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# Project Information Document/ Integrated Safeguards Data Sheet (PID/ISDS)

Concept Stage | Date Prepared/Updated: 13-Sep-2017 | Report No: PIDISDSC22230

Jun 06, 2017 Page 1 of 13

# **BASIC INFORMATION**

# A. Basic Project Data

Country Kenya	Project ID P163980	Parent Project ID (if any)	Project Name Kenya Marine Fisheries and Socio-Economic Development Project (MAFIDEV) (P163980)
Region	Estimated Appraisal Date	Estimated Board Date	Practice Area (Lead)
AFRICA	Jul 16, 2018	Nov 20, 2018	Environment & Natural Resources
Financing Instrument	Borrower(s)	Implementing Agency	
Investment Project Financing	The Republic of Kenya	Ministry of Agriculture, Livestock and Fisheries	

# **Proposed Development Objective(s)**

The Project Development Objective is to improve management and increase value-addition of priority fisheries and aquaculture, and to strengthen access to livelihoods for coastal communities in Kenya.

# Financing (in USD Million)

Financing Source	Amount
International Development Association (IDA)	100.00
Total Project Cost	100.00
Environmental Assessment Category	Concept Review Decision
B-Partial Assessment	Track II-The review did authorize the preparation to continue

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Other Decision (as needed)

Jun 06, 2017 Page 2 of 13

#### **B.** Introduction and Context

#### **Country Context**

- 1. **Kenya's economic growth has been robust over the past years.** For the third consecutive year, economic activity has increased, reaching an estimated 5-year high of 5.9 percent in 2016, and once again placing Kenya among the fastest growing economies in Sub-Saharan Africa.<sup>1</sup> Projections indicate continued growth with a rate of around 6 percent in 2018 and 2019. Kenya's population is estimated to grow equally fast, with an annual increase of 1 million.<sup>2</sup> In 2015, the country's population stood at around 46 million.<sup>3</sup> Natural resources are the basis for livelihood and economic development. Agriculture, including forestry and fishery,<sup>4</sup> represents a major economic driver and a dominant source of employment, having accounted for more than 30 percent of GDP in 2015.<sup>5</sup>
- 2. The effects of sustained macroeconomic growth are translating into improved quality of life and poverty reduction, but inequality remains high. Between 2006 and 2016, poverty measured against the official national poverty line is projected to have dropped from 46 percent to 36 percent. Inequality, however, remains high. Kenya's Gini coefficient stood at 48.5 in 2005. In remote and sparsely populated areas such as the north-eastern parts or the coastal areas, poverty rates can be as high as 80 and 60 percent, respectively. There is a growing rural-urban split, and the richest 10 percent of the population receive 40 percent of the nation's income.
- 3. In 2008, the Government prepared a long-term development strategy, Vision 2030, which aims to transform Kenya into a globally competitive middle-income country by 2030.8 The strategy has three pillars: an economic pillar that aims to achieve GDP growth of 10 percent per annum; a social and environmental pillar that aims to build a just society enjoying equitable social development in a clean and secure environment; and a political pillar that aims to build a people-centered, results-oriented, accountable democratic political system. Promoting equal opportunities across the entire Kenyan territory is key to realizing this vision.
- 4. In an effort to narrow long-term, deeply entrenched regional disparities and to increase the responsiveness of the government, Kenya adopted a new Constitution in 2010. County governments now play the primary on-the-ground role in delivering services (in the agriculture, water, environment, urban, and health sectors), while the national government retains a policy-making, regulatory, and research role.

Sectoral and Institutional Context

5. While the fisheries sector contributes less than one percent to GDP, it plays a significant role in employment generation, food security, and rural development. Fish production from inland fisheries, marine artisanal fisheries, and aquaculture, increased from 150,000 metric tons in 2010, to about 190,000 in 2014, with a market value of more than

Jun 06, 2017 Page 3 of 13

<sup>&</sup>lt;sup>1</sup> World Bank (2017). Kenya Economic Update – Housing Unavailable and Unaffordable. April 2017, Edition No. 15

<sup>&</sup>lt;sup>2</sup> Ihid

<sup>&</sup>lt;sup>3</sup> World Bank (2017). World Development Indicators Database

<sup>&</sup>lt;sup>4</sup> Agriculture includes forestry, hunting, and fishing, as well as cultivation of crops and livestock production.

