the minority. Because of their being considered as a Maasai subgroup and due to that as nomadic herders, their relation to and dependence on land for their small scale agriculture have not been considered when "developing" the area. The Ilchamus have been moved around by all kinds of people and for all kinds of activities and interests. The last major displacement took place in the 40s and 50s, when significant Ilchamus populations were moved away for the Perkerra Irrigation scheme near Marigat.

### **Endorois**

25) Endorois community is a minority community that was living adjacent to Lake Baringo. However, the Government of Kenya forcibly removed the Endorois from their ancestral lands around the Lake Bogoria area of the Baringo and Koibatek Administrative Districts, as well as in the Nakuru and Laikipia Administrative Districts within the Rift Valley Province in Kenya, without proper prior consultations, adequate and effective compensation. Endorois are a community of approximately 20,000 people who, for centuries, have lived in the Lake Bogoria area. They claim that prior to the dispossession of Endorois land through the creation of the Lake Hannington Game Reserve in 1973, and a subsequent re-gazetting of the Lake Bogoria Game Reserve in 1978 by the Government of Kenya, the Endorois had established, and, for centuries, practiced a sustainable way of life which was inextricably linked to their ancestral land.

26) At independence in 1963, the British Crown's claim to Endorois land was passed on to the respective County Councils. However, under Section 115 of the Kenyan Constitution, the Country Councils held this land in trust, on behalf of the Endorois community, who remained on the land and continued to hold, use and enjoy it. The Endorois' customary rights over the Lake Bogoria region were not challenged until the 1973 gazetting of the land by the Government of Kenya. The act of gazetting and, therefore, dispossession of the land is central to the present to their current predicament.

27) The area surrounding Lake Bogoria is fertile land, providing green pasture and medicinal salt licks, which help raise healthy cattle. Lake Bogoria is central to the Endorois religious and traditional practices. The community's historical prayer sites, places for circumcision rituals, and other cultural ceremonies are around Lake Bogoria. Although the High Court recognized that Lake Bogoria had been Trust Land for the Endorois, it stated that the Endorois had effectively lost any legal claim as a result of the designation of the land as a Game Reserve in 1973 and in 1974. It concluded that the money given in 1986 to 170 families for the cost of relocating represented the fulfillment of any duty owed by the authorities towards the Endorois for the loss of their ancestral land. Since then, Endorois have not owned until recently, when African Human Rights courts passed judgment to force Government to compensate them. To date, however, the Endorois community are yet to receive compensation for this eviction. They are no longer able to freely access the lake or land. This has impacted on site they can access to sustain their former cattle rearing and bee-keeping livelihood. The eviction of the Endorois people by the Kenyan government and the 'gazetting' (or public declaration of state ownership) of their land began in 1973 and continued until 1986.

28) Livelihood: Dependant on land and fishing from Lake Bogoria. Critically, land for the Endorois is held in very high esteem, since tribal land, in addition to securing subsistence and livelihood, is seen as sacred, being inextricably linked to the cultural integrity of the community and its traditional way of life. Land, they claim, belongs to the community and not the individual and is essential to the preservation and survival as a traditional people. Endorois health, livelihood, religion and culture are all intimately connected with their traditional land, as grazing lands, sacred religious sites and plants used for traditional medicine are all situated around the shores of Lake Bogoria. At present the Endorois live in a number of locations on the periphery of the Reserve.

## **Pastoralists**

29) Most of Kenya's pastoralists live in the arid Northern Kenya: They include, moving from east to west, the Somali (500,000) along the border to Somalia; the Borana (150,000) the Rendile (20,000), the Gabra (20,000) and the Turkana (250,000 – 350,000). The Samburu (100,000) live in the southern part of Northern Kenya. Other pastoralists are found in the southern part of the country, along the Rift Valley: the Maasai (155,000), in the southern part in the Narok and Kajiado districts bordering with Tanzania; the Endorois (60,000), near Lake Bogoria; and the Pokot (100,000) in West Pokot district in the central-western part of the country. A small group of Maasai live in Laikipia, in the center of the county, near Dol Dol. In the counties selected for the ECAATP the following pastoralist groups could meet the Op 4.10 criteria: (Rendile, Samburu, Inkumono and Maasai.

## **Rendille**

30) The Rendille are a Cushitic tribe that inhabits the climatically harsh region between Marsabit hills and Lake Turkana in Northern Kenya where they neighbor the Borana, Gabbra, Samburu and Turkana tribes. They (Rendile) consist of nine clans and seven sub clans. They are culturally similar to the Gabbra, having adopted some Borana customs and being related to the Somali people to the east. Rendille are semi-nomadic pastoralists whose most important animal is the camel. The original home of the Rendille people was in Ethiopia. They were forced to migrate southwards into Kenya due to frequent conflicts with the Oromo tribe over pasture and water for their animals. Being pastoralists, the lifestyle of the Rendille revolves around their livestock. In the northerly areas, camels are their main source of livelihood. This is because camels are best adapted to the desert conditions that prevail in the northern Kenya. The camels are an important source of milk and meat for the Rendille people. When migrating to new pastures, the camels are also used to carry all the family possessions in a specially designed saddle. The Rendille people living in the southern and less dry part of their region have had a good relationship with their Samburu neighbors where intermarriage with the Samburu has led to the emergence of a hybrid culture. Their ceremonies are similar to the Old Testament Jewish traditions, providing a basis for discussion of Christ's sacrifice and an opportune introduction to personal salvation.

31) Traditionally the Rendille are a very religious people, believing in one God, an omnipresent creator and provider who answers prayer and cares for the poor. They practice

many magical rituals, involving their camels or sheep. For example, the way a certain bull camel approaches a proposed new settlement area is taken as a good or bad omen. A propitious camel may be placed outside the camp facing the direction of an expected enemy attack in order to prevent the attack. Age-sets are the main component of Rendille society.

32) The oral history of this Cushitic tribe indicates they are of Jewish descent. They traveled through the Suez Canal through Ethiopia to their present homeland. They descended through the Cushitic family lines with the Somali people. When the Somali people were traveling from the Suez Canal through Ethiopia the Somali people chose to go toward Somalia for good pastures. The Rendille people refused to go with them and separated to their present homeland around Marsabit.

33) They had rejected the land of the Somali's and were thereafter called Rertit. The Somalis consider them rejected people. Their name "Rendille" is a colonial misinterpretation of the word "rertit", which means separated, refused or rejected in the Somali and Rendille languages. The Rendille occupy an area in Northeastern Province of Kenya from the Merille River and Serolivi in the South to Loyangalani in the North from Marsabit and Merti in the East to Lontolio in the West. The climate of their homeland is semi-arid. The Rendille people speak Rendille, which is very close to Somali but is spoken more slowly. Many Rendille also speak Samburu (the tribe neighboring them to the South). Those of the Rendille language are called Rendille and those who speak Samburu are called Arielle Rendille.

34) There are about eight or nine sub clans including the Urowen, Dispahai, Rongumo, Lukumai (Nahgan), Tupsha, Garteilan, Matarbah, Otol, and Saale with an estimated population of 63,000. They are located in the country in: Eastern Province, Marsabit District, between Lake Turkana and Marsabit Mt. The primary towns include Marsabet, Laisamis, Merille, Logologo, Loyangalani, Korr, Kamboi, Ngurunit, and Kargi.

35) **Livelihood:** The Rendille people are traditionally pastoralists keeping goats, sheep, cattle, donkeys, and camels. Their nomadic lifestyle has become more prominent in the areas which are exposed to little urbanization and modernization. In the recent past though, their livelihood has experienced constant competing interests from the Samburus and Gabras leading them to constant conflict over land and water resources particularly at the borderline of the boundary districts. In the most cases, the raids and conflicts have had the objective to

replenish their herds depleted by severe droughts, diseases, raiding or other calamities. Elders often sanction the raids blessing raiders before they set off. During draught some take little lambs to the raga or laga (dry river bed) and sacrifice them to god asking for rain. Others go to Mount Moile where the women sing and pour milk and men offer sacrifices of goats to the gods and ask for rain

36) **Cultural Profile:** In terms of creed, many Rendille practice a traditional religion centered on the worship of Waaq/Wakh. In the related Oromo culture, Waaq denotes the single god of the early pre-Abrahamic, monotheistic faith believed to have been adhered to by Cushitic groups. Some Rendille have also adopted Islam or Christianity. Initiation rituals take place precisely every seven or fourteen years, creating a series of generational age-sets, each with its own role in society. In the common Kenyan practice, the first initiation is circumcision. Men have many stages of warrior-hood, but women are simply married or unmarried.

37) Traditional dress includes beautiful beads worn by the women around the neck, wrists, and **ankles**. Children can often be seen without clothing. The moran wears colorful shukas (clothe wrapped around their bodies) and colors their hair with a mud/mineral mixture. Men often wear a wrapped cloth rather than trousers. Western clothing is becoming more popular, but more among the men than the women.

38) Ancestral spirits of deceased men must be appeased. Among some of the Rendille, after a man dies, the manyatta will be burned, a sheep slaughtered, and the family must move to another place. Rites of passage include the young men (moran) living in the bush, learning traditional skills, and undergoing traditional circumcision. Men marry after circumcision and the time of becoming a moran is as young as about eighteen to twenty years.

