



MINISTRY OF AGRICULTURE,
LIVESTOCK, FISHERIES AND IRRIGATION
STATE DEPARTMENT FOR CROPS DEVELOPMENT



Kenya Climate Smart
Agriculture Project

EXTENSION AND VALUE CHAIN DEVELOPMENT MANUAL

VERSION 1 2018

KCSAP EXTENSION AND VALUE CHAIN DEVELOPMENT MANUAL VERSION 1 2018

KENYA CLIMATE SMART AGRICULTURE PROJECT KCSAP

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I FORWARD

The agricultural sector extension service plays a key role in disseminating technologies, innovations and management practices and in linking farmers, agro-pastoralists, pastoralists and fisher-folks with other actors in the economy. Extension service is one of the critical change agents required in transforming subsistence farming to a modern and commercial agriculture to promote household food security, improve income and reduce poverty. The institutional and functional changes spelt out in the *Vision 2030*, and the *Agricultural Sector Development Strategy 2010–2020* (ASDS) emphasize the importance of extension system delivery.

Climate Change has become one of the most serious challenges to achieving Kenya’s sustainable development goals including ending poverty, ending hunger and combating climate change and its impacts. In many counties in Kenya, weather extremes and variability are now the norm: rainfall is irregular and unpredictable, some regions experience frequent drought during the long rain seasons or severe floods during short rains. The KCSAP project is therefore geared towards providing the necessary measures required in contributing towards combating the negative effects of climate change.

This Extension manual is a step by step guide for extension service providers on how to engage with executing agencies in the process of service delivery to beneficiary communities with the aim of achieving the triple wins of increasing productivity, enhancing resilience and reducing greenhouse gas emissions. It is expected to effectively guide the County Project Coordination Units (CPCU), County Governments and the private service providers in the delivery of efficient extension services to target communities. The manual has been developed through a highly consultative and participatory process by a team drawn from both public and private



sector institutions including key ministries (national and county), universities, and farmers' organizations. I hereby acknowledge their effort.

I wish to acknowledge and appreciate the financial and technical support of the World Bank in the development of the agricultural sector in this country through KCSAP project. I also thank the Cabinet Secretary Hon. Mwangi Kiunjuri and the Principal Secretaries, State Departments of Agriculture, Livestock Fisheries, Research and Irrigation for their leadership, guidance and commitment to developing the agricultural sector with the aim of achieving food security.

Lastly, I acknowledge the Technical expertise from the staff Ministries of Agriculture Livestock and Fisheries, Environment, Industrialization and Enterprise Development, Kenya Meteorological Department; Kenya Agricultural and Livestock Research Organization (KALRO), Egerton University, Kenya National Farmers Federation (KENAFF), The County Governments, and the communities at project areas for their commitment to the implementation of KCSAP.

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ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immuno-Deficiency Syndrome
AIU	Agriculture Insurance Unit
APVCs	Agricultural Product Value Chains
ASALs	Arid and Semi-arid Lands
ASDS	Agriculture Sector Development Strategy
ATCs	Agricultural Training Centers
AWP & B	Annual Work Planning and Budgeting
CAADP	Compressive Africa Agriculture Development Program
CBNA	Capacity Building Needs Assessment
CBO	Community Based Organisation
CDD	Community Driven Development
CEC	County Environmental Committee
CEO	County Environmental Officer
CHM	Complaint Handling Mechanism
CIAP	Community Integrated Action Plans
CIAT	International Centre for Tropical Agriculture
CIG	Common Interest Group
CIGs	Common Interest Groups
CPCU	County Project Coordination Unit
CPSC	County Project Steering Committee
CSA	Climate Smart Agriculture
CSAIP	Climate Smart Agriculture Investment Plan
CTAC	County Technical Advisory Committee
CTDs	County Technical Departments
CVCC	County Value Chain Committee
CVCDG	County Value Chain Development Group
DPs	Development Partner
EA	Environmental Audit
EACCCP	East African Community Climate Change Policy
EDP	Enterprise Development Plan
EIA	Environmental Impact Assessment



EMCA	Environmental Management and Coordination Act
EOI	Expression of Interest
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Frameworks
ESMP	Environmental and Social Management Plan
EWS	Early Warning System
FBO	Faith – Based Organization
F/PFS	Farmer/Pastoral Field School
FM	Financial Management
FNSP	Food and Nutrition Security Policy
FNSS	Food and Nutrition Security Strategy
GHGE	Green House Gas Emissions
GoK	Government of Kenya
GPS	Geographical Positioning System
GRM	Grievance Redress Mechanism
GRP	Grass- Root Partner -
HIV	Human Immuno- Deficiency Virus
HR	Human Resource
ICT	Information and Communication Technology
IDA	International Development Association
IE	Impact Evaluation
IGCC	Intergovernmental Co-ordination Committee
IP	Indigenous Peoples
IPF	Investment Project Financing
IPM	Integrated Pest Management
IPPF	Indigenous Peoples Planning Framework
KAGRC	Kenya Animal Genetic Resource Centre
KALRO	Kenya Agriculture and Livestock Research Organization
KAPAP	Kenya Agricultural Productivity and Agribusiness Project
KCSAP	Kenya Climate Smart Agriculture Project
KEM	KCSAP Extension Manual
KEMFRI	Kenya Marine Fisheries Research Institute
KENAFF	Kenya National Farmers’ Federation

KEPHIS	Kenya Plant Health Inspectorate Services
KMD	Kenya Meteorological Department
KPI	Key Performance Indicator
M & E	Monitoring and Evaluation
MIS	Project Management Information System
MoALF&I	Ministry of Agriculture, Livestock Fisheries & Irrigation
MoH	Ministry of Health
NAEP	National Agriculture Extension Programme
NALEP	National Agriculture and Livestock Extension Programme
NARS	National Agricultural Research System
NASEP	National Agricultural Sector Extension Policy
NASEP-IF	National Agricultural Sector Extension Policy Implementation Framework
NDMA	National Drought Management Authority
NDVI	Normalized Difference Vegetation Index
NEDI	North-Eastern Development Initiative
NGOs	Non-Governmental Organizations
NLMIS	National Livestock Marketing Information System
NPCU	National Project Co-coordination Unit
NPSC	National Project Steering Committee
NT	National Treasury
NTAC	National Technical Advisory Committee
O & M	Operations and Maintenance
OPVs	Open Pollinated Varieties
PAD	Project Appraisal Document
PCW	Participatory Contracting Workshop
PICD	Participatory Integrated Community Development
PIM	Project Implementation Plan
PMP	Post Management Plan
POs	Producer Organizations
PP	Principal Partner
PPP	Private Public Partnership
PPW	Participatory Planning Workshop
PTD	Participatory Technology Development

R & D	Research and Development
RPF	Resettlement Policy Framework
SDA	State Department of Agriculture
SEMS	Seasonal Extension Monitoring System
SESA	Strategic Environmental and Social Assessment
SLM	Sustainable Land Management
SMS	Subject Matter Specialist
SPs	Service Providers
SRA	Strategy for Revitalizing Agriculture
TI	Transparency International
TIMPs	Technologies, Innovations and Management Practices
TOR	Terms of Reference
VCDG	Value Chain Development Group
VCs	Value Chains
VMGF	Vulnerable and Marginalized Groups Framework
VMGs	Vulnerable and Marginalized Groups
PICD	Participatory Integrated Community Development
PIM	Project Implementation Plan
POs	Producer Organizations
PP	Principal Partner
PPP	Private Public Partnership
PTD	Participatory Technology Development
R & D	Research and Development
RPF	Resettlement Policy Framework
Sub-CTAC	Sub-County Technical Advisory Committee
Sub-CTD	Sub-County Technical Department
SDA	State Department of Agriculture
SESA	Strategic Environmental and Social Assessment
SLM	Sustainable Land Management
SMS	Subject Matter Specialist
SPs	Service Providers
SRA	Strategy for Revitalizing Agriculture
UNCCD	United Nations Convention to Combat Desertification

UNFCC	United Nations Framework Convention on Climate Change
TIMPs	Technologies, Innovations and Management Practices
TOR	Terms of Reference
VCDG	Value Chain Development Group
VCs	Value Chains
VMGF	Vulnerable and Marginalized Groups Framework
VMGs	Vulnerable and Marginalized Groups
WKCDD	Western Kenya Community Driven Development
WCSAIP	Ward Climate Smart Agriculture Investment Plan



CHAPTER ONE

1. INTRODUCTION

1. Agriculture is a major driver of the Kenyan economy and the dominant source of employment for about half of the population. The sector employs over 80 percent of the rural work force and accounts for more than 20 percent of formal employment therefore playing a key role in poverty reduction. In 2016, agriculture, forestry and fishing sector contributed 32.6 percent to the National Gross Domestic Product (GDP). The Kenya Vision 2030 recognizes 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. Addressing these challenges is crucial in attaining the Sustainable Development Goals (SDGs) 1 ending poverty and 2 of eradicating hunger in Kenya. The Government's efforts in addressing these challenges are articulated in a number of policy and strategies which include; The Agriculture Sector Development Strategy (ASDS) 2010–2020), The National Agricultural Research Systems (NARS) and National Agricultural Sector Extension Policy (NASEP).
2. The Centre for Global Development ranks Kenya 13th out of 233 countries for “direct risks” from “extreme weather and 71st for “overall vulnerability” to climate change (KCSAP, PAD). The country is active in the international and regional dialogue on mainstreaming climate change into agricultural policies, plans and actions and is a signatory to the UNCCD and UNFCCC. Kenya is also implementing the Comprehensive Africa Agriculture Development Program (CAADP) Framework (2010) and the East African Community Climate Change Policy (EACCCP 2011), Master plan and Strategy, which also informs Kenya's National Climate Change Policy. At national level, the Kenya Climate-Change Act, 2016 envisions “a climate resilient and low carbon growth sustainable agriculture that ensures food security and contributes to the national development goal. Further, Kenya Climate-Smart Agriculture Strategy (KCSAS, 2017-2026) provides a framework for action on effects of climate change. The KCSAP project focuses on increasing agricultural productivity, enhancing resilience to impacts of climate change and reduction in GHG emissions.
3. **The Project Development Objective (PDO)** is “*to increase agricultural productivity and build resilience to climate change risks in the targeted smallholder farming and*

pastoral communities in Kenya, and in the event of an Eligible Crisis or Emergency, to provide immediate and effective response.” To achieve this objective the project will support:

- (i) Improving water/soil management, especially within smallholder maize systems in the marginal rainfall zones specifically in; smallholder mixed crop-livestock, crop-livestock-tree (agro-silvo-pastoral) production systems and in crop forest (agro-forestry) production systems;
 - (ii) Promoting sustainable, community-driven range land management and improved access to quality livestock services in ASALs—specifically, in pastoral/extensive livestock production systems;
 - (iii) Supporting the generation and dissemination of improved agricultural Technology, Innovation, Management Practices (TIMPs) and building sustainable seed systems
4. The project interventions will be concentrated in 24 selected counties in Arid Areas, Semi-Arid Areas and Medium-to-High Rainfall Areas (Table 1). Each county will select four to six wards in up to three sub-counties using the following criteria: (i) poverty level of ward; (ii) vulnerability to climate risks; (iii) presence of priority value chains; (iv) geographic proximity and contiguity of wards; (v) absence of similar initiatives to avoid duplication; and (vi) presence of ward-level technical department officials.