<sup>&</sup>lt;sup>5</sup> World Bank (2017). World Development Indicators Database

<sup>&</sup>lt;sup>6</sup> An updated national poverty line and measures will be published in 2017 based on the second Kenya Integrated Household Budget Survey completed in September 2016. Poverty incidence measured using the international extreme poverty line of US\$1.90 per day (2011 PPP terms) was 33 percent in 2006 and is projected to have dropped to 24 percent in 2016.

<sup>&</sup>lt;sup>7</sup> World Bank (2017). World Development Indicators Database

<sup>&</sup>lt;sup>8</sup> Government of the Republic of Kenya (2007). Kenya Vision 2030.

US\$250 million.<sup>9</sup> Fish production from marine resources only, amounts to around 9,000 metric tons of catch annually.<sup>10</sup> Imports and exports of fish products have also been increasing. Fish products were being imported and exported in the amount of US\$15.5 million and US\$39 respectively in 2013, compared to US\$4.6 million and US\$38.9 million, respectively, in 2010.<sup>11</sup> The sector employs more than 2 million people directly and indirectly, working as fishers, traders, processors, suppliers, and merchants of fishing accessories, and thus serves the development and stabilization of Kenya's rural communities, both coastal and riparian.<sup>12</sup>

- The artisanal marine fishery is recognized as one of the most important contributors to the food security of coastal villages, however, weak governance, particularly an unregulated fishing regime, has led to overexploitation and degradation. Fishing effort in Kenya's marine waters is primarily directed inside territorial waters (i.e., 12 nautical miles), is largely artisanal and characterized by small crafts propelled by wind and paddles, and thus almost entirely restricted to the fringing reef and near-shore areas. The coastal region is among the least developed in the country, with more than 60 percent of the population living below the poverty line, and most relying on coastal and marine ecosystems for employment, livelihood and nutrition. On the other hand, Kenya's Exclusive Economic Zone (EEZ), which broadly extends 200 nautical miles from the coastline and covers a total area of 142,400 km<sup>2</sup>, is exploited mostly by distant-water fishing fleets, comprised mainly of purse-seiners and long-liners. 13 Unrestricted access to fisheries in nearshore waters, increased fishing effort driven by a growing population, and destructive fishing gear are destroying critical marine habitats and seriously affecting the state of fish stocks. Most nearshore fish stocks are considered fully exploited, and in many instances at levels that exceed Maximum Sustainable Yield (MSY), thereby contributing to economic overfishing. The World Bank and the Global Environment Facility (GEF)-financed Kenya Coastal Development Project (KCDP) has been supporting the development of Fishery Management Plans (FMPs) as well as stock assessments to improve the management of these inshore fisheries. However, the management plans are yet to be implemented and used by decision makers and other key stakeholders.
- 7. Poor market access and lack of basic infrastructure are causing post-harvest losses, thereby reducing economic returns. Lack of appropriate post-harvest fish handling and preservation facilities increase transport time and thus the risk of spoilage, ultimately leading to low fish prices or wastage. In 2014, post-harvest losses were estimated at 2,700 metric tons, representing about 30 percent of total landings for marine fisheries.
- 8. The impacts of climate change further compound the challenges coastal communities are facing not only due to shoreline erosion, floods, and extreme weather events, but also because of their limited ability to adapt as a result of insufficient income and lack of basic infrastructure. In Kenya, 2.8 million people are estimated to live within 25 km of the coast, and this number is expected to increase to nearly 4 million by 2030. While the impacts of climate change on Kenya's coast are not yet fully measured, or analyzed, marine and coastal ecosystems are expected to be affected as a result of rising ocean temperature, irregular rainfall, sea level rise, ocean acidification, changes in ocean current patterns, and more frequent and severe extreme weather events.
- 9. With improved management and control, Kenya aims to increase the contribution from offshore fisheries to its economic development. Kenya is increasingly engaged in regional initiatives aimed at controlling Illegal, Unreported, and Unregulated (IUU) fishing, and in managing regional fishing efforts through its involvement in the IOTC, the Southwest Indian Ocean Fisheries Commission (SWIOFC), the African Union-Interafrican Bureau for Animal Resources

Jun 06, 2017 Page 4 of 13

<sup>&</sup>lt;sup>9</sup> Food and Agriculture Organization of the United Nations (2016). Fishery and Aquaculture Country Profiles: The Republic of Kenya

<sup>10</sup> Ibid

<sup>&</sup>lt;sup>11</sup> Food and Agriculture Organization of the United Nations (2016). Fishery and Aquaculture Country Profiles: The Republic of Kenya

<sup>&</sup>lt;sup>12</sup> Republic of Kenya (2014). *Fisheries Annual Statistical Bulletin 2014*. Ministry of Agriculture, Livestock, and Fisheries – State Department of Fisheries 2014.