39) The Rendille are organized into an age grade system of patrilineal lineage groups (keiya), which are subsumed under fifteen clans (goup). Of those, only nine are considered authentic Rendille. These Northern Rendille or Rendille proper are consequently the only ones that are included in the traditional Rendille moiety (belesi). The remaining six clans that are excluded from the moiety consist of mixed individuals. Five of those clans are of Rendille (Cushitic) and Samburu (Nilotic) descent. Collectively, the latter hybrid groups are referred to as the Ariaal or Southern Rendille.

## **Samburu**

40) The Samburu people live in northern Kenya, where the foothills of Mount Kenya merge into the northern desert. As cattle-herding Nilotes, they reached Kenya some five hundred years ago, moving southwards along the plains of the Rift Valley in a rapid, all-conquering advance. The Samburu are related to the Maasai although they live just above the equator where the foothills of Mount Kenya merge into the northern desert and slightly south of Lake Turkana in the Rift Valley Province of Kenya. They are semi-nomadic pastoralists whose lives revolve around their cows, sheep, goats, and camels. Milk is their main stay; sometimes it is mixed with blood. Meat is only eaten on special occasions. Generally they make soups from roots and barks and eat vegetables if living in an area where they can be grown. Most dress in very traditional clothing of bright red material used like a skirt and multi-beaded necklaces, bracelets and earrings, especially when living away from the big cities.

41) The Samburu developed from one of the later Nilotic migrations from the Sudan, as part of the Plains Nilotic movement. The broader grouping of the Maa-speaking people continued moving south, possibly under the pressure of the Borana expansion into their plains. Maa-speaking peoples have lived and fought from Mt. Elgon to Malindi and down the Rift Valley into Tanzania. The Samburu are in an early settlement area of the Maa group. Those who moved on south, however (called Maasai), have retained a more purely nomadic lifestyle until recently when they have also begun farming. The expanding Turkana ran into the Samburu around 1700 when they began expanding north and east.

42) The language of the Samburu people is also called Samburu. It is a Maa language very close to the Maasai dialects. Linguists have debated the distinction between the Samburu and Maasai languages for decades. Generally between five and ten families set up encampments for five weeks and then move on to new pastures. Adult men care for the grazing cattle which are the major source of livelihood. Women are in charge of maintaining the portable huts, milking cows, obtaining water and gathering firewood. Their houses are of plastered mud or hides and grass mats stretched over a frame of poles. A fence of thorns surrounds each family's cattle yard and huts.

43) Their society has for long been so organized around cattle and warfare (for defense and for raiding others) that they find it hard to change to a more limited lifestyle. The purported benefits of modern life are often undesirable to the Samburu. They remain much more



traditional in life and attitude than their Maasai cousins. Duties of boys and girls are clearly delineated. Boys herd cattle and goats and learn to hunt, defending the flocks. Girls fetch water and wood and cook.

44) **Social Organization.** The Samburu are a gerontocracy. The power of elders is linked to the belief in their curse, underpinning their monopoly over arranging marriages and taking on further wives. This is at the expense of unmarried younger men, whose development up to the age of thirty is in a state of social suspension, prolonging their adolescent status. The paradox of Samburu gerontocracy is that popular attention focuses on the glamour and deviant activities of these footloose bachelors, which extend to a form of gang feuding between clans, widespread suspicions of covert adultery with the wives of older men, and theft of their stock.

45) **Economy.** Traditionally the Samburu economy was purely pastoral, striving to survive off the products of their herds of cows, goats, and for some, camels. However, the combination of a significant growth in population over the past 60 years and a decline in their cattle holdings has forced them to seek other supplemental forms of livelihood. Some have attempted to grow crops, while many young men have migrated for at least short periods to cities to seek wage work. Many work in Kenya's capital, Nairobi, as watchmen, while it is also popular to go to Kenya's coastal resorts where some work; others sell spears and beaded ornaments.

46) **Food and society.** Traditionally Samburu relied almost solely on their herds, although trade with their neighbors and use of wild foods were also important. Before the colonial period, cow, goat, and sheep milk was the daily staple. Oral and documentary evidence suggests that small stock were significant to the diet and economy at least from the eighteenth century forward. In the twenty-first century, cattle and small stock continue to be essential to the Samburu economy and social system. Milk is still a valued part of Samburu contemporary diet when available, and may be drunk either fresh, or fermented; "ripened" milk is often considered superior. Meat from cattle is eaten mainly on ceremonial occasions, or when a cow happens to die. Meat from small stock is eaten more commonly, though still not on a regular basis. Today Samburu rely increasingly on purchased agricultural products—with money acquired mainly from livestock sales—and most commonly maize meal is made into a porridge.[8] Tea is also very common, taken with large quantities of

sugar and (when possible) much milk, and is actually a staple of contemporary Samburu diet. Blood is both taken from living animals, and collected from slaughtered ones. There are at least 13 ways that blood can be prepared, and may form a whole meal. Some Samburu these days have turned to agriculture, with varying results.

## **Maasai**

47) Kenya's most well-known ethnic tribe, the Maasai is semi-nomadic people located primarily in Kenya and northern Tanzania. They are considered to be part of the Nilotic family of African tribal groups. The Maasai probably migrated from the Nile valley in Ethiopia and Sudan to Maasai land (central and south-western Kenya and northern Tanzania) sometime around 1600 AD, along the route of lakes Chew Bahir and Turkana bringing their domesticated cattle with them. The Maasai speak the Maasai language, an Eastern Nilotic language closely related to Samburu (or Sampur), the language of the Samburu people of central Kenya, and Camus spoken south and southeast of Lake Baringo. Maasai's population is about 684,000 and is located in the Rift Valley Province, Kajiado and Narok districts.

48) **Livelihood:** The Maasai are cattle and goat herders, their economy almost exclusively based on their animal stock, from which they take most of their food: meat, milk, and even blood, as certain sacred rituals involve the drinking of cow blood. Moreover, the huts of the Maasai are built from dried cattle dung.

49) **Cultural Profile:** In spite of their reputation as fierce warriors, Maasai culture revolves around their cattle. One of their spiritual beliefs is that their rain god Ngai gave all cattle to the Maasai people, and therefore anyone else who possesses cattle must have stolen them from the Maasai. This has led to some fatal altercations with other tribes of the regions over the centuries when they attempt to reclaim their "property". Despite the growth of modern civilization, the Maasai have largely managed to maintain their traditional ways, although this becomes more challenging each year. Circumcision is performed on both sexes, with the elder men circumcising the teenage boys (who are not permitted to make a noise during the ceremony), and the elder women circumcising the teenage girls (for whom crying is permitted). Attempts by the Kenyan government to stamp out female circumcision have failed, primarily due to the fact that it is the Maasai women who defend the practice, not the men.

50) **Natural Environment:** The ability to graze their cattle over large territories, for example, has diminished considerably in recent years, due to increased urbanization and the increased privatization of land.

### **Traditional Artisanal Blacksmith**

#### **Inkunono Community of Samburu County**

51) The Inkunono are a small population living among the Samburu and Rendille within Samburu and Marsabit districts. The views from the Samburu and Nkunono community indicated that the Nkunonos who are currently scattered around the villages within Samburu and Marsabit district are the remnants of the first peoples within the areas from whom the Samburu community ancestrally evolved.

52) The Nkunono culturally relied solely on blacksmith as a source of livelihood. The main tools produced from the artisanal occupation include: (i) cutting instruments: (Axes, household knives, circumcision knives, swords); (ii) security objects: Spear (Short for Morans and long one for Elders) and arrows. In addition, the Nkunono make ornaments which include: hand and foot bangles, necklaces, headgears. These objects are mostly destined for use by the dominant Samburu community for rituals and economic purposes. Currently, the Nkunono have started diversifying their sources of livelihood by embracing some economic activities practiced by their neighbours (Muchemi, 2015).

## Annex 2: VMG Screening Sheet for Ascertaining Presence of VMG's

53) The NPCU will utilize the screening sheet (Annex 1 ESMF): to ascertain whether the screened VMG's meet the criteria stipulated by World Bank OP 4.10 and Constitution of Kenya, 2010. The documented characterization of the groups will be scrutinized against indicators in this screening sheet.

### Template 1: VMG Screening Sheet using (Muchemi J. et al., 2015<sup>33</sup>)

Criteria		Details
World Bank OP 4.10	1.0 Identity	
	Self-identification	
	Recognition of this identity by others	
	2.0 Collective attachments	
	Distinct habitats	
	Ancestral territories	
	Natural resources	
	3.0 Distinct Customary institutions	
	Cultural Institutions	
	Economic Institutions	
	Social Institutions	
	Political Institutions	
	4.0 Indigenous Language (provide example)	
	Indigenous language	
	Neighboring languages	
	National Language	

<sup>33</sup> **Muchemi Julius**, Joyeeta Gupta, Karin Pfeffer; and Mike McCall. 2016, Devolved Governance in Kenya: Participation of Vulnerable and Marginalized Communities in County Planning and Development Agenda (*forthcoming*)

<b>2010</b> <b>Constitution of Kenya,</b>		
	5.0 Social assessment	
	Population (small)	
	Unique culture	
	Traditional lifestyle	
	Traditional Livelihood	
	Geographic location	
	Distinct Language	

### Annex 3: FGM Process and Tools

54) The main role play will include river code, secrete in the box, the diamond farm, take a step, the boat is sinking, and the 65-year old couple.