Table 1: Project Counties

Arid Counties		Semi-Arid Counties		Non-ASAL Counties	
1	Marsabit	1	West Pokot	1	Busia
2	Isiolo	2	Baringo	2	Siaya
3	Tana River	3	Laikipia	3	Nyandarua
4	Garissa	4	Nyeri	4	Bomet
5	Wajir	5	Tharaka Nithi	5	Kericho
6	Mandera	6	Lamu	6	Kakamega
		7	Taita taveta	7	UasinGishu
		8	Kajiado	8	Elgeyo Marakwet
		9	Machakos	9	Kisumu

5. The direct beneficiaries of the project are estimated at about 521,500 households of

smallholder farmers, agro-pastoralists, and pastoralists. These beneficiaries include members of Common Interest Groups (CIGs,) Vulnerable and Marginalized Groups (VMGs,) or PPPs, including POs, as well as beneficiaries that benefit from landscape-level investments implemented by counties. Of these, 163,350 represent households organized into about 4,950 CIGs and 18,150 represent households organized into 1,100 VMGs. All these groups will also benefit from community CSA micro-projects. About 240,000 and 100,000 households will benefit from the county-level and public-private partnership (PPP) investments (subprojects), respectively. More than 600 micro small-and-medium enterprises (MSMEs) will also benefit directly from project interventions.

6. The total project cost is estimated at US\$279.7 million, of which the International Development Association (IDA) will finance US\$250 million under an Investment Project Financing (IPF) instrument. The estimated project cost takes into account GoK counterpart funds (US\$15.9 million equivalent), county governments (US\$8.3 million), and beneficiary contributions (US\$5.5 million equivalent) for a total of US\$29.75 million equivalent.
7. This Extensional Manual is to guide CPCUs; CTDs; private service providers; Beneficiaries among others to:
 - a. Systematically carry out extension activities as envisaged in component 1 of KCSAP
 - b. Enable effective extension service delivery anchored on good attributes that promotes (i) beneficiary participation (ii) demand driven services (iii) pluralism/integrative in expertise (iv) Accountability (v) professionalism (vi) building partnerships (vii) gender and social inclusivity and (viii) Disseminating context specific Technology Innovation Management and Practices (TIMPs) in order to deliver triple wins of increasing productivity, enhancing resilience and reducing greenhouse gas emissions.

The manual deals extensively with:

- Participatory Integrated Community Development (PICD), and development of community integrated action plan (CIAP) and its implementation structures



- Contracted extension services, development and execution of Value chain based Enterprise Development Plans (EDP)
- Guidelines for county Public advisory services
- Guidelines for developing community micro/sub-projects
- Community Grievances Redress Mechanism

CHAPTER TWO

2. COMMUNITY MOBILIZATION, DEVELOPMENT AND IMPLEMENTATION OF COMMUNITY INTEGRATED ACTION PLANS

8. The KCSAP advisory service delivery process is anchored on the National Agricultural Sector Extension Policy (NASEP), which responds to the Agricultural Sector Development Strategy (ASDS) and the Kenya Vision 2030. KCSAP will use a Community Driven Development (CDD) approach in extension service delivery. The targeted community will be fully mobilized for effective participation in the planning and implementation of KCSAP.

2.1 Preparatory stage

9. The first task of the County Technical Advisory Committee (CTAC) is to initiate the PICD process whose overall objective is to engage the community in expressing and prioritizing their development needs, developing their action plans and setting up of an entry point for service providers. The first step is to mobilize the communities, create awareness on the project and build their capacity on undertaking a Community Resource Assessment (CRA).
10. Preparatory stage of Community mobilization will entail the following steps:
 - (i) The County Project Coordinating Unit (CPCU) will undertake stakeholder analysis and sensitization.
 - CPCU will conduct an Agriculture stakeholder analysis
 - The CTAC in collaboration with CPCU will train and sensitize key county sector stakeholders on KCSAP envisaged implementation processes for one day.
 - The CTAC in collaboration with CPCU will further train Sub- County Technical Departments (sub-CTDs) from the project Sub-Counties on KCSAP extension process for two days
 - (ii) CTAC in collaboration with sub-CTDs and CPCU will constitute Sub-County PICD teams consisting of representatives from sub-CTDs (with multidisciplinary expertise on use of PRA tools), KALRO, Kenya Meteorological Department (KMD) , National Environment Management Authority (NEMA), National

Drought Management Authority (NDMA), Administration Department, Relevant NGOs, Social Services, Kenya National Federation of Farmers (KENAFF), extension service provider firms and other relevant organizations.

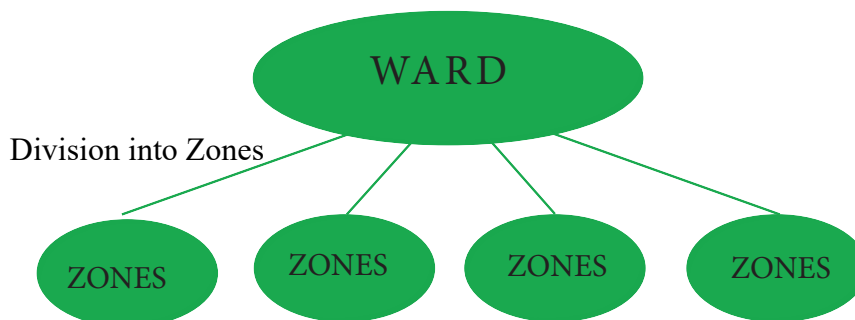
(iii) The Sub-CTAC will partition each of the project ward into 4 zones

(iv) The PICD team will be sensitized on the PICD processes including roles, program/timetable and related issues for two days by the CPCU.

2.2 Review and analysis of available information

11. This will be done by the sub-county PICD team for two days. This review will involve the following:

- (i) The identification and analysis various reports about the ward. These include previous PRA reports done in the entire or part of the ward, poverty and HIV/ Aids prevalence surveys, population census reports, administrative reports Climate Risk Profiles (CRP), periodic farm management reviews, Nutritional status survey reports, Gender analysis and any other report(s) that may be relevant.
- (ii) Development of Secondary Information Review Report (SIRR) detailing the problems; climate risks and opportunities identified in the ward and the identified gaps if any. The report should highlight information on gender and social exclusion issues and gaps.
- (iii) Contextualize and customize PICD tools –using **Annex1**
- (iv) Partitioning of the ward into 4 zones. A zone will be typologically, socially and ecologically homogenous for cohesiveness and uniform treatments during implementation(figure 1)



The monitorable indicators to monitor and verify implementation of this activity include: Invitation letters, List of attendance, Minutes of the proceedings, zone distribution sketch map, PICD tools reviewed and customized, the SIRR showing a list of all reports identified and analysed that should identify Agricultural productivity and CSA gaps by providing the baseline status.

2.3 Participatory Integrated Community Development (PICD)

PICD will comprise of the following four phases

- i. **Community entry and re-entry**
- ii. **Initiation/awareness creation and attitude change**
- iii. **Data gathering and situation analysis**
- iv. **planning**

12. Phase 1: Community entry and re-entry

This is an inclusive process of entering into the community without causing harm by ensuring acceptance, wide participation and without raising unnecessary expectations.

Step I

Ward level:

- ❖ Ward administrator – PICD team to brief ward administrator
- ❖ Ward leaders meeting called by ward administrator to discuss the following:
 - ✓ Discuss development of the ward
 - ✓ Organize for the zonal meetings

Step II

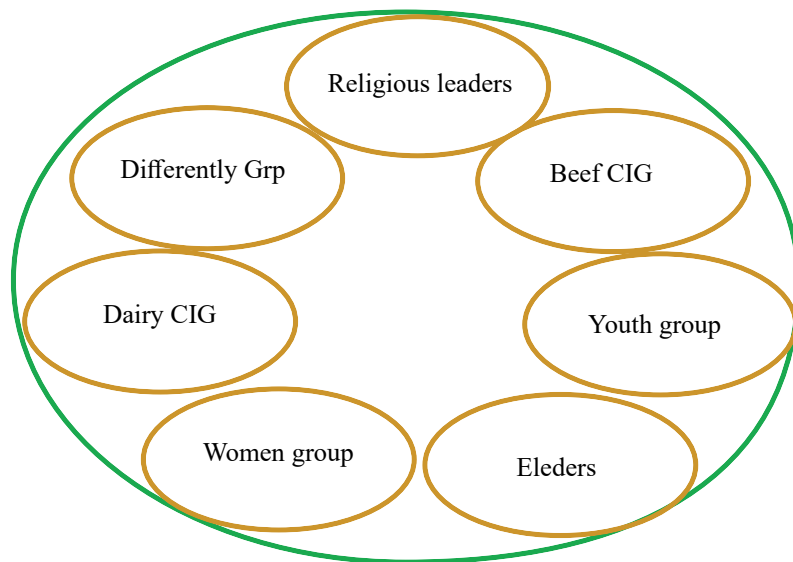
The PICD team will organize community entry baraza at zonal level

Meeting with leaders and elders

The purpose of this meeting is to ensure that all groups in the zone are identified with the help of zonal leaders. The PICD team will explain to zonal leaders the intentions of the process so as to mobilize the community members who belong to the various groups. At this time the key activity schedule of the community is also considered e.g. market days, times of the day when the community is busy.