<sup>&</sup>lt;sup>13</sup> Food and Agriculture Organization of the United Nations (2016). Fishery and Aquaculture Country Profiles: The Republic of Kenya

(AU-Ibar), and FISH-I Africa.<sup>14</sup> With support from the KCDP, Kenya has recently established an advanced Vessel Monitoring System (VMS) in Mombasa, which will become fully operational once licensed vessels deploy the required on-board beacons to link with the base station at the State Department of Fisheries and Blue Economy (SDF-BE).

- 10. More broadly, and driven by a growing population and the need for sustainable growth in ocean-related economic activities, the Government of Kenya (GoK) has made a strong commitment towards improving the management of its marine fisheries by embarking on a new approach the Blue Economy. The blue economy approach aims to increase the number of livelihoods and level of income linked to the oceans, while concurrently conserving its resources and ecological integrity to ensure sustainability of the coastal/marine fisheries sub-sector. Sustainable management of fisheries stock, enhancing economic returns including through development of local semi-industrial fisheries, and improving coastal livelihoods are key focus areas of the GoK. Several State Departments were established through Executive Order No.1/2016, with the SDF-BE being tasked with coordinating economic ocean activity, which includes a comprehensive mandate to protect marine ecosystems. In addition, a new Fisheries Management and Development Act is currently under implementation, and a new national fisheries agency to bolster management of the fisheries sector, the Kenya Fisheries Service (KeFS), was established in September 2016. KeFS is in the early stages of becoming operational.
- 11. The proposed project would support the GoK in implementing its blue economy agenda. MAFIDEV would scale up some of the successes of the KCDP. Furthermore, MAFIDEV would support the GoK in the operationalizing the KeFS, and help strengthening the marine fisheries and aquaculture-based livelihoods in coastal communities, by building on the benefits derived from the *Hazina Ya Maendeleo ya Pwani* (HMP), a coastal development fund providing grant support to demand driven community sub-projects which was established under KCDP.

Relationship to CPF

12. The proposed project is aligned with the Kenya Country Partnership Strategy (CPS) FY2014-2018<sup>16</sup> as updated during the Performance and Learning Review in 2017, whose overarching goal is sustainable reduction in poverty and increased shared prosperity. Aligned both with Kenya's Vision 2030 and its Medium-Term Plan, the CPS highlights three priority areas of engagement: (i) competitiveness and sustainability – growth to eradicate poverty; (ii) protection and potential – human resource development for shared prosperity; and (iii) building consistency and equity – delivering a devolution dividend. The project would directly contribute to the competitiveness and sustainability pillar of the CPS through development of a robust marine and coastal fishery economy, thereby addressing the government's growth and poverty reduction strategies. By focusing on the coastal region, the project is expected to contribute to economic prosperity, employment, and livelihood of the coastal communities, where deep-rooted poverty and inequality are still a major concern for the government.

Jun 06, 2017 Page 5 of 13

<sup>&</sup>lt;sup>14</sup> FISH-I is a regional Task Force to stop illegal fishing in the western Indian Ocean region

<sup>&</sup>lt;sup>15</sup> World Bank and United Nations Department of Economic and Social Affairs (2017). The Potential of the Blue Economy: Increasing Long-term Benefits of the Sustainable Use of Marine Resources for Small Island Developing States and Coastal Least Developed Countries. World Bank, Washington DC

<sup>&</sup>lt;sup>16</sup> World Bank. 2014. Country Partnership Strategy for the Republic of Kenya, FY2014–2018 (Report No. 87024-KE).

### C. Proposed Development Objective(s)

**Note to Task Teams:** The PDO has been pre-populated from the datasheet for the first time for your convenience. Please keep it up to date whenever it is changed in the datasheet.