#### Awareness Creation and Attitude Change phase

55) The VMG will be taken through this phase with the aim of changing the community members' attitude towards their own development by assisting them to identify enabling and disabling development approaches. This will be achieved by guiding the community to play relevant role plan as a part of the learning, investigating the learning points from the role play through structured questions and diverse answers and drawing lessons learned on enabling and disabling development approaches.

##### **Facilitator /Trainer Notes:**

**Purpose:** Getting acquainted with the community, building trust and relationship, Collection of basic data and Introduction/initiation phase.

**Consult Local Leaders:** The local leaders including the local civic leaders, administration offices (chief), village elders and traditional leaders should be consulted.

The leaders should support the development initiative including:

- Relating the new development initiative with overall development initiative in the area
- Identifying local institutions and their leadership
- Linking the facilitator with the leadership of these institution
- Mobilizing local communities

The leadership should be consulted at two levels with consultative meeting at each level

- a. Civic Leaders level
- b. Local Institution leadership level

#### Situation Analysis and Visioning Phase

56) The participants are asked to draw a map of their village on the ground using locally available materials.

- Step1: Draw an outline of the boundary of your village

##### **Facilitators /Trainers Notes:**

**Venue:** This role play is done outside by all community members ensuring locally available materials

**Purpose:** The mapping tool is used to get a physical picture of the community, the surrounding landscape and its boundaries.

**The tool** shows the resources in a community, which include infrastructure, houses, water sources, schools, churches, crops, hills and other important aspects that can be mapped.

##### **Learning points**

##### **Development Context**

- Village boundaries,
- Resources available
- Project satisfactorily completed and functioning
- Resources or project that are a source of conflict among community members

##### **Lessons Learned**

- Create ownership of the development project
- Help communities to learn from successful and failed projects
- Enable the community to analyze development gaps

- Step 2: Draw the linear features including: main roads, pathway, rivers and valleys etc.
- Step 3: Draw the main area features such as forests, swamps, flood plains, farmland, etc.
- Step 4: Populate the map with point features such as schools, health facilities, market or trading centers, water points, cultural sites, police/security post etc.
- Step 5: Emphasize resources or facilities that are a source of conflict
- Step 6: Emphasize available resources that the community could use for their own development

### **Possible Types of Interventions**

57) ECAATP will identify interventions along the commodity value chains in collaboration with the VMGs

## Action Plan for the VMGP for ECAATP

58) The action planning goes through 4 steps as explained below.

- Step 1: Construct a matrix and organize the 5 elements what (to be done), who (to do it), when (to do it), where (to do it) and what (resources are required) on the first row. The number of columns is equal to the number of activities to be implemented
- Step 2: Determine the main activities
  - i. Training
  - ii. Construction
  - iii. Establishment of village committees
  - iv. Launching sub-project
- Step 3: Based on these main activities
  - i. Determine sub-activities that will enable the accomplishing of the main activities
  - ii. Determine who will be involved
  - iii. Estimate when the main and sub-activities will be done
  - iv. Indicate where the activity will take place
  - v. Determine what resources will be required
  - vi. Estimate the budget for accomplishing the sub-activity
- Step 4: Invite the large community to discussion, comments and make any necessary adjustments.

### **Facilitators /Trainers Notes:**

Although a single CAP can be developed for each short-term goal, it is advised to develop a CAP for each short term goal.

**Purpose:** The aim of a CAP is to organize the project elements in a logical manner for easy planning, implementation and monitoring.

The CAP is organized around 5 elements that include what (to be done), who (to do it), when (to do it), where (to do it) and what (resources are required) and organized in matrix format to allow logical flow during planning, implementation and monitoring.

The Community action plan is a tool for project planning, implementation, and monitoring.

The CAP helps the community to confirm whether the plans are within their means and thus if they are achievable or are way beyond their means. The CAP is not primarily as tool for seeking donor assistance but a tool for guiding the community in mobilizing and utilizing own resources. The role of the facilitating organization is to ensure that the community has the capacity to develop their own plans.

The facilitating organization could contribute resources towards the community's, efforts if they, or to could assist the community in linking them to other organizations and people who could support them.

### **Learning points**

#### **Development Context**

- CAP elements (to be done), who (to do it), when (to do it), where (to do it) and what (resources are required)

#### **Intended Lessons Learned**

- Development of a CAP

## **Election of VMG Development Committee:**

59) This will entail development of a criteria through a consultative processes with the VMG community assembly in each project pilot area.



## **Annex 4: SOME VMG Templates**

### **4.1 List of people consulted during the development of the VMGP**
















<b>Date:</b> .....				
<b>Project Title:</b> .....				
<b>Responsible Ministry /Department/Directorate/agency:</b> .....				
<b>Address:</b> .....				
<b>Name</b>	<b>Organization</b>	<b>Designation</b>	<b>Contact</b>	<b>Signature</b>
1.				
2.				
3.				
.				
.				
N				
Prepared by:				
Administered by:				
Approved by:				

### **4.2 List VMG people involved and participants consulted in the VMGP preparation process**

<b>Date:</b> .....
<b>Project Title:</b> .....
<b>Implementing Ministry /Department/Directorate/agency:</b>

..... <b>Address:</b> ..... <b>Venue:</b> .....				
Name	Marginalized Community Identity	Designation	Contact	Signature
4.				
5.				
6.				
.				
.				
n				
Prepared by:       Administered by:       Approved by:				

### 4.3 Visioning Matrix

<i>Period</i> <i>Issue (aspect)</i>	<i>Past (40 years)</i>	<i>Present</i>	<i>Preferred future (5 years with action)</i>
1. Education		 	  
2. Water			
3. Crop Production		 	  

#### 4.4. Framing of Long Term Goals from Visioning Matrix

Issue	Long-Term goal statement (examples)
Water	By the end of 10 years the community shall ensure every household has access to clean and safe drinking water
Education	By the end of 10 years, we should have one primary per village, one secondary school per two villages and one youth polytechnic
Crop Product	By the end of 10 year the community shall have adequate food per household

#### 4.5 Framing of Long Term Goals from Visioning Matrix

<i>What?</i>		<i>Who?</i>	<i>When?</i>	<i>Where?</i>	<i>Resources required</i>	
<i>Main activity</i>	<i>Sub-activities</i>				<i>Description</i>	<i>Cost (KES)</i>
1	a.					
	b.					
	c.					
2.	a.					
	b.					
	c.					
n	a.					

### **Annex 5: ToR for a TA on VMG Plan and Social Assessment Formulation**

60) The TOR should also describe the overall methodology for carrying out each component of the ToR, including desk and field studies, and data collection and analysis methods; and provide an initial detailed plan of work, outputs, and staff assignments with levels of effort by task.

- a) Identify the types of programs and sub-projects likely to be proposed for financing under the project.
- b) Outline the procedure for conducting the primary screening of the VMGs within the project areas likely to be affected by project interventions.
- c) Identify potential positive and adverse effects of proposed programs or sub-projects on VMGs.
- d) Develop a plan for carrying out the secondary screening (detailed social assessment) for each of the identified VMGs in the projects' operational area including but not limited to the following:
  - A review of the legal and institutional framework applicable to VMGs in the project context;
  - Provision for baseline information on the demographic, social, cultural and political characteristics of the affected VMGs, the land they traditionally or customarily owned and accessed and the natural resources they depend on.
  - Process of identifying key stakeholders and elaboration of a culturally appropriate and gender – sensitive process for meaningful consultation with VMGs at each stage of project preparation and implementation, taking the review and baseline information into account
  - Process of assessing potential adverse and positive effects of the project based on meaningful consultations with the affected VMGs.
  - Inclusion of a gender sensitive assessment of the affected VMGs perceptions about the project and its impact on their social, economic and cultural status

## Qualification and Experience of the Consultant

i) Type: Individual Consultant

ii) Qualifications: The Team Leader must be a Social Specialist or Anthropologist, accompanied by Stakeholder Engagement Specialist and a Community Development Expert.

iii) Experience: The expert is required to:

- ☐ have demonstrated experience in undertaking similar engagement either locally or internationally (successively undertaken at least similar 2 assignments), knowledge and/or familiarity with the social dynamics in Kenya and/or of VMG communities such as those where the works may be located including knowledge of the local language;
- ☐ Ability to work well with National and County Government officials and community personnel; and
- ☐ Possession of an understanding of the World Banks' operational policies on VMG is considered an added advantage.

61) Recommendations on the measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, and/or compensate for such effects and to ensure that the indigenous peoples receive culturally appropriate benefits under the project

a) Develop a plan for ensuring free, prior, informed and accessible consultation with the affected VMG communities at each stage of project preparation and implementation.

b) Outline considerations and indicators for assessing broad community support

c) Identify the main actors/stakeholders (formal and informal) for screening project supported activities, evaluating their effects on VMG and recommendation for strengthening their capacity.

d) Describe measures to strengthen the social, legal and technical capabilities of (a) government institutions to address VMG issues in the project area and (b) VMG organizations in the project area to enable them to represent the VMGs more effectively.