As in any group/community process, it is necessary to have all the key stakeholders in the beginning. This ensures that the process addresses issues of interest to all parties and

helps to reduce the chances of obstacles and opposition to the vision and action plans that emerge. Since this process is experiential and transformative the more people that can participate the better. Even so the facilitator should determine whether the group members consist of people from similar circumstances with common interests. Use the Venn Diagram 1 to identify relationship of the groups in the community (If all the information is not identified verification is done with the religious leader- if he was not in at the time of drawing the Venn diagram I)



Venn diagram I

Step III

PICD team to invite and hold a meeting with the representatives of all the zonal groups and inform them about the PICD process

- What days do we meet?
- What time do we meet?
- If it is the whole day, what do we do about lunch?

Dispatch them to go and convince their different constituents to come and attend the meetings

At the end of this phase the PICD team should get **acquainted with the community by**

- ❖ Building trust and relationship,
- ❖ Collection of basic data and
- ❖ Introduction of initiation phase.

13. Phase 2: Initiation/Awareness creation and attitude change

The will be initiated through zonal level public barazas. The zonal leaders will discuss development taking place in the zone. They then invite the PICD team to facilitate discussions on new approach to community development through PICD process. The objective of this phase is to address **issues concerning attitude change** and to enable the participants to discuss and **understand what development is and why they must participate in their own development agenda**. The phase aims at changing the community members' attitude towards development.

They should be able to identify with, and embrace development that is sustainable i.e. participatory development. This phase also helps the participants to be aware of **exclusion, disparities and injustice** and brainstorm on ways and means of addressing them. To facilitate the discussions; **the river code, the secret in the box, take a step, the boat is sinking, and the diamond farm and 65 year old couple** role plays are used (see Annex 1). The purpose is to change the attitude of the community on **dependency, participation, marginalization and discrimination on gender basis**.

14. Phase 3: Data gathering and situation analysis

The community situation analysis is done using the Community resource mapping; Seasonal calendar; 24 hour day schedule; Problem and resource bags; and visioning matrix discussions. The gaps that might arise in the baseline checklist developed during the secondary data review exercise that was done prior to community mobilization are filled using focused group discussions.

The final step in this phase is to form a 7 member planning committee. The community will elect members who can articulate their issues however the committee should be representative in terms of gender, social inclusivity and geography. Analysed data emanating from this process will inform CIAP development process and aid in the development of a CSA problem statement that sets the grounds for call for expression of interest for extension services.

Development of a problem statement

15. To fast track extension service provider selection, problem statements will be developed by the sub-CTAC in collaboration with the CPCU and will form the basis of service providers' selection. *SMART problem statement is detailed in Annex 2.* This will/should provide an entry point for **Extension service providers** to engage the communities through the identified value chains and CSA concerns as the other development stakeholders fit themselves into non-extension demands. The role of the sub-CTAC is to facilitate the consultative process or creation of an environment where various stakeholders can come together to play complementary roles in development. Three Agricultural value chains will be prioritized per county. However, it is imperative that climate resilience attributes of the agricultural value chain are considered. Besides other related commodities that may be promoted by the service providers, KCSAP will be evaluated on the performance climate smart agricultural commodity value chains namely:

Sorghum	Green gram	Irish potato	Millet
Pigeon Pea	Cassava	Local poultry	Tomato
Apiculture	Fish	Meats (beef)	Dairy

16. Phase 4: Planning

The PICD team will use Long term goal setting; Short term goal setting; Future maps planning tools in generating Community Integrated Action Plan (CIAP) (see **annex 1**). CIAP is the key output of the entire PICD process. The CIAP will cover

- (i) Development priorities as agreed on by the community;
- (ii) Proposed actions and requirements;
- (iii) Duties and responsibilities for individuals and groups;
- (iv) Work schedules and areas where the community will need external assistance

17. Deliberate efforts will be made by the PICD team to identify the vulnerable and marginalized (VMGs) members of the community to ensure social inclusion in the project. The criteria for VMGs include; land ownership, asset ownership/perceived value, number of meals per day, number of dependants, female-/child-headed households, and

advanced age, among others. The VMGs could be a group of youth, widows, widowers, the HIV/AIDS affected, female/youth headed households, the elderly, Internally Displaced persons (IDPs) drug and substance abusers or other disadvantaged members of the community. Also to be identified is the presence of Indigenous people (IP) within the selected wards for the purpose of deliberately ensuring they benefit from the KCSAP initiatives. This is in compliance with OP/BP 4.10.

18. The purpose of such inclusivity is to ensure IPs, and VMGs form an integral part of the project beneficiaries and participate in making key decisions in their development. This will ensure compliance with OP/BP 4.10 social safeguard on IPs/VMGs.

For details see KCSAP website Environmental and Social Management Safeguard Framework (ESMF) or list of IPs groups as annexed in the PIM and PAD.

Step 3. Problem Analysis, potential TIMPs identification, VC analysis, profiling of potential Micro and Sub-projects and County Integrated CIAP development

The community integrated action plan is meant to pave the way for various stakeholders/ collaborators to participate in development matters in the ward. It indicates the contribution each of them is expected to make towards that goal and every stakeholder should be provided with a copy of the CIAP. In addition, the CIAP will comprise of identification and prioritization of potential bankable community micro-projects (e.g. small scale irrigation schemes) and sub-projects (water pans, sand dams, range reseeding) among others.

19. The main participants in this activity will be:
 - Zonal planning committee representatives (at least 2 from each zone)
 - The ward based sub-county PICD team (4 officers)
 - Strategic stakeholders (10-15)

Their main task will be to rationalize potential micro/sub-projects. Further the team will combine the 4 zonal plans into a ward CIAP. The team will further filter the CSA related interventions and prepare Ward Climate Smart Agriculture Investment Plan (WCSAIP). During this meeting, the PICD team will undertake preliminary value chain analysis including identification of challenges along the chain and potential interventions in regard to production, value addition, and linkage to markets. They will also focus on the supply

chains, delivery channels, and enabling environment issues to identify and address the bottlenecks and leverage points in the value chains. It will be logical and strategic for a leaner PICD team of Sub-CTDs to prepare a CIAP and Ward CSA planning framework prior to the actual CIAP ward planning sessions for efficiency planning sessions. This activity will take one day at a central place within the ward and will focus mainly on issues that cut across the entire ward as well as consolidating all zonal plans into a ward plan.

20. At the end of the PICD and CIAP (data collected using the checklist, PICD tools and existing reports), the following information will have been gathered and consolidated:

- Types and Status of the agricultural value chains e.g. baseline data
- Potential Investment Opportunities articulating identified CSA enterprises of interest along APVC.
- Identified existing and new groups interested in participating in the project (their profiles provided)
- Existing TIMPs to be validated and the needs for new TIMPs to be developed
- Gender and social inclusion concerns to be taken into account during the planning and implementation of project interventions to ensure that the TIMPs are appropriate and address the needs and priorities of their targeted users
- Researchable issues
- Critical SLM issues affecting production in the area as well as status of land degradation and related hot spots.
- The vulnerable and marginalized members of society, and IPs identified and mapped
- Sketch map of the ward
- Community resource maps
- Climate risks
- Common Pest and diseases (what exist and how they are managed)
- Agrochemical use (type and uses)
- The problems of the communities (disaggregated by gender) and the extent to which they have been addressed. Establish the socio-economic status, constraints, needs and priorities for men, women, youth, and VMGs
- Indicators of social exclusion disaggregated by gender and VMG categories.

- Nutritional status/concerns and opportunities for nutritional mainstreaming
- The existing gender related inequalities and opportunities towards gender equity and empowerment of women and VMGs
- Baseline status in regard to productivity for the various value chain enterprises (benchmarks) data
- Roles and responsibilities of the community, other development stakeholders and the service providers and their entry along the identified priority segments of the value chain and envisaged CSA interventions- embedded in a CIAP and CSA plan framework.
- Any other cross cutting issues and relevant information.

21. PICD team in collaboration with CPCU will set dates for zonal level CIAP presentation barazas at the end of this exercise. The opinion leaders will spearhead publicity of the barazas in their zones to ensure good turnout. The monitorable indicators will be: The program of the day, Letters of invitation, List of participants (by gender), and a draft Community Integrated Action Plan (CIAP) showing the problems identified in each zones (by gender and social groupings).

Step 4. CIAP ratification barazas in each of the zones

22. This is a crucial step in community mobilization where the draft CIAP is presented to the community to cultivate ownership. PICD team will hold the exercise in every zone on different dates to ensure full participation of stakeholders and overall commitment to the implementation of the CIAP. CPCU will make deliberate efforts to ensure participation of all executing agencies and stakeholders including community members, opinion leaders, CTDs, Researchers, representatives of the KMD, prospective advisory service providers, staff members from other relevant government departments, NGOs, FBOs, Farmer organizations and civil society
23. During the baraza, the draft CIAP is **presented, verified, modified, adopted and owned by the beneficiaries**. The agenda of the day's activities include: explaining to the beneficiaries the process that led to the CIAP, verifications, modification, ratification and adoption of the CIAP.

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24. The monitorable indicators and means of verification for the CIAP baraza activity are: Program of the day, the adopted and owned CIAP in each zone, list of beneficiaries who attended, proceedings, complaints, Names of stakeholders/collaborators (e.g. Researchers, Meteorological, input suppliers, credit institutions, produce transporters, NGO WRUAs and other Government departments) who participated.
 25. The ward CIAP and CSA plans will be reviewed by sub-CTDs for technical soundness and submitted to the CPC. The CPC with the assistance of CTAC will then compile county CIAP and CSA plan reports separately. The reports should contain an elaborate action plan, 5 year implementation plan and Gantt chart that resonates with the target community's aspirations as envisioned during PICD process summarized (Table 2), project development objectives (increased productivity, building resilience and reducing GHGE) and targets.

2.4 Implementation of Community Integrated Action Plan (CIAP) and Ward Climate Smart Agriculture Investment Plan (WCSAIP)

26. A comprehensive ward CSA development plan that will provide prioritized short-term (1–3 years) and medium-term (4–8 years) interventions.
27. The prioritized community sub-projects will be forwarded to the County Technical Advisory Committee (CTAC) through the CPCU. The CTAC, with input from other experts, will prepare all the necessary documentation including Report on findings of Environmental and social safeguard screening exercise. Where applicable, EA or ESIA reports and NEMA approvals, safeguards management plans, design requirements, proposal development, work plans and budgets and all the necessary procedures for approval by the County Project Steering Committee for sub-projects cutting across wards. For inter-county sub-projects, the documentation will be submitted through the CPCU to the National Project Advisory Committee (NTAC) to review and recommend them for approval by the National Project Steering Committee (NPSC).