The Project Development Objective is to improve management and increase value-addition of priority fisheries and aquaculture, and to strengthen access to livelihoods for coastal communities in Kenya.

Key Results (From PCN)

#### 13. The key project outcomes are:

- Index of captured indicator species (size, volume and fishing effort) (tbd)
- Number of fishing vessels in Exclusive Economic Zone with valid licenses (#)
- Total production of aquaculture in coastal areas (disaggregated by type of aquaculture) (metric tons)
- Coastal communities with access to livelihood activities (number)
- Increase value addition of catch of indicator species (tbd)
- Share of targeted beneficiaries with rating 'Satisfied' or above on project interventions (disaggregated by gender)

#### **D. Concept Description**

- 14. The project objective will be achieved through targeted interventions grouped under the following proposed components.
  - 1) Component 1 Governance and Management of Marine Fisheries and Aquatic Resources: Strengthening of marine fisheries and aquaculture governance is a critical element to increasing economic benefits from marine fisheries. This includes regulating fishing effort to enhance stock productivity and ensuring availability of reliable fisheries information for management decision-making. The proposed component would: (i) strengthen marine fisheries and coastal aquaculture governance; and (ii) minimize overfishing and destructive fishing practices, maintain or improve stock productivity, and enhance the integrity of associated ecosystems. The expected outcomes are: (i) improved institutional capacity of KeFS; (ii) improved FIS that supports management decision-making; (iii) fisheries management measures implemented for four priority nearshore fisheries; (iv) functional (at least seven) joint Co-Management Areas (CMAs); (v) effective surveillance of Kenya's EEZ; (vi) improved understanding of the status of stocks and fishing effort in priority fisheries; and (vii) regulatory framework for coastal aquaculture in place.
  - 2) Component 2 Promote Investment in Marine Fisheries and Coastal Aquaculture: Most of Kenya's marine fisheries resources are close to, and in some cases beyond, maximum sustainable harvesting levels. Thus, in the context of enhancing overall economic benefits, there are limited options to increasing production sustainably. However, there is a greater scope to improve value addition of existing production, in particular through improved post-harvest handling, product development and better access to markets, as well as through aquaculture development. This potentially creates a space for private sector investment, which in turn will generate opportunities for community-level income generation. The objective of this proposed component is to

Jun 06, 2017 Page 6 of 13

promote efficient utilization and value-addition of the resources by increasing investment in the marine fisheries and aquaculture sector. The component objective will be achieved through facilitating sectoral value chain analysis and identifying opportunities for investment in upgrading and/or new processing facilities and marketing initiatives, targeting the full range of nearshore resources, industrial offshore tuna fisheries and aquaculture. Such facilitation of private sector investment may include enhancing the business-operating environment, potentially including relevant infrastructure improvements. The expected outcomes are: (i) improved fisheries-related infrastructure; (ii) stable growth in the total economic value generated by sustainable use of the fishery and aquaculture resources; and (iii) improved business environment for investments in the fishery and aquaculture sector.

- 3) Component 3 Strengthening Marine Fisheries and Aquaculture-based Livelihoods in Coastal Communities: Outside Mombasa and tourism centers such as Malindi-Watamu, Diani and Lamu Island, rural coastal communities in Kenya remain relatively poor, and would thus be a main target beneficiary group under the proposed project. Even the coastal tourism economy is highly vulnerable to fluctuating global economics and security challenges in East Africa; therefore, fisheries resources remain the critical livelihood resource for rural coastal households in Kenya. Since nearshore capture fisheries resources are already at, or in some cases beyond, maximum sustainable harvesting levels, as with private sector development under Component 2, opportunities to strengthen coastal households lie more in fisheries value addition, aquaculture production and other enterprise development, than in increasing effort on capture fisheries. Accessing these opportunities requires information and knowledge sharing, skills development and better access to credit. Strengthening coastal livelihoods is an end in itself. However, it also supports a positive feedback loop in terms of strengthening nearshore fisheries management. Fishers with more secure livelihoods are better able to engage in fisheries co-management initiatives, which, although in the short-term might involve reducing fishing effort and catches, in the medium to longer-term allow stock recovery, improved fisheries productivity and further improvements to coastal livelihoods. This proposed component would enhance the social and economic benefits that coastal communities derive from sustainable use of living marine resources. Expected outcomes are: (i) increased income of coastal households from project-supported enterprise development and value-addition initiatives; (ii) increased access to and repayment of credit among coastal communities; and (iii) project beneficiaries are distributed by gender and age in accordance with stated targets.
- 4) **Component 4 Project Management:** This proposed component would ensure efficient and effective implementation of project activities and fiduciary management. Project management including monitoring and evaluation, and safeguards management activities are supported under this component.