- e) Describe the procedures to redress grievances by affected VMG communities and how these procedures are accessible to VMGs, their cultural appropriateness and gender sensitivity.
- f) Clearly outline the monitoring and reporting arrangements, that ensure the participation of the affected VMGs and confirm that VMG benefit equally compared to other dominant groups
- g) Describe the disclosure arrangements for VMG to be prepared under the VMGP including but not limited to:
  - The process of participation, information disclosure and consultation with the affected VMGs;
  - Consultation and participation mechanisms to be used during project implementation ensuring participation of the VMGs
  - The process of capturing and documentation of VMGs concerns with regards to the social impact assessment results and how these will be addressed in the project design.
  - The disclosure of this VMGPF – both draft and final.

### **Qualification and Experience the Consultant**

- a) Type: Individual Consultant
- b) Qualifications: The Team Leader must be a Social Specialist or Anthropologist, accompanied by Stakeholder Engagement Specialist and a Community Development Expert.
- c) Experience: The expert is required to:
  - have demonstrated experience in undertaking similar engagement either locally or internationally, knowledge and/or familiarity with the social dynamics in Kenya and/or of VMG communities such as those where the works may be located;
  - ability to work well with National and County Government officials and community personnel; and

- Possession of an understanding of the World Banks’ operational policies on VMG is considered an added advantage.

### **Reporting**

62) The consultant will be reporting to the National Project Coordinator (or equivalent appointed by the relevant Ministry) during the course of this assignment, who will also be coordinating the process of the consultancy.

### **Services, Facilities and Materials to be provided by the Client**

63) The Client will make available relevant project documents background documentation and studies; sample VMGPs that have been developed for similar projects in Kenya. The client will also make all necessary arrangements for facilitating the work of the Consultant and to provide access to government authorities, other Project stakeholders, and Project sites.

### **Proposed Payment Schedule**

64) This consultancy is expected to cost not less than KShs. \_\_\_\_xxxxx\_\_\_\_ and not more than KShs. \_\_\_\_xxxxx\_\_\_\_

65) The consultant will be paid as per the following schedule:

- 10% on submission of the technical proposal<sup>34</sup>;
- 50% on submission of the draft VMGPF report and validation of the information collected;
- 40% on submission of the final (hard copy and electronic versions) VMGPF report including the training plan.

### **Social Screening Forms**

66) To be filled by ECAATP /NPCU Team

## **5.1 Social Screening Form for ECAATP Activities**

### **A. BACKGROUND INFORMATION**

<sup>34</sup> The Technical Proposal should demonstrate that: the Consultant understands the overall scope and nature of the VMGP preparation work, and what will be required to respond satisfactorily to each component of the ToR; and that his proposed team have relevant and appropriate experience to carry out all components of the ToR. Inclusion of detailed curriculum vitae for each team members is a must. The TP should also describe the overall methodology for carrying out each component of the ToR, including desk and field studies, and data collection and analysis methods; and provide an initial detailed plan of work, outputs, and staff assignments with levels of effort by task.

A 1. Type/description/justification of proposed activity	
A 2. Location of activity	
A3. Duration of activity	
A 4. Focal point and person for activity	
<b>B. EXPECTED BENEFITS</b>	
B1. Benefits for local people	
B2. Benefits to Vulnerable and Marginalized Groups (VMGs)	
B3. Total Number of expected beneficiaries	
B4. Total Number of expected Vulnerable and Marginalized Peoples beneficiaries	
B5. Ratio of B4 and B5; Are benefits distributed equitably?	<input type="checkbox"/> YES <input type="checkbox"/> NO If NO state remedial measures
<b>C. POTENTIAL ADVERSE SOCIAL IMPACTS</b>	
C1. Will activity entail restriction of access of VMP to lands and related natural resources	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
C2. Will activity entail commercial development of natural and cultural resources critical to VMGs	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
C3. Will activity entail physical relocation of Vulnerable and Marginalized Peoples <input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
<b>D. CONSULTATION WITH IP</b>	
D1. Has VMP orientation to project been done for this group?	<input type="checkbox"/> YES <input type="checkbox"/> NO
D2. Has PRA/RRA been done in this area?	<input type="checkbox"/> YES <input type="checkbox"/> NO
D3. Did the VMP give broad support for project	<input type="checkbox"/> YES <input type="checkbox"/> NO

Prepared by: \_\_\_\_\_ Verified by: \_\_\_\_\_



Date: \_\_\_\_\_ Date: \_\_\_\_\_

Note: Attach sketch maps, PRA/RRA results and other relevant documents.

## **Annex 6: Contents of the Vulnerable and Marginalized Groups Framework (VMGF)**

<b>OP 4.10, Indigenous Peoples Planning Framework</b>	<b>These policies were prepared for use by World Bank staff and are not necessarily a complete treatment of the subject.</b>
<p>1. The Indigenous Peoples Planning Framework (IPPF) sets out:</p> <p>(a) The types of programs and sub-projects likely to be proposed for financing under the project.</p> <p>(b) The potential positive and adverse effects of such programs or sub-projects on Indigenous Peoples.</p> <p>(c) A plan for carrying out the social assessment for such programs or sub-projects.</p> <p>(d) A framework for ensuring free, prior, and informed consultation with the affected Indigenous Peoples' communities at each stage of project preparation and implementation (see paragraph 10 of this policy).</p> <p>(e) Institutional arrangements (including capacity building where necessary) for screening project-supported activities, evaluating their effects on VMGs, preparing VMGPs, and addressing any grievances.</p> <p>(f) Monitoring and reporting arrangements, including mechanisms and benchmarks appropriate to the project.</p>	

(g) Disclosure arrangements for VMGPs to be prepared under the VMGF

## **Annex 7: Contents of Vulnerable and Marginalized Groups Plan (VMGP)**

### **Prerequisites**

67) Prerequisites of a successful development plan for indigenous peoples are as follows:

- a) The key step in project design in order to satisfy the requirements of OP/BP 4.10 is the preparation of a culturally appropriate development plans.
- b) Studies should make all efforts to *anticipate adverse trends* likely to be induced by the project and develop the means to avoid or mitigate harm.
- c) The institutions responsible for government interaction with indigenous peoples should possess the social, technical, and legal skills needed for carrying out the proposed development activities. Implementation arrangements should be kept simple. They should normally involve appropriate existing institutions, local organizations, and nongovernmental organizations (NGOs) with expertise in matters relating to indigenous peoples.
- d) Local patterns of social organization, religious beliefs, and resource use should be taken into account in the plan's design.
- e) Development activities should support production systems that are well adapted to the needs and environment of indigenous peoples and should help production systems under stress to attain sustainable levels.
- f) The plan should avoid creating or aggravating the dependency of indigenous people on project entities. Planning should encourage early handover of project management to local people. As needed, the plan should include general education and training in management skills for indigenous people from the onset of the project.
- g) Successful planning for indigenous peoples frequently requires long lead times, as well as arrangements for extended follow-up. Remote or neglected areas where little previous experience is available often require additional research and pilot programs to fine-tune development proposals.
- h) Positive and negative impacts of the sub-project;
- i) A grievance redress mechanism in detail;

- j) A stakeholder consultations plan along with consultations undertaken; and
- k) Operationalize the mitigation for the issues identified and relevant for the particular area and sub-project.
- l) If any training and capacity building is required, it needs to be reflected in the Plan.

### **Contents of VMGP**

68) The development plan should be prepared in tandem with the preparation of the main investment. The project component for indigenous people's development should include the following elements, as needed:

- a) *Legal Framework.* The plan should contain an assessment of (i) the legal status of the groups covered by this OD, as reflected in the country's constitution, legislation, and subsidiary legislation (regulations, administrative orders, etc.);
- b) *Baseline Data.* Baseline data should include (i) accurate, up-to-date maps and aerial photographs of the area of project influence and the areas inhabited by indigenous peoples; (ii) analysis of the social structure and income sources of the population; (iii) inventories of the resources that indigenous people use and technical data on their production systems; and (iv) the relationship of indigenous peoples to other local and national groups. It is particularly important that baseline studies capture the full range of production and marketing activities in which indigenous people are engaged. Site visits by qualified social and technical experts should verify and update secondary sources.
- c) *Strategy for Local Participation.* Mechanisms should be devised and maintained for participation by indigenous people in decision making throughout project planning, implementation, and evaluation. Many of the larger groups of indigenous people have their own representative organizations that provide effective channels for communicating local preferences. Traditional leaders occupy pivotal positions for mobilizing people and should be brought into the planning process, with due concern for ensuring genuine representation of the indigenous population. No foolproof methods exist, however, to guarantee full local-level participation. Sociological and technical advice provided through the

regional environment divisions (REDs) is often needed to develop mechanisms appropriate for the project area.

d) *Technical Identification of Development or Mitigation Activities.* Technical proposals should proceed from on-site research by qualified professionals acceptable to the Bank. Detailed descriptions should be prepared and appraised for such proposed services as education, training, health, credit, and legal assistance. Technical descriptions should be included for the planned investments in productive infrastructure. Plans that draw upon indigenous knowledge are often more successful than those introducing entirely new principles and institutions. For example, the potential contribution of traditional health providers should be considered in planning delivery systems for health care.