Table 2: Summarized PICD Activity Schedule

	Activity	Venue	Responsibility	Activity days
1	Meeting with ward leaders	Ward level	Ward Administrator/ PICD team	1
2	Community leaders meeting	Zone level	PICD team/key community leaders identified in 1 st ward meeting	4
3	Community entry barazas -Awareness and attitude change tools	Zonal level	Entire community for each zone	2
4	Resource mapping, Seasonal calendar, 24 hour day schedule, Problem & resource bags, Formation of planning committee)	Zonal level	Entire community	3
5	Training of committee on planning process, Problem analysis & ranking, Focused group discussion	Ward level	Planning committee	2
6	Family visioning process - Vision matrix	Zonal level	Entire community	1
7	Vision matrix discussions, Long & short term goal setting, Future maps, CIAP development	Ward level	Planning committee	2
8	CIAP barazas, Future map presentation, CIAP presentation, Wealth ranking, Venn diagram II	Zonal level	Entire community	1
9	CIAP meeting with ward leaders	Ward	CIAP ratification	1

28. The sub-CTAC (in collaboration with the CDDC) on behalf of the existing agricultural stakeholders will coordinate implementation of a joint work-plan that addresses the CIAP - e.g. if up-grading of an access road has been identified as a community priority, the CIAP will indicate what the contribution the community and the county/roads department will make towards the grading of the road. The CDDC should establish links with relevant service providers to address the challenges.



CHAPTER THREE

3. CONTRACTED EXTENSION SERVICES

29. KCSAP will use a Community Driven Development (CDD) approach in extension service delivery and will focus on public private partnership (PPP) through the contracted extension service delivery model and the Agricultural Product Value Chains (APVC). In cases where contracted extension service delivery may not be tenable, public extension service delivery will be applied using the appropriate group approach. The project recognizes that CSA extension service delivery requires a unified approach and will therefore use a consortium of service providers with different skills mix along the agricultural product value chain to respond to beneficiaries felt needs. The consortia will respond to the beneficiaries' complex agricultural, economic, social and ecological demands.

3.1 Selection of Advisory Service Providers

30. The problem statements developed during the PICD process that summarise the CSA problems for each value chain will be used to identify suitable advisory service providers consortia to address the VC challenges as outlined in the following steps: Each consortia will take charge of a value chain in all the 4-6 project wards.

Step 1: A call for Expression of Interest (EoI)

31. A call for expression of interest (EoI) will be prepared by the County Technical Advisory Committee (CTAC) in consultation with CPCU on the basis of the problem statement and advertised in the local/county media outlets to trigger responses from a large pool of prospective service providers' consortia. These outlets include; county notice boards, county website, national project website and local FM radio stations. The EOI advertisement will include a set of problem statements on each of the priority Value Chains within a specific county (*EoI advertisement is detailed in Annex 2*).

32. Prospective advisory service providers' consortia are expected to include; individual professionals from agricultural firms, public extension, private firms, producer organizations, cooperatives, universities, non-governmental organizations (NGO) as

well as faith based organizations (FBO) will be expected to respond to the EOI. However, existing reputable organisation(s) with technical and administrative capacity to provide advisory extension services may be considered for service delivery without necessarily teaming up to form consortia.

Step 2: Evaluation of EOI and Short listing of best three consortia

33. The CTAC will evaluate the submitted EOI responses using the normal government procurement procedures and shortlist three of the most appropriate advisory service providers' consortia/organisation for each value chain.

34. The members of the extension service provider consortia will be expected to meet the following general qualifications and experience

:

- a) Hold a degree, diploma or certificate in agriculture, environment, aquaculture, natural resources management, soil and water management, veterinary science, animal production, animal health, range management or related agricultural and environmental disciplines.
- b) Good communication, interpersonal and persuasive skills.
- c) Skills in problem-solving, critical thinking, team building and team player.
- d) Computer skills or capabilities in information technology.
- e) Ability to form strong networks among institutions and agencies – both public and private.
- f) Sufficient knowledge, skills and ability to promote the enterprises that the beneficiaries have identified.
- g) Ability to comprehend and implement CSA packages in order to disseminate appropriate TIMPs.
- h) Ability to plan, design, implement and evaluate climate smart agricultural sub-projects that deliver triple wins.
- i) Demonstrated professionalism with high level of performance, strong work ethic and commitment to achieving set targets.

Step 3: Terms of Reference (ToR) for proposal development

35. The short listed three consortia firms will be provided with Terms of Reference (ToR) prepared by the County Technical Advisory Committee (CTAC) to guide them in

preparing detailed proposals (See **Annex 3** for sample of ToR and **Annex 4** for proposal format /guidelines). The proposal is expected to explain how they will address the challenges stated in the ‘problem statement’.

Step 4: Selection of the winning consortia

36. The proposals will be submitted to the CPCU for onward transmission to the CTAC. The CTAC will evaluate the proposals (value chain specific) using a set criterion in **Annex 5**. The consortia whose proposal demonstrates the highest capability of effectively addressing the concerns stipulated in the ToR will be selected to provide advisory services.

3.1.1 Sample Proposal from a winning consortium

37. Eco Green is a consortia of professionals providing climate smart agricultural value chain services in Kenya. The firm was competitively selected and contracted to provide Value Chain services in Kwame County on account of providing the best sound and cost effective proposal for addressing challenges facing green grams farmers as outlined in the Problem Statement.

According to the status of green grams value chain posted in the ‘Expression of Interest’ advertisement, the results of value chain analysis carried by the CTAC captured in the ‘problem Statement’ - indicated that, 2,000 farmers are actively involved in the enterprise. Under the current situation where farmland is degraded due to surface runoff compounded by seasonal rainfall variability and low vegetation cover, production is relatively low and averages about 3 bags per acre. However, if the CIG/VMG members undertake appropriate crop rotation, soil care, timely land preparation, planting and weeding, use of certified seeds and proper spacing, yields would increase to 6 bags per acre on average. An average farmer plants green grams on 5 acres per season giving a total production of 15 bags per season per farmer (i.e. 3 bags per acre) instead of 30 bags (i.e. 6 bags per acre) under appropriate TIMPs. 2,000 farmers would therefore realize a gross production of 60,000 bags (2000 farmers x 30 bags) of green grams per season. Further, farmers face huge challenges in post-harvest handling and marketing such that they have been selling their green grams to middle-men at very low price of Ksh 4000 per bag, a price considered far below the break-even price of Ksh5000 per bag. This information was part of an ‘Expression of Interest’ advertisement where the Kwame

County Project Coordination Unit was looking for service providers with the required capacity to provide climate smart solutions to these challenges so as to increase yields. Several individual Kenyan professionals who accessed the EOI advertisement were eager to exploit their professional expertise in line with the requirement for a functional Product Value Chain as required in the EOI. Consequently, the individuals teamed and partnered into a consortium of service providers which they registered in the name of ECO GREEN Ltd. The consortia consisted of 15 professionals in total with four lead experts and 11 grass-root partners namely; an agro-input stockist based in one of the Kwame County towns, an extension planning expert based in an agricultural university, a community development and environment expert based in one of the sub-counties and a marketing expert. They then picked Dr. Alex Mgabe, an extension planning expert as their leader or managing consultant.

Together as a team, they prepared a joint response to the EOI for consideration to offer services for the green grams Value Chain. Luckily they were among the three consortiums shortlisted for the second phase of the selection process. They then received a detailed TOR requesting them to propose the most appropriate interventions to solve the stated challenges. Details of sections of their proposal are provided below:

38. *Technical Proposal response from a shortlisted consortium*

The Coordinator CPCU Kwame, From: Alex Mgabe, MC;
ECO GREEN Ltd
REF: TECHNICAL P

Executive Summary

We would like to thank you most sincerely following your kind consideration of our firm Eco-Green Ltd. to offer services in your county in response to the Expression of Interest advertised in various media outlets. Our firm has studied the status of the green gram Value Chain (GVC) in your TOR very carefully and wishes to be considered to provide GVC services that would address the said challenges using CSA approach (land degradation, agronomical, post-harvest and marketing) facing the farmers in the 4 wards of Kwame County. We believe Eco-Green Ltd. has the prerequisite technical capacity and experience in climate smart green gram development as outlined in our response to the Expression of Interest. The firm will mount interventions at both individual and group level in the 4wards and ensure that CIG/VMG

members attain increase yields from 3 bags to 6 bags per acre. Our firm will in addition link them to markets where they will sell their green grams at Ksh 6000 up from Ksh 4000 they have been receiving. In order to realize this target, and at the same time ensure participation and commitment by CIG/VMG members, our firm will approach interventions at farm level where each member will be expected to invest some money in anticipation of good returns at the close of the season (3-4 months).

This is based on the understanding that Eco green is not a hand out issuing entity and neither the CSA project and therefore the only positive way of realizing RESULTS is to apply a ‘carrot dangling’ approach to the beneficiaries. Our experience is that farmers will always be reluctant to participate in a project if they cannot be able to see what they will get into their pockets at the end of the season.

Applying this approach, for CIG/VMG members to realize 3 additional bags, members will be expected to invest some money in:

- On-farm green grams storage to mitigate against low prices occasioned by seasonal variations
- Purchase average of 100kg of the drought tolerant certified green grams seed
- Use of minimum tillage and whenever you plough, do it early
- Planting before onset of the rains
- Soil and water conservation measures as per our recommendation
- Planting of agro-forestry trees and wind breaks
- Make and apply compost manure
- Ensuring harvesting at the required moisture content
- Apply IPM in pest and disease management, it is cost effective and low health risks
- Additional labour costs as a result of these interventions
- Central collecting and storage facility
- Training on all the above aspects

Accordingly, we have carried out a COST/BENEFIT analysis on the above parameters and formulated a viable household CSA business plan or an ‘Investment Opportunity’ which we intend to disseminate/flag to prospective CIG/VMG members in the 4 wards as outlined in the following paragraphs.