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#### **SAFEGUARDS**

#### A. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

The Project investments will be located in the coastal counties of Kenya, including Mombasa, Kwale, Kilifi, Taita Taveta, Lamu and Tana River. While the exact location of project interventions is not known at this stage, it is known that Kwale,

Jun 06, 2017 Page 7 of 13

Kilifi, Taita Taveta, Lamu and Tana River counties are home to Vulnerable and Marginalized Groups (VMGs) who meet the OP 4.10 criteria in terms of their language, culture, attachment to given lands and being subordinate to the more dominant communities among whom they live. The livelihood strategies of the VMGs within these counties range from nearshore fishing – the closer a community is located to the sea – to subsistence farming, livestock keeping and small scale businesses, the farther a community is from the sea.

#### B. Borrower's Institutional Capacity for Safeguard Policies

The overall project implementation would be carried out by a Project Coordination Unit (PCU) in the State Department of Fisheries and Blue Economy (SDF-BE), Ministry of Agriculture, Livestock, and Fisheries. The SDF-BE has been newly established, however, previously it existed as State Department of Fisheries and represented one of the implementing agencies of the KCDP. The PCU would hire environmental and social safeguards staff to be responsible for overseeing the implementation of safeguards instruments. The initial assessment finds the safeguards capacity of the future PCU to be rather limited, therefore a technical assistance, capacity building and monitoring environmental and social risks and their mitigation will be included as part of Component 4 design.

# C. Environmental and Social Safeguards Specialists on the Team

Svetlana Khvostova, Environmental Safeguards Specialist Lilian Wambui Kahindo, Social Safeguards Specialist Ben Okindo Ayako Miranga, Environmental Safeguards Specialist

#### D. Policies that might apply

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The initial screening revealed that the project is likely to have negative environmental and social impacts, taking into account that the project activities include small and rehabilitation of large infrastructure, such as reconstruction of fishing port facilities in Mombasa, improvement of landing sites infrastructure, upgrading fish markets, small scale fish-handling and processing; and product development and packaging facilities. It is proposed that the project is assigned EA Category B. Given that the nature of the proposed project activities, including their design and location are not known at this point in time, the project would follow a framework approach to managing safeguards. An Environmental and Social Management Framework would be prepared and publicly disclosed before project appraisal. During project preparation, the team will identify initial investments ready for financing, for which subproject specific ESIAs (and if necessary RAPs) will be developed and also disclosed prior to project appraisal. Throughout the project implementation, each subproject will be screened for

Jun 06, 2017 Page 8 of 13

		environmental risk and ESIA/ESMP will be prepared by the PCU. The preparation of the ESMF and ESIAs will be accompanied by a set of public consultations with the project stakeholders, which will be documented in the assessments.
Natural Habitats OP/BP 4.04	Yes	Most of the marine coastal area is classified with some form of protection, including several national parks. Some of the marine protected areas are under effective management as they were supported under Kenya Coastal Development Project (KCDP). However, others are at various stage of degradation and in need for targeted activities to enhance management effectiveness including an active monitoring system. The project will design its investments to avoid negative impacts on environmentally sensitive areas and will work with relevant stakeholders, such as Kenya Wildlife Service, to enhance the management effectiveness of protected areas including the establishment of buffer zones and providing capacity building to the communities. The ESMF will include identification of risks and description of mitigation measures specific to avoidance and minimization of impacts on natural habitats.
Forests OP/BP 4.36	Yes	The Project may include some investments in some areas with potential negative impacts on mangroves while in other areas may benefits from restoration of mangroves. The ESMF will include specific provisions, including a TOR for a mangroves management plan, for cases where such impact is unavoidable. Project preparation will determine the potential impacts on mangroves, however the large scale impact is not anticipated.
Pest Management OP 4.09	TBD	
Physical Cultural Resources OP/BP 4.11	TBD	It is unlikely that cultural resources will be impacted, however, the presence of objects of cultural heritage will be identified during screening as part of project preparation. The ESMF will include a sample chance find procedure to be adopted by the contractors.
Indigenous Peoples OP/BP 4.10	Yes	Five of the six coastal counties targeted under the proposed MAFIDEV (i.e., Tana River, Lamu, Kilifi, Kwale and Taita Taveta) are home to Vulnerable and Marginalized Groups (VMGs) who meet the OP 4.10 criteria in terms of language, culture, attachment to given lands and being subordinate to the more dominant communities among whom they live, as well as other Vulnerable Groups. Under the Kenya Coastal