e) *Institutional Capacity.* The government institutions assigned responsibility for indigenous peoples are often weak. Assessing the track record, capabilities, and needs of those institutions is a fundamental requirement. Organizational issues that need to be addressed through Bank assistance are the (i) availability of funds for investments and field operations; (ii) adequacy of experienced professional staff; (iii) local administration authorities, and local NGOs to interact with specialized government institutions; (iv) ability of the executing agency to mobilize other agencies involved in the plan's implementation; and (v) adequacy of field presence.

f) *Implementation Schedule.* Components should include an implementation schedule with benchmarks by which progress can be measured at appropriate intervals. Pilot programs are often needed to provide planning information for phasing the project component for indigenous peoples with the main investment. The plan should pursue the long-term sustainability of project activities subsequent to completion of disbursement.

g) *Monitoring and Evaluation.* Independent monitoring capacities are usually needed when the institutions responsible for indigenous populations have weak management histories. Monitoring by representatives of Indigenous Peoples' own organizations can be an efficient way for the project management to absorb the perspectives of indigenous beneficiaries and is encouraged by the Bank. Monitoring units should be staffed by experienced social science professionals,

and reporting formats and schedules appropriate to the project's needs should be established. Monitoring and evaluation reports should be reviewed jointly by the senior management of the implementing agency and by the Bank. The evaluation reports should be made available to the public.

Cost Estimates and Financing Plan. The plan should include detailed cost estimates for planned activities and investments. The estimates should be broken down into unit costs by project year and linked to a financing plan.

## **Annex 8: Sample Terms Of Reference (ToR) For Developing a VMGP**

69) Note: the VMGP will be developed in detail commensurate to the impacts. Minimal adverse impacts are anticipated and VMGPs will focus on how to broaden reach of benefits to VMGs.

### **Executive Summary of the Vulnerable and Marginalized Groups Plan**

70) This section should concisely describe the critical facts, significant findings, and recommended actions.

### **Description of the Project/Background Information**

71) This section provides a general description of the project; discusses project components and activities that may bring impacts on indigenous people; and identify project area.

72) The ToR should provide pertinent background for preparing the VMGP. This would include a brief description of:

- Statement of the project objectives,
- Implementing agency/sponsor and their requirements for conducting a VMGP,
- Project components, especially those that will finance sub-projects;
- Anticipated types of sub-projects/components, and what types will not be financed by the project;
- Areas of influence to be assessed (description plus good map)
- Summary of environmental/social setting
- Applicable Bank safeguards policies, and consequent Project preparation requirements.

73) The ToR should also include a brief history of the project, including alternatives considered, its current status and timetable, and the identities of any associated projects. Also include a description of other project preparation activities underway (e.g., legal analysis, institutional analysis, social assessment, baseline study).



## *Annex 9: Social Impact Assessment*

74) This section should among others entail: Review of the legal and institutional framework applicable to indigenous people in the project context where relevant.

- i. Provide baseline information on the demographic, social, cultural, and political characteristics of the affected Vulnerable and Marginalized Groups (VMGs); the land and territories that they have traditionally owned or customarily used or occupied; and the natural resources on which they depend.
- ii. Identify key project stakeholders and elaborate a culturally appropriate and gender-sensitive process for meaningful consultation with VMGs at each stage of project preparation and implementation, taking the review and baseline information into account.
- iii. Assess, based on meaningful consultation with the affected indigenous people's communities, the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is a gender-sensitive analysis of the relative vulnerability of, and risks to, the affected indigenous people's communities given their particular circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to those available to other social groups in the communities, regions, or national societies in which they live.
- iv. Include a gender-sensitive assessment of the affected VMGs perceptions about the project and its impact on their social, economic, and cultural status.
- v. identify and recommend, based on meaningful consultation with the affected indigenous peoples communities, the measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, and/or compensate for such effects and to ensure that the indigenous peoples receive culturally appropriate benefits under the project.

### **Information Disclosure, Consultation and Participation**

75) This section of the ToR should:

- i. Describe the information disclosure, consultation and participation process with the affected VMGs that was carried out during project preparation;

- ii. Summarize their comments on the results of the social impact assessment and identifies concerns raised during consultation and how these have been addressed in project design;
- iii. in the case of project activities requiring broad community support, document the process and outcome of consultations with affected indigenous people's communities and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities.;
- iv. Describe consultation and participation mechanisms to be used during implementation to ensure indigenous people's participation during implementation; and
- v. Confirm disclosure of the draft and final VMGP to the affected VMGs.

### **Beneficial Measures**

76) This section should describe and specify the measures to ensure that the VMGs receive social and economic benefits that are culturally appropriate, and gender responsive.

### **Mitigation Measures**

77) This section should specify the measures to avoid adverse impacts on indigenous people; and where the avoidance is impossible, specifies the measures to minimize mitigate and compensate for identified unavoidable adverse impacts for each affected indigenous people groups.

### **Capacity Building**

78) This section should provide measures to strengthen the social, legal, and technical capabilities of (a) government institutions to address indigenous people's issues in the project area; and (b) indigenous people's organizations in the project area to enable them to represent the affected indigenous peoples more effectively.

### **Grievance Redress Mechanism**

79) This section should describe the procedures to redress grievances by affected indigenous people's communities. It also explains how the procedures are accessible to VMGs and culturally appropriate and gender sensitive.

### **Monitoring, Reporting and Evaluation**

80) This section should describe the mechanisms and benchmarks appropriate to the project for monitoring, and evaluating the implementation of the VMGP. It also specifies arrangements for participation of affected indigenous people in the preparation and validation of monitoring, and evaluation reports.

### **Consulting Team**

81) The general skills required of VMGP team are: Social Specialist or Anthropologist, Stakeholder engagement specialist, Community Development expert.

### **Services, Facilities and Materials to be provided by the Client**

82) The ToR should specify what services, facilities and materials will be provided to the Consultant by the World Bank and the Borrower, for example:

- a) The Project PAD;
- b) Relevant background documentation and studies;
- c) Example VMGPs that demonstrate best practice, especially from the region or country;
- d) Making all necessary arrangements for facilitating the work of the Consultant and to provide access to government authorities, other Project stakeholders, and Project sites.

### **Schedule and Deliverables**

83) Specify dates for the consultancy deliverables (e.g. detailed work plan within 2 weeks, interim report within 7 weeks, and final draft report within 10 weeks of contract signature), and the overall duration of the consultancy (e.g. 15 weeks from contract signature).

### **Technical Proposal Contents**

84) The ToR should require a technical proposal that at least:

- a) Demonstrates that the Consultant understands the overall scope and nature of the VMGP preparation work, and what will be required to respond satisfactorily to each component of the ToR;
- b) Demonstrates that the Consultant and his proposed team have relevant and appropriate experience to carry out all components of the ToR. Detailed curriculum vitae for each team member must be included;

- c) Describes the overall methodology for carrying out each component of the ToR, including desk and field studies, and data collection and analysis methods; and
- d) Provides an initial plan of work, outputs, and staff assignments with levels of effort by task.

### **Budget and Payments**

85) The ToR should indicate if there is a budget ceiling for the consultancy. The ToR should specify the payment schedule (e.g. 10% on contract signature, 10% on delivery of inception report and detailed work plan, 30% on delivery of interim report, 20% on delivery of final draft VMGP, 30% on delivery of final VMGP).

### **Other Information**

86) Include here lists of data sources, project background reports and studies, relevant publications, and other items to which the consultant's attention should be directed.