3.2 Pre-Contracting Activities and Formation of CIG

3.2.1 Identification of beneficiaries and Formation of CIGs, VMGs and POs

39. The project beneficiaries will include both existing farmer groups (farmer groups, women groups, youth groups, self-help groups, VMGs) that were identified during the PICD process and have mutual interest in participating in the project and new groups to be formed after the flagging of opportunities. These groups with the guidance of the SPs will be realigned to priority Value chains objectives and KCSAP key performance indicators in the delivery of triple wins (Increased Productivity, Building resilience and Reduced GHG emissions).

Formation of CIGs, VMGs and POs

The following steps will lead to formation of new CIGs

Step1: Formalizing the conceptualised enterprise specific climate-smart Agriculture investment opportunities.

40. The SP consortia will formulate enterprise specific climate-smart Agriculture investment opportunities. This will entail cost-benefit analysis to assess economic viability while mainstreaming interventions that will lead to triple wins in the investment opportunity. Among others the concept should have a precise problem statement, clear and SMART vision/objective, proposed interventions, projected SMART results from the interventions.

Step2: Review of the formulated opportunity

41. The SP in collaboration with CPCU will organize county professional group meeting to review and enrich the proposal. Members will also develop promotion of opportunity materials e.g. posters. The information in the promotion of opportunities poster would include:

- Name of VC and enterprise being promoted
- Cost of inputs that a farmer/pastoralist would incur in order to realize the intended benefits such as increase in productivity
- Proposed interventions by the SP consortia on various aspects of the VC/enterprise
- Gross margin analysis of investing in the VC/enterprise

The poster or promotion materials should be eye catching demonstrating the expected benefits, cost or expected farmer's (investor) inputs e.g. farm inputs, number training days, activities to be implementation for one to accrue the envisaged benefits, the enlisting of interests baraza, date and venue (zonal), further information contacts of principal SP provided.

Step3: Flagging of the opportunity (FoO).

42. The objective of this awareness creation or flagging of CSA opportunities is basically to trigger the prospective members of CIGs/VMGs to demand services by sensitizing and empowering them to make independent decisions committing them to investment and implement appropriate TIMPs. The promotion of opportunity posters for various enterprise i.e. CSA (crops, livestock, or Natural resource e.g. fish, trees) will be placed strategically (public social places, collection centres, junctions, public notice boards etc.) Farmers wishing to seek clarification will be free to contact the SP since mobile telephone contacts will form part of the poster information.

Example of flagging the green grams farming Business Opportunity in Kwame County

43. The promotion of the opportunities poster will detail the following:

Farmers have been earning Ksh 4000 per bag by selling their green grams through middle-men. For increased yields, a farmer must invest in, CA planter, certified seed, cell-phone to receive agro-weather and market information, green grams drying, marketing and other CSA interventions. To ensure competitive produce, invest in storage for strategic market timing, and other associated costs such as insecticides. Ksh 50,000 for a store, and other costs related to inputs amounting to a further Ksh 50,000. The total amount required to invest in the green grams production opportunity is Ksh. 100,000

An average farmer plants 5 acres per season and gets 15 bags at 3 bags per acre.

Earnings before Eco-green intervention	$15 \times 4000 = \text{Ksh } 60,000$
Expected earnings after Eco-green intervention	$30 \times 6000 = \text{Ksh } 180,000$
Additional earnings during year 1 (store constructed)	$(180,000 - 60,000) = \text{Ksh } 120,000$
Additional earnings in subsequent years attributable to Eco-green intervention	$(180,000 - 60,000) = \text{Ksh } 120,000$

44. Given the chance, Eco-green will assemble this investment information in appropriate

leaflets and posters and flag them in the entire green grams growing 4 wards through an arrangement in which the office has committed to fund. Existing groups and individuals interested in the investment will be enlisted as members of the Green grams Common Interest groups at the zone level. Eco-green will undertake to train the CIGs/VMGs on organizational and group dynamics for better results.

Step 4: Enlisting of interest.

45. The CPCU will liaise with all participants, community leadership and schedule zone barazas within two weeks after placing the posters or any other promotion materials at strategic points within the zone. During these barazas that will be held in each zone, the SPs will have an opportunity to promote and elaborate on the content of their CSA opportunity posters. Both existing groups as well other interested farmers interested in the flagged opportunities will register as beneficiaries or CIG members of a specific value chain. Each CIG will have a membership of 20-30 beneficiaries who pay annual membership fee along their priority VCs. More than one CIG focusing on a specific enterprise may be formed within one zone to ensure inclusivity and appropriate access to service provision by the SPs. In the case of existing groups interested and committed to participating in the project, the SPs will evaluate them and assist them to realign their activities to the flagged opportunities or join the newly formed CIGs as special groups.
46. The CPCU will also schedule a special baraza for the vulnerable and marginalized members of the communities identified during the PICD process. During these barazas, the SPs in collaboration with the department of social services will align the flagged opportunities to the needs and priorities of the VMGs. Where VMGs do not exist, the vulnerable and marginalized individuals will be facilitated to form such groups that may target either a single category or multiple categories of VMGs to achieve the threshold of 20-30 members. The VMG sub-group will also be eligible for a special grant from the project to support their course.

Step 4: Formalization of CIGs/POs/VMG:

47. All CIGs/VMGs with the help of SP consortia and the CPCU will develop a constitution and register with the department of social services within one month of their formation.

All CIG members will be required to pay a membership fee as stipulated in their constitution. The SP will also encourage all the targeted groups to engage in savings and loan initiatives or table banking in order to help them improve their socioeconomic welfare.

Step 5: Election of leaders

48. Each enlisted group (CIG/POs/VMGs) will hold democratic elections of its leadership comprising three committees (Executive, Procurement and Social Accountability and Integrity -SAIC). Each of these committees will have three members (chair, secretary and treasurer). The constitutionally recognized one third gender rule will be adhered to during the elections. The leadership of the CIG/VMG comprising Chair, Secretary and Treasurer will be the basic community institution. All these committees from the various groups within a given value chain will hold elections progressively from the zonal, ward and county levels to ensure representation at each level. Gender and VMG representation must be adhered to during all these elections.
49. For the case of the executive committee members under a specific VC, they will convene at the ward level and from amongst themselves elect a ward VC (e.g. dairy) executive committee comprising of Chair-Person, Secretary and Treasurer. For the NEDI villages/ Manyatta will equally conduct similar elections. Further various VC executives in a specific value chain will form a ward value chain committee that will focus on the overall ward value chain development. The ward VC reps will also be required to meet at ward level to elect members to CDDC.
50. CIG/VMG leaderships both from the existing and newly formed groups will elect five representatives to the CDDC to join the eight ward planning committee members elected by communities at zonal level to form a 13-member ward Community Driven Development Committee (CDDC). This is an important committee that will spearhead emerging CSA ward investment micro/sub-projects on behalf of the community and link the Micro/sub-projects with other service providers even long after the programme has been wound up from the ward. Prior to electing the office bearers, the CDDC will be trained for 2 days. The training will focus mainly on leadership, democracy and governance; transparency and accountability; the nature of the extension agenda, its

purpose, goal and objectives; cross cutting issues and their roles. On the second day, the CDDC will elect executive officials (Chair, Secretary and Treasurer) from among themselves, taking into account the third gender rule. It is important that these officials are elected after everyone has understood the roles of the executive so that those elected measure up to the task. CDDC is only a development steering entity and that individual members could also be members of various CIGs formed in the ward. Once the CDDC is formed, it will undertake the following activities;

- (i) Formulating a constitution in line with the value chain and register with the Department of Social Services or Commissioner of Co-operatives;
- (ii) Establish sub-committees (procurement and social accountability and integrity) to assist it in its oversight role.

NB: The sub-committees will constitute membership of three to five persons who are CDDC members but non-executive (i.e. not grant signatories for the purpose of instilling checks and balances). The CDDC will meet at least four times per year.

The role of the CDDC will be:

- i) Coordination, planning and design of community micro-projects;
- ii) Screening/prioritization of micro-project proposals;
- iii) Oversee implementation of micro-projects;
- iv) Procurement and financial management;
- v) Oversight of operations and maintenance;
- vi) Participatory monitoring, evaluation and reporting to stakeholders at the community level as well as the CPCU;
- vii) Continuous mobilization of community members into CIGs, VMGs and POs;
- viii) Conflict resolution and management at CIG, VMG and PO levels;
- ix) Spearheading development of their respective VCs and micro-projects;

51. All ward Executive Members from specific value chains will then elect two ward representatives (male and Female) to the **County Value Chain Development Group**

(CVCDG). The CVCDG will meet at county level and elect members to **County Value Chain Development Committee (CVCDC)** that will manage their value chain extension service provision grants. The same process will apply for the Procurement and SAIC Committees

Step 6: Capacity building the leadership.

52. Capacity building will focus on CIG/VMGs, CDDCs, POs, Co-operatives based on VC-specific micro-projects, planning, implementation, and monitoring; fiduciary aspects (community procurement and financial management); gender and social inclusion, safeguards compliance (using environmental and social safeguards checklists, and grievance handling mechanisms); and business management skills (enterprise planning, value addition, access to markets and rural finance).
53. Prior to signing of the service delivery contracts, the selected service provider consortia will be trained by NPCU/KALRO/KMD on elements of CSA, KCSAP objectives, components, operations and relevant TIMPs that address CSA challenges. KALRO in collaboration with NPCU, KMD and CPCU will through a write-shop prepare handbooks for each selected VC to ensure standardization of extension and VC development across project counties. Once adequately exposed to the project, the selected SP consortia in collaboration with sub-CTAC and the CPCU will flag/create awareness among community members on the potential CSA opportunities/VC that would increase productivity, enhance resilience to climate risks and reduce greenhouse gas emissions.

3.2.2 Formulation of Value Chain based Enterprise Development Plans

54. The objective of an Enterprise Development Plan (EDP) is to provide a roadmap for community members towards achieving the outputs indicated in the promotion of opportunities. An EDP preparation process is about planning and budgeting for the grant fund to support service provision. The process empowers the community members to manage and monitor the application of their grant funds.
55. EDPs will be prepared in participatory EDP planning workshops organized by the CPCU, facilitated by SP consortia and attended by sub-CTAC members, CDDC and three members from each CIG in the ward. The workshop will be conducted at the county level.