Jun 06, 2017 Page 9 of 13

Development Project (KCDP), a VMG Framework was prepared followed by a comprehensive Social Assessment (SA), which found that the livelihood strategies of the VMGs within these counties ranged from nearshore fishing, the closer a community is to the sea – to subsistence farming, livestock keeping and small scale trades, the farther a community is from the sea. The findings of the SA resulted in the development of a VMG Plan (VMGP) to mitigate risks, which was disclosed in December 2015. Activities under Component 1 of the proposed MAFIDEV will include regulating fishing effort to enhance stock productivity and ensure availability of reliable fisheries information for management decision-making. While this may result in medium- to long-term benefits, in the short term, it might negatively affect the livelihood strategies of the fishing VMG communities. Since the exact location of project interventions is unknown at this point in time and in order to continue addressing the livelihood needs, strategies and aspirations of the VMGs, the project will prepare a VMG Framework. The VMG Framework will build on the VMG Framework and SA developed under KCDP, accommodate lessons learnt, and be publicly disclosed in Kenya and in the World Bank Info Shop. Furthermore, the proposed MAFIDEV will build on the KCDP best practices and engage the VMGs at all stages of the project including at the project design stage.

Involuntary Resettlement OP/BP 4.12 Yes

Large scale involuntary resettlement and land acquisition are not expected to be required for the proposed types of investments, as the project expects to include rehabilitation of existing infrastructure or expansion of existing facilities. While resettlement of households can be avoided, in most cases, some economic displacement and restriction of access to resources is expected to be an impact for the project. Since the exact locations of project interventions are unknown at this stage, a framework approach would be adopted through which the project will develop a Resettlement Policy Framework to outline the types of compensation required for the project activities and guide preparation of the Resettlement Action Plans during project implementation. The project will also develop a Process Framework (PF) to establish the mechanism for compensation, participation, and

Jun 06, 2017 Page 10 of 13

Safety of Dams OP/BP 4.37	No	implementation of improved management of nearshore and offshore fisheries. During project preparation, the PCU will identify initial investments ready for financing, for which subproject specific RAPs will be developed (if necessary) and disclosed prior to project appraisal. Throughout the project implementation, each subproject will be screened for resettlement risks and a RAP prepared by the PCU as necessary. The preparation of the RPF, PF and RAPs will be accompanied by a set of public consultations with the project stakeholders, which will be documented in these documents. Particular attention will be paid to the identification of vulnerable groups among the Project Affected Persons (PAPs), who may require special resettlement assistance during project implementation. Such PAPs and the nature of their vulnerabilities as well as the necessary support to them will be clearly documented in the RAP.
Projects on International Waterways		The policy may need to be triggered, which will be
OP/BP 7.50	TBD	determined during project preparation.
Projects in Disputed Areas OP/BP 7.60	TBD	The policy may need to be triggered due to Kenya's maritime dispute with Somalia.

#### **E. Safeguard Preparation Plan**

Tentative target date for preparing the Appraisal Stage PID/ISDS

# May 31, 2018

Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing should be specified in the Appraisal Stage PID/ISDS

The safeguards related studies are expected to be carried out from October 2017 through January 2018. More details will be available after the first preparation mission which is likely carried out in Oct 2017.

# **CONTACT POINT**

#### **World Bank**

Banu Setlur, Veruschka Schmidt Senior Environmental Specialist

Jun 06, 2017 Page 11 of 13

# **Borrower/Client/Recipient**

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#### **Implementing Agencies**

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# APPROVAL

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Practice Manager/Manager:	Magda Lovei	21-Sep-2017	

16-Oct-2017

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Jun 06, 2017 Page 12 of 13

Jun 06, 2017 Page 13 of 13