# **Annex 10: Checklist for Tracking VMGP Implementation**

**To be filled by ECAATP NPCU at community and county level projects and World Bank as part of review and monitoring**

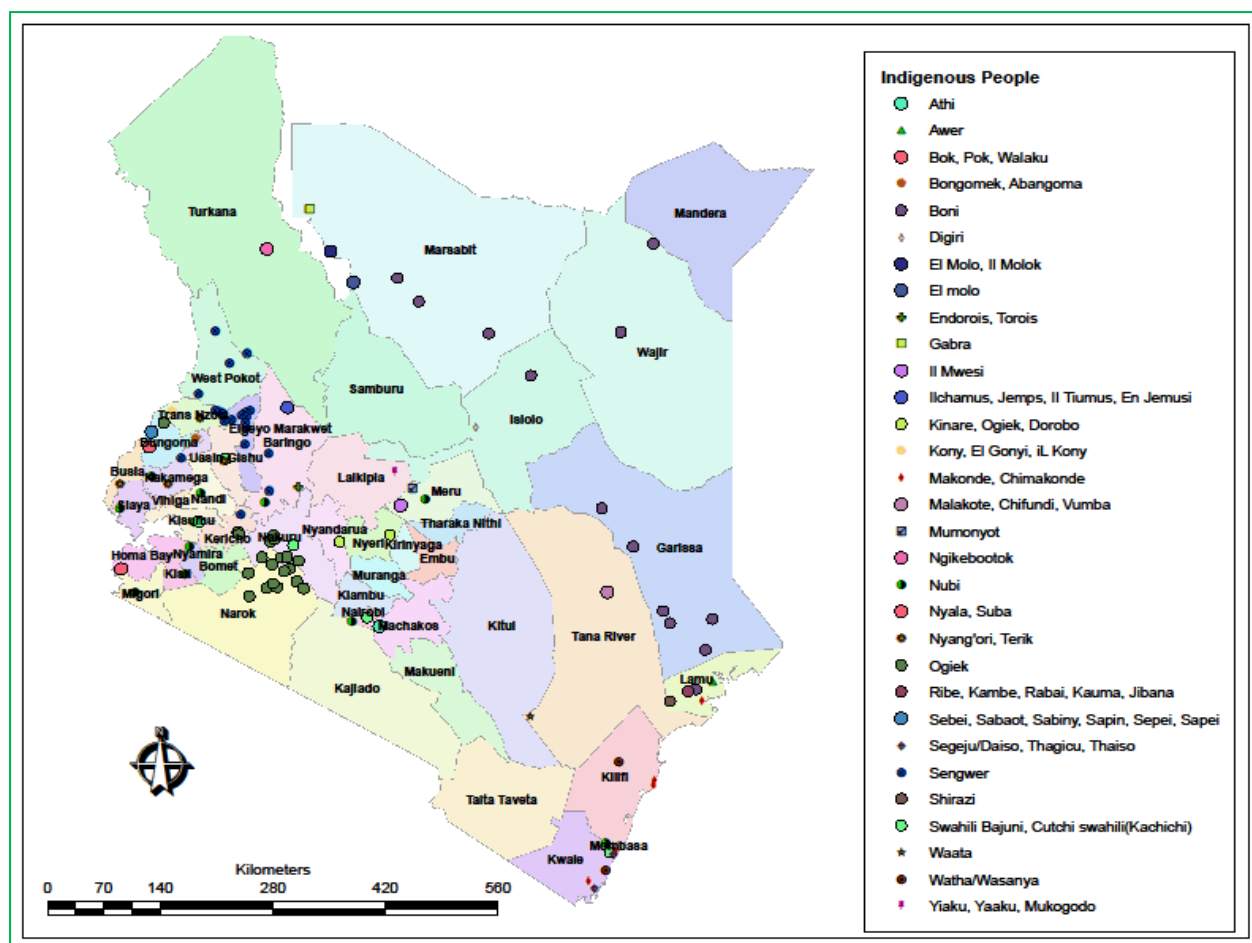
Criterion		Y/ N	Explanation
<b>Screening</b>			
1. Have all VMGs in project area been identified (is screening adequate)?			Not stated
			The names of some groups have been mentioned; baseline survey has been proposed; Aggregates all groups together
			Detailed description of all indigenous groups is given
<b>Social Assessment</b>			
2. Has a social assessment been done (Is baseline data given)?			Not stated. Follow up and verify. Must be commensurate to impacts.
			Proposed to collect all relevant data - no specifics; data briefly stated; or not updated, data not disaggregated
			Disaggregated population data of IP; relevant socio-economic indicators have been stated; data that needs to be collected are listed;
3. Has legal framework been described?			Not stated. Verify and include.
			Brief mention of framework given. Expand on relevant sections.
			Constitutional provisions, legal statutes and government programs in relevant sectors related to indigenous peoples stated
Have benefits/ adverse impacts to VMGs groups been identified?			Not Discussed
			Potential impacts have been briefly discussed
			Potential positive and negative impacts identified and

			discussed
<b>Consultation, Participation, Community Support</b>			
Have VMGs been involved in free, prior and informed consultation at the project implementation stage? Are there any records of consultation?			Not determinable. Follow up.
			Brief mention that consultations have taken place; no details provided. Verify and secure documentation and follow up.
			Detailed description of process given; appropriate methods used, interlocutors are representative
Does project have verifiable broad community support (and how has it dealt with the issue of community representation)?			Not stated
			States that VMG groups will be involved in preparing village/community action plans; participation process briefly discussed
			Detailed description of participation strategy and action steps given
7. Is there a framework for consultation with VMG during the project implementation?			No
			Passing mention
			Detailed arrangements
<b>Vulnerable and Marginalized Groups Plan</b>			
8. Is there a specific plan (implementation schedule)?			Not stated. Develop one.
			Flexible time frame (activities need to be proposed); given activity wise; year-wise distribution; mentioned but integrated into another project document (RAP, etc.); no separate treatment; combined with RAP;
			Detailed description given
9. Does the VMGP include activities that			Not stated
			Activities stated but not detailed

benefit VMGs?			Activities clearly specify
10. Are activities culturally appropriate?			Not stated
			Cultural concerns noted but not explicit
			Activities support cultural norms
11. Have institutional arrangements for the VMGP been described?			Not stated
			Mentioned but integrated into another project document RAP, etc.); no separate treatment
			Detailed description of agencies involved in implementation of plan, including applicable IPO's or tribal organizations.
12. Is a separate budget earmarked for the VMGP?			Not stated
			Mentioned but integrated into another project document (RAP, etc.); not broken down activity-wise
			Detailed description given
Are there specific monitoring indicators?			Not mentioned
			Proposed that monitoring indicators shall be designed later; Project outcomes that need to be monitored are stated
			Monitoring indicators disaggregated by ethnicity
Has a complaint/conflict resolution mechanism been outlined?			Not mentioned. Needs to be effected.
			Passing mention of mechanism in document
			Detailed description and few concrete steps of mechanism given
Were the VMP/VMGF disclosed in external			No, then need to consult and disclose.
			Disclosed in external website make it available at

website and in Country in an appropriate language?			county and community level
			Detailed Summary in appropriate form, manner and language
<b>Special Considerations</b>			
17. What other consideration can be taken to be pro-active to assure that VMGs are aware of the project, participate and benefit from of benefits in the commercial development of natural and cultural resources?			None
			Passing mention
			Detailed considerations
18. Does the sub-project require the physical relocation of VMGs?.		N	The project will NOT physically relocate families and/or individuals under the CDD component. Should a proposed sub-project require physical relocation other options should be considered as there will be no relocation undertaken for the CDD projects at community level.





**Figure 4: showing locations of the Vulnerable and Marginalized Groups in Kenya (ERMIS Africa, 2012)**

## **Annex 11: Strategy for Participation and Consultation with Vulnerable & Marginalized Groups Youth**

Participation of VMGs in selection, design and implementation of the project components will largely determine the extent to which the VMGF objectives would be achieved. To ensure benefits have as wide a reach as possible and where adverse impacts are likely, the ECAATP/PCU will undertake prior and informed consultations with the likely affected VMG youth and those who work with and/or are knowledgeable of VMGs development issues and concerns. To facilitate effective participation, the VMGF will follow a timetable to consult VMG communities at different stages of the project/sub project cycle, especially during preparation and implementation of the specific VMGPs. The primary objectives would be to examine the following:

- ☐ To seek their inputs/feedback on how to maximize benefits, accessibility and how to avoid or minimize the potential adverse impacts associated with the project;
- ☐ Identify culturally appropriate impact mitigation measures; and
- ☐ Assess and adopt economic opportunities, which the SA could promote to complement the measures required to mitigate the adverse impacts.

Consultations will be carried out broadly in two stages. First, prior to final selection of any project component located in an area inhabited by VMGs, the ECAATP/PCU will consult the VMGs about the need for, and the probable positive and negative impacts associated with the project execution. Second, prior to detailed impact assessment, ascertain how the VMGs in general perceive the need for increasing employment and opportunities for targeted youth project and gather any inputs/feedback they might offer for better outcomes, which would eventually be addressed in VMGF s and design of the project.

The VMGFs communication strategy will;

- ☐ Facilitate participation of VMGs with adequate gender and generational representation; Youth leaders, customary/traditional VMG organizations; community elders/leaders; and civil society organizations, CBOs and FBOs on VMGs development issues and concerns.
- ☐ Provide them with relevant information about the project components, including knowledge on potential adverse impacts, organize and conduct the consultations in a manner to ensure free expression of their views and preferences.
- ☐ Document details of all consultation meetings, with VMGs perceptions of the proposed project and the associated impacts, especially the adverse ones and any inputs/feedbacks offered by VMGs; and an account of the broad community support by VMGs.

The SA will examine the detailed impacts at individual and community levels, with a particular focus on the adverse impacts perceived by VMGs and the probable (and feasible) mitigation measures. To ensure continuing informed participation and more focused discussions, the communication strategy will provide

affected VMGs with the impact details of the proposed project. Consultations will cover topics/areas concerning value chains, TIMPs, sharing of benefits, cultural and socio-economic characteristics, as well as those issues which VMGs consider important along the project. Consultations will continue throughout the preparation and implementation period, with focus on the VMGs directly affected. Consultation stages, probable participants, methods, and expected outcomes are process worth consideration and application.

The following strategies should also be included in the project to support the participation of the VMGs:

1. The project should explore how to accommodate the most vulnerable and destitute youth of VMGs.
2. Encourage VMGs to get involved in various project designing, planning, and implementation activities in the project through arranging related training.
3. Assist VMGs to develop their capacity and capability to enable them to participate in proposed project components;
4. Explore avenues for creating employment opportunities for VMG youth;
5. Ensure adequate resources and technical support for the implementation of the action plan for VMG youth.
6. At all stages culturally appropriate communication methods (verbal and nonverbal, in local language) should be used to ensure meaningful consultation.