The process will entail; i) Identification of the extension service needs, interventions to be undertaken and funds required to undertake the interventions e.g. using a detailed VC analysis approach ii) Integration of monitorable indicators into the EDP for purposes of transparency and accountability and to ensure proper utilization of the grant resources iii) Identification of means of verifying project/EDP accomplishments iv) Defining resources (budget) and stakeholders required for implementation v) Demonstrating the product value-chain continuum including marketing, distribution, value addition vi) Incorporating gender, environmental and social safeguards considerations, democracy and rights; VMGs/IPs, HIV and AIDs will add the much needed weight in the competitive process, vii) Providing enterprise vision in terms of the economic contribution it will make to the wellbeing of the beneficiaries, viii) Identification of training and demonstration materials that will be required for the identified TIMPs and SLM activities, ix) Linkage to input and output markets, x) Information sources, xi) Learning tours and xii) Access to credit facilities xiii) Research issues xiv) Agro-weather and market information advisories xv) Land-scape management requirements xvi) Environmental and social safe guard interventions and mainstreaming of gender/social concerns and xvii) Group dynamics xviii) Required budget including community contribution in terms of cash. This will serve as the criteria for vetting the EDPs.

56. Collaboration with other stakeholders in particular the county's department of health will be crucial in order to identify the nutritional gaps for the under-fives, the existing efforts to address the same and create synergy. This shall further entail interrogating available data especially department of health with a view to mirror on prioritized interventions which can create the desired impact across different environmental set ups. Consolidating gains and focusing on emerging nutritional concerns in dietary needs will offer an opportunity to zero in on what will be practical to blend and implement. The project will also adopt the nutritional assessment tools.

57. Typical interventions that address nutrition will include; a) *Consumption pathways*, which promote traditional nutrient-dense crops and small livestock raising through home- and school-based gardening (kitchen garden, multi-story kitchen gardens, fruit trees, indigenous vegetables, poultry /bee/rabbit keeping and aquaculture), value addition of crops and livestock products; b) *Income pathways*, which promote home-based food processing, storage, and preservation to retain nutritional value, increase shelf-life, and

ensure food safety; while at the same time reducing seasonality of food insecurity and post-harvest losses; and (c) *Women's empowerment pathways*, which facilitate women's participation in on- and off-farm activities by promoting labour-saving technologies and rural credit schemes.

58. Value chain entails the full range of activities which are required to bring a product or service from conception, through the different phases of production (involving a combination of physical transformation and the input of various producer services), delivery to final customers, and final disposal after use. The chain actors who actually transact a particular product as it moves through the value chain include input (e.g. seed suppliers), farmers, traders, processors, transporters, wholesalers, retailers and final consumers. Therefore to identify opportunities to improve the performance of chains of businesses that produce food and deliver it to consumers a value chain analysis will be undertaken for all the enterprises selected by the county prior to finalization of enterprise development plans (EDPs). The analysis may require support of a multidisciplinary team of value chain players led by one of the subject matter specialists from public or private sector knowledgeable in this field of Agricultural value chain approach. The Participatory EDP workshop will be done in 2 to 3 days in a workshop organized by CPCU.

Value chain analysis will entail the following six steps outlined below:

Step 1: Drawing a value chain map

Step 2: Putting real and accurate information into the map

Step 3: Identifying the services each actor provides and returns received for these services

Step 4: Assessing the market

Step 5: Assessing strengths and weaknesses for all actors along the chain and ways to capitalise on strengths and minimise weaknesses

Step 6: Developing a plan to improve the value chain

3.2.3. Participatory EDP Planning Workshop

59. **Participants:** The participants in the workshop will include; three officials from each CIG/PO/VMG and sub-CTAC. Each CIG will nominate three representatives to the workshop who are capable of articulating issues and be able to share workshop outcomes with the rest of the farmers/pastoralists that they are representing.

60. **Facilitator:** The service provider consortia that formulated flagged the opportunity and managed to attract existing groups or enlist members into CIG/VMG groups. The CPCU will be the convener and moderator of the process.

Venue : A venue convenient to participants coming from the wards.

Objective : Will clearly be explained to the participants to enable them to contribute effectively.

Each member will be expected to participate actively in identifying the appropriate TIMPs and VC needs, activities to be undertaken and the amount of money required to undertake these activities. The service provider will then harmonize the ward plans into a county plan. Possibilities for producing sufficient volumes for post-production interventions will be considered and addressed during the EDP planning Workshop. Where critical volumes to warrant post-production support are not likely to be achieved, the EDP will only address interventions that enhance triple wins. The cost of the participatory planning workshop will be catered for in the CPCU operational budget under the community planning item.

3.2.4 Ratification of the EDP

EDPs will be reviewed by the CIG, sub-CTAC and the CPCU for ratification by CTAC. Review will be carried out at different levels as explained below

- a) **CIG/PO/VMG level:** This is to ensure that every member of the groups is fully aware of the growth plan in terms of the services they expect to get from the SP Consortia Firm. This appraisal will be carried-out by the group members themselves. The group representatives to the Participatory Planning Workshop (PPW) will explain the outcome to the rest of the group members using the PPW proceedings.
- b) **Sub-county level:** Sub-CTAC together with other subject matter specialists from the project executing agencies will examine the EDP/micro-project proposals in terms of professionalism, budgeting, scheduling of activities and in meeting the set criteria including the environmental and social safeguards screening reports. Any revisions to be made on the EDPs will be communicated to the SP consortia immediately. A review report will be attached to the EDP and submitted to the CPCU for onwards transmission to the CTAC for ratification and recommendation for approval by the CPSC.

- c) **County Level:** The CTAC will conduct the final vetting and make recommendations to the CPSC for approval. This stage is more or less a ratification of the EDPs. Once approved, all the EDPs constitute part of the CPCU work plan and budget for a particular financial year.

3.2.5 Evaluation of EDPs

61. The EDP appraised process will be conducted by a team of professionals with a thorough grasp of issues that define CSA, SLM, crop, natural resources and livestock issues. Specifically they will have the following requirements:
- a) Practical experience in the principles and application of community participatory planning techniques and in particular community proposal development for funding; TIMPs, SLM, Value Chain Approach; Environmental and Social Safeguards and gender issues.
 - b) Well versed in functional M&E systems in particular the application of the Logical Framework Approach in design of simple projects.
 - c) Outgoing in keeping abreast with the latest developments in crop and/or animal industry and also CSA, climate change, SLM in the context of the ASDS and Vision 2030.
 - d) Mainstreaming of Environment and social safeguards in the overall implementation such screening, IPM management plan, Environmental management plan and avoidance of involuntary resettlement as much as practical, social inclusivity (gender, VMGs and IPs where applicable) and sensitivity to physical cultural resources.

The CPCU will compile a report designed to capture indicators of interest to KCSAP with respect to the entire EDP development at each appraisal level. The report will indicate the status of the CIG/PO/VMG formation, distribution and EDP development in the wards including service provider consortia who failed to form any groups. This will help the CPCU in accounting for resources expended in the whole process. Key attributes of the report are indicated in the table 2 below and will be attached to the approved EDPs.

Table 2: Status Report on CIG Formation, EDP Development and Vetting Process: (The vetting Report)

Value of EDP - Ksh	CIGs /PO/VMG membership	Name of CIG/ PO/VMG	Name of Service Provider	EDP reference number	Location
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3.2.6 Allocation of Contract Fee For various value chains

62. The funds allocated for contracted advisory services will depend on the annual budgetary provisions. However, at the County level, allocation to specific value chains will be done by CTAC immediately the problem statement is finalized. Allocation of funds to various value chains will take the following into account:

- Number of planned activities to be undertaken by the SP consortium,
- Number of CIG/PO/VMGs and VC enterprises under the jurisdiction of a SP consortium,
- Targeted Membership
- Vastness and accessibility of area to be covered,
- Cost benefit analysis or value for money for service delivery (expected returns to investment).
- **3.3 Participatory Contracting Workshops (PCWs) & Roles of Service Providers**

63. The objective of the Participatory Contracting Workshops (PCWs) is to enable the beneficiaries to negotiate with their Service Provider Consortia and agree on the terms and signing of extension service delivery contracts. The PCW will be conducted at the County level. They will be organized by the CPCU who will moderate the negotiations between the County Value Chain Development Committee (CVCDG) acting on behalf of the beneficiary communities and the SP consortia. All CVCDG members will also participate in the negotiations.

The negotiations will focus on;

- a) Services to be offered by SP consortia based on the EDP;
- b) Setting targets to be achieved by beneficiaries;
- c) Payment benchmark that must be achieved by SP consortia in order to qualify for payment.

The objective of the workshop will be to:

- a) Set milestones/targets to be achieved by the SP to inform the contract benchmarks upon which payment of contract fee tranches will be pegged. Other than increase in VC productivity and other measurable outputs, the benchmarks will also recognize the efforts of the SP consortia in the identification and mobilization of beneficiaries to form groups as well as their efforts in preparing for the participatory planning workshops.
- b) Develop schedule of training for the CIG members

64. These milestones will therefore form the terms of contract between the County Value Chain Development Group (CVCDG) on behalf of CIG/PO/VMG members and the service provider consortia (**Annex 7**). The amount of contract fee to be paid to the SP consortium upon achieving a set milestone/target and will take into account the workload and remunerate the consortia accordingly. The role of the service provider consortia will be redefined from being an instructor to a facilitator, as farmers' take a lead in determining their destiny.
65. For the NEDI Counties where the private service provider consortia may not be available, the public sector officers will be trained and facilitated in terms of transport and lunches to provide advisory services in line with the NASEP. Areas of intervention will be identified through the mobilization process articulated above and benchmarks to be achieved by the public extension agents will be set in a participatory sitting attended by the CVCDG representatives in the same way as that for service provider consortia. However for inter-county sub projects, the participating counties will be required to form joint committees and draw participation agreements, which will clearly stipulate; responsibilities, timelines and contributions. All the projects will adhere to the project Social and Environmental Safeguard policies.
66. A service provider consortia will be a legal firm/entity of advisory service providers owned and registered by value chain specialists in the areas of sustainable land management, conservation agriculture, dry land farming, agro pastoral and pastoral systems, marketing, livestock/crop/fish husbandry, community development, value addition among other related fields. It is comprised of Principal Partners (PP) as the

managers and innovators and the grass root partners (GRP) as the foot soldiers. ALL members of the consortia will participate in:

- a) Jointly drawing their constitutions or memorandum of understanding between the principal partners and the grass-root partners in respect of management, fund raising, sharing of the contract fees and the application of the training and demonstration resources facility from the project. The constitution will clearly articulate the terms of engagements between the Principal Partners and the Grass-root partners in order to forestall conflicts that may arise especially from unfair sharing of tasks and the contract fees.
- b) Drawing up the intervention roadmap to ensure a shared vision by all consortia members
- c) The contracting workshop (represented by selected PP and GRP)
- d) Contract signing with the CVCDC on behalf of the beneficiaries
- e) Scheduling of the interventions articulated in the Enterprise Development Plans-EDPs and micro-projects with the beneficiaries
- f) Preparation of the Training & Demonstration facilitative budgets – The consortia may not be able to meet the costs of Training & Demonstrations requirements and therefore the project will provide a separate fund for this purpose. The funds to procure demonstrations inputs will managed by CPCU.
- g) Hold regular meetings to review progress and assess the status of payment benchmarks.
- h) From the foregoing, it is explicit that GRPs are part and parcel of the consortia and will be incorporated/ involved in all stages right from consortia formation, registration, planning, and implementation, and evaluation process.

Roles and responsibilities of the advisory service providers Consortia

- a) The selected service providers' consortia will sign a Contract Agreement with the CVCDC on behalf of the beneficiaries and implement activities as stipulated in the Contract Agreement. The roles and responsibilities of the consortia will include but not limited to:
- b) Helping the beneficiaries to identify problems/opportunities, analyse them and

- develop the strategies to overcome the problems or exploit the opportunities;
- c) Support group formation and facilitate individual and collective action;
 - d) Prepare with the input of beneficiaries, a work plan and budget to facilitate the implementation of agreed activities;
 - e) Facilitate the beneficiaries on micro-project planning and implementation.
 - f) Provide information, knowledge and skills regarding TIMPs on sustainable land management crop/livestock/fish husbandry and management, diversification options, farm business operation and other relevant CSA packages.
 - g) Train beneficiaries on data capture and aggregation at individual farmer level/ individual farmer inventory i.e., FORM F
 - h) Hold demonstrations, on-farm trials, and field days with the aim of speeding farmers' adoption of measures that enhance their productivity and welfare.
 - i) Create awareness to beneficiaries on the availability of market information
 - j) Provide information on agro weather and market advisories
 - k) Link farmers to research, markets and credit facilities
 - l) Ensure all interventions comply with social and environmental safeguards
 - m) Ensure beneficiaries access disclosures on resources allocated to them;
 - n) Draw the attention of beneficiaries to relevant agricultural programs on radio and other media for their benefit
 - o) Establish and maintain relationships with the relevant stakeholders involved in agricultural and rural development to ensure optimum efficiency, effectiveness and economy
 - p) In collaboration with the CPCU provide the beneficiaries with extension/advisory materials e.g. leaflets, booklets.
 - q) Create awareness among beneficiaries on the importance and use of the project suggestion/complaints and grievances handling mechanisms
 - r) Create awareness and promote gender equity, environmental conservation, and prevention and control of HIV/AIDS

- s) Solicit for feedback on the development interventions promoted, and
- t) Regular supervision and backstopping of the GRPs by the Principal partners
- u) Prepare timely technical reports

3.4 Integrating Post-Production activities in the EDP

67. The service providers will guide the CIG members to integrate post-production requirements into the EDPs where necessary. Data on performance of the enterprise is a critical requirement for integrating post production activities in the EDP.

See the example of Mr. Gitau below:

68. During the first year of the KCSAP interventions, a service provider - Mr Gitau identified and promoted sorghum production as an opportunity. According to the information he used to flag sorghum as an opportunity to potential beneficiaries, a farmer could increase his sorghum yield from 5 bags per acre to eight (8) bags per acre in one year. This increase in yield attracted 30 farmers spread out in all the four zones in the ward to join the sorghum CIG. Subsequently, the CIG with guidance of Mr. Gitau developed an EDP with a budget of Ksh 20,000 as the cost of advisory service provision through a well laid EDP activity implementation schedule. The quarterly EDP progress reports indicated that the CIG members had been very enthusiastic; they attended and translated all the trainings into action on their individual farms and managed to plant 40 acres of sorghum. As a result, they harvested 240 bags up from the previous 150 bags of per year.

Example of a Post-Production EDP Proposal is provided below

69. Mr Gitau together with the CIG committee established that a huge market for sorghum products existed in Nairobi and the farmers could earn 40% more if they sold their produce as sorghum flour instead of sorghum grain. Taking advantage of the value chain opportunity, Mr. Gitau assisted the CIG members to draw an EDP proposal which integrated value addition activities including procurement of four sorghum grinding machines in the second year of the project.

70. The important facts to establish during value addition proposal formulation include establishment of:

- i. Production data from CIG inventories to justify value addition;

- ii. Costs of capital investments such as the four grinding machines for sorghum. For example each sorghum grinding machine would cost Ksh 30,000 for each CWG; transportation cost for inputs and outputs;
- iii. Cost of service provision to service provider during the demonstrations on appropriate CSA TIMPs, and SLM interventions;
- iv. Cost of branding and packaging the final products e.g. sorghum flour as well as other small overhead costs such as travelling.
- v. The formulation of a value addition proposal will be done in a participatory manner applying the logical PPW steps followed in the formulation of general EDPs. The process must be based on real data/facts and not guess work. The proposal could include capacity building on business/marketing skills, access/acquisition of certain technologies, processing equipment for value addition among others which must be budgeted for. The grants will only be provided after the individual members have indicated commitment to the enterprise development by undertaking activities on their individual capacities.

Sustainability

71. All EDP proposals will demonstrate sustainability beyond the project period. All CIGs will establish a group managed revolving fund from which individual members of the CIG can borrow credit. CIGs/VMGs will be encouraged to: (i) start table banking for its members; (ii) The SP consortia will facilitate CIGs/VMGs with insufficient produce volumes to federate into producer organizations (POs) and cooperatives in order to exploit economies of scale and improve their access to production technologies, markets and financial services as well as to add value to their produce. (iii), CIGs, VMGs and POs will partner with SACCOs and develop tailor made CSA financial products to enhance savings and credits for VMGs and CIGs. Whenever feasible POs, VMGs and CIGs will be encouraged to form SACCOs. Such sustainability mechanisms will be integrated in all the EDP proposals where applicable. In instances where CIGs get support from elsewhere, the proposals will indicate other sources of funding and the level of support received including the activities supported. The proposal will also indicate why additional funding is required.

3.5 Implementing the EDPs

72. During the preparatory activities in readiness to start of EDP implementation the CIG/VMG/POs officials under the guidance of the service provider and Ward extension officer will complete the Integrated Pest Management (IPM) screening checklist (see **Annex 12b**) for onward transmission to CPCU Coordinator for the county NEMA Director's recommendation. The contracted consortia will then come up with an Integrated Pest Management plan (IPMP) especially for those enterprises using substantial pesticides e.g Irish potatoes, Tomatoes, Pigeon Peas etc. The plan among others will articulate common diseases and pest; control measures indicating time frame (timely control and pre & post-harvest interval) where applicable pesticides recommended to be used (active ingredient); other appropriate management practices and innovations i.e. biological methods, Indigenous Traditional Knowledge (ITK) , physical and organic methods. Training and demonstrations schedules on Safe use of pesticides, important livestock diseases and parasite specific to the area/county of jurisdiction. Implementation of the IPMP will lead to compliance with the OP/PB 4.09 Environmental Safeguard on Pest Management. For more details on IPM see the IPM framework KCSAP website.

All the managerial and technical intervention activities will be documented not only for transparency and accountability but also for evaluation purposes. Documentation guidelines for extension managers, financing agents and CIG managements are highlighted below and elaborated further in the KCSAP M&E manual.

3.5.1 CIG/VMG/POs Inventory

73. Each service provider will keep records of all the activities carried out by the CIG/VMG/POs i.e. the group development process. Training will take place at group level but enterprise development, SLM and TIMPs implementation will be done at individual farm level. Documentation will start by enlisting and numbering all the members based on zones. Each farmer will have a column to capture the status of the enterprise before the start of interventions (EDP trainings), followed by the progressive achievements made. This will ensure that the service provider has a grip on all his/her CIG/VMG/POs members. But, in a situation where members are undertaking a joint activity (e.g. sustainable landscape management, collection centre, community forest, stream/river bank protection, group seed bulking/nursery) on a common site, the entry will be

recorded last in the inventory. The details of such an activity will be captured elsewhere in a group project file. The CIG inventory will form the basis for reporting on the CIG. Note that each CIG/VMG/PO enterprise will have its own development parameters. The NPCU M&E unit will develop and distribute a checklist of the probable CIGs/VMG/PO and the associated developmental indicators for uniformity in reporting such that a bee-keeping CIG in Kacheliba –West Pokot is reported the same way with a bee-keeping CIG in Ronge-juu – Taita

3.5.2 Enterprise Performance Indicators (EPIs)

74. Every enterprise will have its own performance indicators. The indicators are the yardsticks for measuring progressive enterprise performance, For example in an apiary enterprise the indicators will be: stipulated TIMPs, Number of Local hives, Number of KTBH hives, Number of Lang troth Hives, Volume of Raw Honey produced and the level of income; besides number of trees planted as a support/sustainability initiative (Table 3).
75. A poultry enterprise would have: Agreed TIMPs; Population of chicken, Mortality rates (measure of vaccination intervention), new population of chickens, and weight of chicken at desired marketable age.
76. The performance indicators for the short season crops enterprises will be: SLM, TIMPs, acreage, yields and incomes (profitability).Table 4

3.5.3 Application of Enterprise Indicators in tracking enterprise performance

77. These will be used in tracking the enterprise performance. Baseline data for feeding into EPIs will be collected in every farm before the start of EDP implementation. The service provider will be required to regularly take stock of these EPIs and report progress in the quarterly EDP progress reports.

Table 3: Illustration of EPIs reporting in an apiary

Enterprise Performance Indicators (Apiary)	Level of EPI before start of EDP Interventions	Level of EPI after some stage in EDP Interventions
TIMP (Agro forestry)		
No. of local hives		
No. of KTBH hives		
No. of Langstroth hives		
Raw honey Harvest		
Species of trees planted		
Species of trees planted		

Table 4: Illustration of EPIs reporting in a crop enterprise

Level of EPI after some stage in EDP Interventions	Level of EPI Before start of EDP Interventions	Enterprise Performance Indicators (Short season Crop)
3	1.5	Acreage
2500	20	Number of plants
7	2bags/acre	Harvests (yields)
		Price (state, when, farm gate or market and which market)
		Variable cost (to be articulated by SP)

78. NPCU M&E will harmonize the EPIs enterprise specific for project wide application. This will aid in the aggregation of reports at different levels.