Provision to ensure involvement of VMGs in various training activities as part of the project to enhance employability.

Once the VMGs are identified in the project area, the VMGPs will ensure mitigation of any adverse impact of the Sub project. The project components should ensure benefits to the VMGs by providing (in consultation with the VMGs youth themselves) opportunity to get them involved in various income earning opportunities and activities;

The following issues need to be addressed during the implementation stage of the project;

- ☐ Provision of an effective mechanism for monitoring implementation of the VMGF;
- ☐ Development of accountability mechanism to ensure the planned benefits of the project are received by VMGs;
- ☐ Ensuring appropriate budgetary allocation of resources for the VMGs development .
- ☐ Provision of technical assistance for sustaining the VMGF;
- ☐ Ensure that VMGs traditional social organizations, cultural heritage, traditional political and community organizations are protected;

## Annex 12. Matrix of Observations, Comments and Responses on ECAAT Frameworks

	Comments and Observations	Responses
<b>I ECAAT OVERVIEW</b>		
1.	ECAATP key objectives are based on transformation and expansion regionally on transfer of generated TIMPs. Why is Ethiopia missing from the list of countries involved?	<ul style="list-style-type: none"> <li>This event is country specific to Kenya. All the other regional countries who are in this project will do their in-country consultations.</li> </ul>
2.	Why is Nyandarua and Vihiga not among the counties for Indigenous chicken and yet they do well	<ul style="list-style-type: none"> <li>Piloting will be on a few counties but upscale indigenous chicken technologies in other ECAAT counties</li> </ul>
3.	Uriri sub county in Migori county has been omitted on the list of rice sub counties	<ul style="list-style-type: none"> <li>Uriri is included for Rice upscaling</li> </ul>
4.	Kilifi County was missing in the list of counties and the focus commodity	<ul style="list-style-type: none"> <li>Kilifi county is to upscale cassava technologies</li> </ul>
5.	Machakos county not represented in the workshop yet bean commodity will be in Machakos county	<ul style="list-style-type: none"> <li>Machakos county is a new entrant in the project. Beans program will be coordinated from KALRO Katumani. The coordinator has been involved in project preparation</li> </ul>
6.	Rice in Kisumu was in Muhoroni but not in Nyando (Ahero Irrigation Scheme)	<ul style="list-style-type: none"> <li>The project will cover both Muhoroni and Nyando (Ahero Irrigation Scheme) Sub counties</li> </ul>
7.	Involvement of the County Governments in the project coordination and implementation	<ul style="list-style-type: none"> <li>Coordination and implementation units will be established at the counties.</li> </ul>
8.	Inclusion of other livestock species i.e. Meat goats and Bees	<ul style="list-style-type: none"> <li>The selection of value chains was done through a criteria that focused more on the importance of the commodities in the region</li> </ul>
9.	Can the funding be channeled through the Sub County based accounts (EAAPP Model) instead of the county treasury?	<ul style="list-style-type: none"> <li>The project will follow treasury guidelines through the IFMIS system.</li> </ul>
<b>II ESS, VGM,ESMF</b>		
10.	Why not include bee keeping in conservation of forests and water banks	<ul style="list-style-type: none"> <li>The selection of value chains was done through a criteria that focused more on the importance of the commodities in the region</li> </ul>
11.	What about bio gas production for environmental conservation	<ul style="list-style-type: none"> <li>Biogas Production/Installation is integrated in the dairy and poultry value chains</li> </ul>
12.	In transformation agricultural productivity is it possible to do irrigation in rain-fed areas during the dry spell for pasture production in areas where land is critically limiting	<ul style="list-style-type: none"> <li>The project will support conservation agriculture and limited irrigation</li> </ul>
13.	River Water contamination through use of faulty pumps	<ul style="list-style-type: none"> <li>This can be handled Under Environmental Assessment (OP/BP 4.01)</li> <li>Need for regular servicing of the pumps</li> </ul>
14.	How can Environmental and Social Safeguards be integrated during implementation of the project?	<ul style="list-style-type: none"> <li>The frameworks are meant to guide in mainstreaming of ESS issues in the project implementation</li> </ul>
15.	Can ESS come as an output during Dairy	<ul style="list-style-type: none"> <li>NEMA was invited as one of the</li> </ul>

	Comments and Observations	Responses
	upscaling, and also incorporate NEMA	stakeholders <ul style="list-style-type: none"> <li>• The EIA reports have to cleared/approve by NEMA for implementation</li> <li>• The frameworks will be shared with NEMA</li> </ul>
16.	Invasive species, what to be done after introduction	<ul style="list-style-type: none"> <li>• All the projects will be screened (for positive or negative impacts) and mitigation measures put in place.</li> </ul>
17.	What ESMF mitigation measures are to be undertaken?	<ul style="list-style-type: none"> <li>• The frameworks (ESMF) are general guidelines and relevant instruments/plans will be developed on need basis (once the specific investments are identified)</li> </ul>
18.	Definition of VMG need to be revised so as not to target community but groups (Are the VMG only based on tribal groups or also from major communities?)	<ul style="list-style-type: none"> <li>• VMGs includes also women and youth (headed households), people with disabilities, people suffering from terminal illness (HIV-AIDS), the aged, widows/widowers and orphans</li> </ul>
19.	Are the VMG also supposed to be engaged in project implementation? Direct benefit?	<ul style="list-style-type: none"> <li>• They should be involved with targeted interventions</li> </ul>
20.	Can the child headed, widows and sick (e.g. PLWA'S) be termed as VMG	<ul style="list-style-type: none"> <li>• Yes</li> </ul>
21.	In view of political/tribal profiling for our Country, has the policy addressed this in the resettlement plans	<ul style="list-style-type: none"> <li>• The host population should be involved in the development of the Resettlement Plans and the entire resettlement program</li> </ul>
22.	Among the VGMs are Sengwer in Elgeyo Marakwet county, live outside the project area; how can they be involved in the project?	<ul style="list-style-type: none"> <li>• They should be involved if they are within the project area/sites but not those communities or individuals living inside gazette forests</li> </ul>
23.	A clear framework of how grievances should be handled, at what level and feedback	<ul style="list-style-type: none"> <li>• The project will use and enhance existing structures (expanding the membership) in addressing grievances at the county and sub county level</li> </ul>

### Annex 13: List of Participants for National Stakeholder Consultations

<i>Sr No.</i>	<i>Officers Name</i>	<i>Organization</i>	<i>Email Address</i>	<i>Cellphone</i>	<i>Signature</i>

***Annex 14: Substantive Issues from the County Based Stakeholder Consultations on VMGF***

	<b>Comments /Observations</b>	<b>Responses</b>
1.	Who are the marginalized and vulnerable people?	In Kenya this terminology is enshrined in the Constitution of Kenya Articles: 56 and 100. And it describes: ethnic minority communities (communities who also meet the requirements of OP 4.10), widows, the elderly, the disabled, the sick, marginalized groups, low income households and youth; incapacitated households – those with no one fit to work, child-headed households, street children and other people or households characterised by low nutrition levels, low or no education, lack of employment or incomes; and/or gender bias
2.	How will the VMGs benefit from the project interventions?	The VMGs will benefit from the project interventions through targeted inclusivity, capacity building, targeted VMGs interventions and ensuring that they are involved in leadership and decision making process of the project activities and more so in community-based activities.
3	How will the project ensure that ESS issues are adequately addressed in the project implementation?	The project will do capacity building of all stakeholders including county staff, service providers and targeted beneficiaries so as to enhance their capacity in mainstreaming ESS issues in the project implementation.
4	We have heard of many other projects under national governments in the target counties. And so, how will care be taken to avoid duplication or overlaps?	Counties will be consulted closely going forward to avoid duplication.
5	We are aware that some of our target farmers are so rooted to their indigenous technologies that they may fear the new technologies and even some may not adopt, what will we do to impart the technology?	Such farmers will benefit from farmer to farmer visits and tours as well as demonstrations as 'seeing is believing'. In addition, the project will also ensure ITK is recognized during implementation.

6	We know that the Marginalized and Vulnerable people rarely attend sensitization barazas or other meetings, which criteria will the ECAATP use to ensure the target group is reached?	The Project will have committees right from the top to the grassroots. For our case, we will have sensitization barazas and representatives of youth, women, disabled and marginalized in each Ward. In addition, for the VMGs the project will also adopt FPIC approach.
7	That there is need to improve technical skills of farmers in Keiyo North to compete with other counties ahead of Keiyo Farmers' dairy day	The ECAATP will include activities and technologies on farmers' capacity building on dairy and other cross-cutting issues.
8.	What is the way forward for groups that were under EAAPP	ECAAT will still continue working with groups that were covered under EAAPP focusing on the areas along the value chain that require additional support.
9.	The extension approaches to be used in ECAAT	ECAAT project will use group (Farmer-Farmer) approach in delivery of services. Trainings, Field days, Demonstrations and Exchange visits will still be used in dissemination of TIMPs
10.	Will the technologies from other countries be introduced and will they affect	ECAAT Project beneficiaries will be exposed to TIMPs developed in country and from other partner countries through Trainings, Field days, Demonstrations and Exchange visits.



## Kiambu moves to monitor quality of children's charities

Poverty, cultural beliefs, ignorance, divorce and parental negligence key

BY LYDIA SHIROYA  
RNA - KIAMBU

Charity organisations dealing with children's issues in Kiambu county will be monitored to ensure they offer quality services.

Ms Rose Mbarine, the incoming County Coordinator for Children's Services (CCS), said it was important to map out all institutions involved in children affairs. These include NGOs and Community Based organisations (CBOs).

Ms Mbarine said the move

will assist in identifying needs for all the institutions with a view of ensuring they performed according to the law in providing protection for children in their care.

She was speaking while closing a three-day training session for County Area Advisory Committee (CAAC) on children's matters at a Inika hotel last week.

The mapping will help the CAAC come up with a directory for all the Charitable Children Institutions (CCIs), for ease of locating them in follow ups on the plight of children under their care.

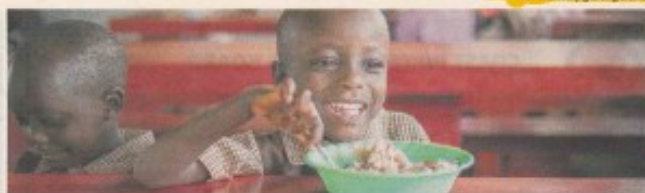
In Thika Sub-county alone, there are more than 100 CCIs. Ms Mbarine urged stakeholders to strengthen teamwork and

hold frequent meetings, where they could share and compare notes on the well-being of the children in Kiambu.

She said children had a right to good life, education and other social needs, which have to be provided to make them comfortable as they grow up.

In reference to Article 53(1) d of the 2010 Constitution, she said children were to be protected from abuse, neglect, harmful cultural practices and all forms of violence, inhumane treatment, punishment and hazardous or exploitative labour.

The main causes of child rights violations were poverty, cultural beliefs, ignorance, lack of awareness, di-



vorce, weak child protection structures, illiteracy and parental negligence.

Others were alcohol and drug abuse and moral degradation.

Ms Mbarine asked members of the CAAC to be vigilant in their respective regions and alert concerned institutions of any child in need of care and protection.

She thanked medics at the Kiambu Level 5 hospital for their co-operation and understanding whenever children rescued from the streets are taken to the facility.

She cited a case of a child who was rescued from a street in Githunguri last week and rushed to the referral hospital.

100

Number of Charitable Children Institutions (CCIs) in Thika Sub-county alone



She said the medics attended to the baby in good time and now it was in a good condition.

She said child neglect constitutes the largest percentage of protection cases reported to the department of Children services in the county. The cases rose from 21,496 in 2005 to 49,067 in 2010.

Majority of the cases involve neglect by fathers and this has prompted the department to network with line ministries to compel the men to take care of their children.

Deputy County Commissioner Paul Famba said recently that as long as a child refers to a man as dad, they should provide for them.



### THE PRESIDENCY MINISTRY OF INTERIOR & CO-ORDINATION OF NATIONAL GOVERNMENT

#### NATIONAL POLICE SERVICE

#### REQUEST FOR EXPRESSION OF INTEREST

#### CONSTRUCTION OF NATIONAL POLICE SERVICE REFERRAL HOSPITAL - TURN KEY PROJECT

##### BACKGROUND

The National Police Service intends to commence construction of the National Police Referral Hospital, which is a key Government priority project, on a piece of land within the Kenyatta National Hospital as approved by Cabinet. The main objective of the project is for the Police Officers and their families to access quality, accessible and affordable healthcare.

##### UNMET NEED OF THE PROJECT

Ever since Kenya attained independence from Britain in 1963, Police Officers have never had a dedicated health facility to attend to officers and their dependents whenever they fall sick or get injured in the course of their duties which, by their risky nature, are inherently prone to perpetual risk to injury and even death.

The upshot of this situation is that Police Officers and their dependents have been forced to seek medical attention in civilian health facilities, which are often themselves invariably overwhelmed by the sheer number of patients that flock these hospitals to access affordable medical care on a daily basis.

##### SCOPE OF WORK

In order to alleviate the myriad challenge facing the Police community, the Government is desirous of constructing the first 300-bed (level 0) National Police Service Referral Hospital in Nairobi, Kenya to exclusively cater for the needs of the Police and their families, done through both GOK grant and soft loan funding and which shall incorporate the following:

- Supply of medical equipment & HIS System (installation & 3 years of maintenance)
- Paperless/modern technology hospital;
- Forensic laboratory, doping test facility;
- First class emergency centre;
- VIP suite
- Mortuary
- Training & Education both locally and overseas
- Operation & Maintenance support

The National Police Service now invites eligible firms with proven track record and performance of similar assignments to indicate their interest in providing the service on design, build and transfer basis including proposal of funding the project. The interested firms/organisations must provide information indicating that they are qualified to carry out this assignment. The interested firms shall also submit their Expressions of Interest that will provide details of the firm's understanding of the specialty hospital facilities and proposed terms of reference for the assignment.

The Expression of Interest shall be submitted in plain sealed envelopes made in English language and marked "Expression of Interest NPS Referral Hospital - Turn Key Project" and addressed to:

The Inspector General of Police  
National Police Service  
P.O. Box 44348-00100 NAIROBI

and placed in the "National Police Service Tender Box" located at the ground floor main entrance to Jogoe House X Building so as to be received NOT later than Tuesday, 26<sup>th</sup> of June 2018 at 12 noon.

PRINCIPAL SECRETARY,  
STATE DEPARTMENT OF INTERIOR.



### MINISTRY OF AGRICULTURE AND IRRIGATION State Department of Livestock

#### PROPOSED EASTERN AND CENTRAL AFRICA AGRICULTURE TRANSFORMATION PROJECT (ECAATP) DISCLOSURE OF ENVIRONMENT AND SOCIAL SAFEGUARDS INSTRUMENTS NOTICE

##### Re: ECAATP WORLD BANK IDA CREDIT P162416

1. The Government of Kenya (GoK) and the World Bank (WB) are at an advanced stage in the preparation of the Eastern and Central Africa Agriculture Transformation Project (ECAATP)
2. The Project Development Objective is "to enhance regional collaboration to increase productivity, climate resilience, and smallholder farmer access to the regional market for food commodities and products"
3. The project will comprise of four components as outlined below:

##### Component 1: Regional Commodity Programs

The objective of this component is to foster regional collaboration in development and dissemination of climate smart and resilient sensitive technologies innovations and Management Practices (NMPs) for identified commodity value chains. The focus will be on (i) efficient use of existing knowledge, technical expertise, institutional capacity and physical facilities; (ii) faster development of new technologies, innovations, and management practices; and (iii) regional transfer of genetic materials, germplasm, planting materials, breeding stock and technologies across national boundaries. In addition, the project will support human capacity and physical infrastructure development.

##### Component 2: Enabling Policies and Improving Access to Markets

The objectives of this component are to (i) create an enabling policy and regulatory environment for regional collaboration in development, transfer, and exchange of climate-smart technologies; and (ii) improve smallholder farmer's access to regional and national markets for food commodities and products (iii) promotion of effective models for service delivery

##### Component 3: Contingency Emergency Response

The zero-cost component will finance eligible expenditures under the Immediate Response Mechanism (IRM) in case of natural or man-made crises, disasters and emergencies including severe economic shocks, severe droughts, floods, disease outbreaks and livelihoods among others.

##### Component 4: Regional Coordination and National Project Management

The objective of this component is to coordinate the project across participating countries and collaborating institutions/agencies, promote continuous learning and feedback, and to manage project implementation. At national level, the project will be coordinated and managed through the National Project Coordination Unit under the State Department of Livestock, Directorate of Livestock Production and Marketing.

4. The implementation of ECAATP Project will be done through the Ministry of Agriculture & Irrigation, State Department of Livestock (Pilotary Responsibility), in collaboration with relevant ministries and departments, agencies and counties. The project will use group and productive alliance approach in implementation of community-based projects. At this initial stage of project orientation, the specific sites of the sub projects to be implemented through the technical sector components and their associated negative environmental and social impacts cannot be determined. The initial screening of the anticipated project investments/activities indicated that they will trigger the following WB Safeguards Policies: Environmental Assessment (OP/BP 4.01), Pest Management (OP/BP 4.05), Indigenous Peoples (OP/BP 4.10) and Involuntary Resettlement (OP/BP 4.12). To mitigate against this, the GoK has proposed Environmental and Social Safeguards Framework (ESSF) that will mitigate risks and impacts as envisioned in the implementation of project activities. All the project activities will also be expected to conform to the relevant national laws and regulations relating to environmental and social safeguards.

5. The following frameworks have been formulated in this report:
  - a) Environmental and Social Management Framework and Integrated Pest Management Plan (ESMFP/IMP)
  - b) Environmental Policy Framework (EPF)
  - c) Vulnerable and Marginalized Groups Framework (VMGF)

These documents are hereby disclosed to the public and can be accessed through the Ministry's website: [www.kilimo.go.ke](http://www.kilimo.go.ke) for further details.

The Principal Secretary,  
State Department of Livestock Development  
Ministry of Agriculture and Irrigation  
P.O. Box 51850 - 00100  
NAIROBI, KENYA