Table 5: Example of a CIG inventory: bee keeping CIG (zone 3) – Kibiyet Ward- West Pokot-Sheet A

1	Name of Farmer	Farm Size	Existing situation	Progress made since CIG formation
2	Peter Nkulima	2 acres	Nothing	Bought 1 KTBH, not mounted, planted 200 <i>Prunus Africana</i>
3	James Mteja	3 acres	1 local beehive	Bought and mounted 4 KTBH in May 2010' two occupied by end of Dec; planted 270 <i>Acacia</i> sp; CoD-7M
4	John Mak'Oyoo	5 acres	Nothing	Bought and mounted 2 Langstroth hives both occupied, planted 300 <i>crotonia</i> sp; 20M of terraces done
5	Kiplel Joseph	17 acres	4 local Beehive	Bought 3 KTBH hives, not mounted; planted 450 <i>crotonia</i> and <i>acacia</i> sp
6	Muthini Njoka	20 acres	Nothing	Nothing

Generation of a report from above CIG inventory would for example take into the following (see table 6):

Table 6: Generation of a report from above CIG inventory

No. of farmers in the CWG = 8 (7 males, 1 female)
Number of farmers who practiced bee keeping before = 3: (5 local hives on two farms and one farmer with 2 KTBH hives)
Number of farmers who have taken up by end of December = 7
Total number of hives bought = 18 (11 KTBH, 4 Langstroth, and 3 local hives) Hives mounted = 14
Hives occupied = 7 (3 KTBH and 4 Langstroth)
No of indigenous trees planted=2670; by 20 farmers
4 acres conserved in 3 farms

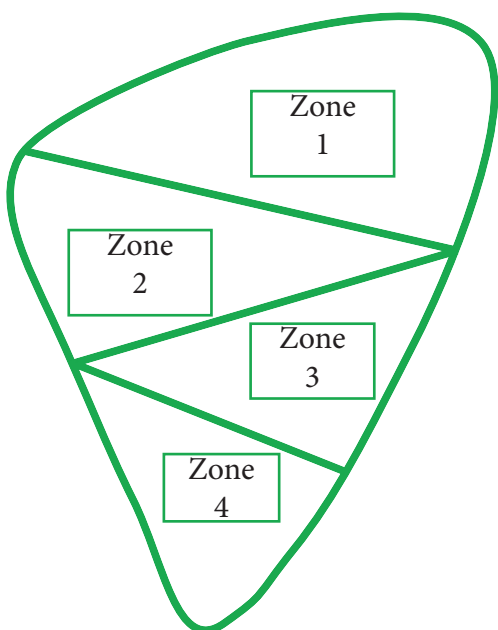
79. The reporting format for the bee keeping CIG should be designed to capture these reporting indicators. The CIGs should be able to utilize the inventory in carrying out own participatory monitoring to evaluate the progress made and to be able to chart the way forward.

3.5.4 CIG Inventory as a database for outcome and impact assessment

80. The inclusion of the existing situation of an enterprise in the CIG inventory is meant to lay a benchmark on where to gauge the level of interventions thereafter. This will be a reliable and an appropriate database for not only the outcome/impact assessment but also for the participatory monitoring and evaluation and for routine monitoring on officer/ service Provider performance (Table 5).

3.5.5 CIG Distribution Map (CDM)

Project Area	Sinendet
Ward	Kapenguria
County	West Pokot
Name of SP	Hyper Techs-Private
Name of C.I.G	Bee Keeping



Zone	CIG	No. of Members
	A	30
	B, C	27; 29
	D	29
	E,F,H	30, 26, 30

Figure 2: Sample Map

81. The service provider will summarize his/her work in the project area in a CIG distribution map as illustrated in Figure 2. A CDM shows the type of enterprise based CIGs, their distribution in the Ward in form of Groups and the membership in each working group

3.6 Monitoring of EDP Implementation

82. Extension is a huge public investment in terms of resource mobilization and it is imperative the intervention justifies its worthiness by demonstrating impact on people's livelihoods both in the medium and long term. The design of the KCSAP accordingly lays emphasis on putting in place an effective and functioning monitoring and evaluation system that will guide the day to day management of the project.

3.6.1 Tools for M&E

83. The following tools will be used to promote transparency and accountability, effectiveness and efficiency in the application, utilization and accounting for the EDP grants.

a) Approved Enterprise Development Plan.

This tool will be used to monitor advisory services delivery. It is to demonstrate that the EDP was professionally vetted. The CTAC and the CIG will keep copies of the approved EDP.

b) Enterprise Activity Implementation Schedule (EAIS).

This is a summarized timetable chart, extracted by the service provider from the EDP document for the purposes of quick reference by various stakeholders as detailed in Table 7). It will capture the following columns:

- EDP Activity Number (EAN)
- Activity –could be a training topic or even purchase as per the main EDP – every activity should have originated from the main EDP document.
- Facilitator (who to take action)
- Budget allocation on each activity (as per the main EDP)
- Dates and Time of taking action in the different zones.

84. The EAIS document will be vetted to ensure the following:

- a) That SEQUENCE of and TIMING of activities follows the characteristics of the enterprise it is addressing - because EDP trainings are not theoretical but practical in that farmers are expected to immediately apply what they learn on their farms. This means for instance, if it is training on spraying, the training is scheduled to take place when all the CIG members are having the crop on their farms.



- b) There are no repetitions/duplications of activities
- c) There is a logical sequencing of activities
- d) There are no duplication of budgets
- e) There are no exaggerations of budgets
- f) The plurality of service delivery is well taken care of.
- g) That every facilitator in the EAIS is indicated by name and where she/he comes from i.e., there are no anonymous payees

85. EAIS will be a one-page document to specifically serve as:

- a) A work-programme for the service provider
- b) A management and monitoring tool for the sub county/county Implementation managers and the heads of departments or public extension agents. The public extension agents avail copies of their EAIS to their respective departmental heads.
- c) A training timetable for the CIGs/VMGs/POs.

NB: EAIS is an accounting document that will be used by CIGs/VMGs/POs and the CVCDG to certify service delivery for purposes of paying contract fee. . Any payments made which are not in tandem with the EAIS will be considered erroneous.

Table 7: EDP Activity – Implementation Schedule (EIAS)

County: Kwame			Consortia: Eco-green					
Ward: Chogo			Affiliation: Private					
Year: 2018/19			EDP project No 681					
Name of CIG: Kiraro Bee Keeping			CIG Membership 30					
A	B	C	D	E	F			
WRN	PLANNED ACTIVITY	Costs	BUDGET	FACILITATOR	Zone A	Zone B	Zone C	Zone D
			(Details in main EDP)	Who to DO				
1	Purchase of training materials & Stationery	15,500	15,500	Proc. Sub com	2.8.18			
2	EDP review, adoption and rescheduling			Kiptoo	6.8.18			

3	Training on bee keeping as a			Kiptoo	23.8.18	24.8.18	25.8.18	26.8.18
	Business planning				9.00 am	9.00am	2.00pm	9.00am
4	Sourcing, procurement and delivery of demo materials	Transport for 4 to Kayuu	1,600	Jepleting Proc. Sub com	26.8.10			
	4 complete Lang troth hives @4200	12600	12,600					
	1 extra supers @1700	5000	5,000					
	1cleaver boards @600	1800	1,800					
	4 roll barbed wire @2350	7050	7,050					
	½ kg grease @300	800	900					
	Nails 2” 4” @ 100kg	500	600					
	Complete bee kit @6500	13000	13,000					
	4 refining nets @300/zone	1200	1,200					
	4 wax refining bag @230	920	920					

Notes on the EAIS columns

86. An EAIS summarizes EDP activities articulating budget, facilitator, and schedule. It is a quick/simple management reference (when making payments) and a time-table for the EDP trainings. It is a tool that enhances transparency, accountability in management and Implementation of the EDP work-plans.

Column A: EDP This Work-plan Row Number (WRN) will be quoted in all payments/ accounting documents for a payment to get approval from the Paying Authority

Column B: *The Activity: Could be training, demonstration or a purchase - the details of which are as indicated in the main EDP. The activities will be arranged in a logical sequence according to the Enterprise Development and Natural Characteristics.*

Purchases will be made according to the laid-down guidelines.

Column C: *Unit cost*

Column D: *The Budget - This is the total allocated sum as per the activity in the main EDP. With respect to EDPs, the elements in this budget will include the cost of training materials and demonstration materials. .*

Column E: *The Facilitator - The name of the actual person who will perform the activity. Payment will however be made to the consortia. Note that the principal consultant Mr. Kiptoo has also incorporated other expert service providers in service delivery to offer some specialised services in respect of apiary enterprise.*

Column F. *The Timetable: Date, day and the time the various CWGs will be trained will be indicated. CIGS/VMGs will be fully involved in scheduling of activities of the preparation of the time table. An EAIS document will contain information that can be traced back to the EDP.*

c) Value Chains Funding Compliance Report (FORM C)

87. Value Chains Funding Compliance Report (FORM C): This document is designed to capture the output of the consortia selection, mobilization and planning phase of the Service Delivery Model. It is a document that demonstrates how a CPCU has laid the foundation for vibrant M&E functions and in putting up the beneficiary grant management structures (**Annex 6**).

3.7 Post-Contracting of Service Provider

88. Adhering to the laid-out service delivery procedures. Example Eco green had prepared for the actual implementation by identifying and scheduling all the planned interventions, it had managed to guide the 2000 farmers into putting the necessary management structures. The interventions at different levels: - At individual household level, Group level and the High value levels were also clearly scheduled in an EDP/EAIS developed during the PCWs. The officials at different levels were also trained on grant accounting, reporting and monitoring procedures. Starting with a key milestone, it had prepared and distributed to all the members the records keeping card (**Annex 8**) at the household level, then a baseline CIG inventory –on which to record the aggregate performance of the

green gram Value chain members at the CIG/zonal level. The two performance indicators of interest to Eco green were **number of participating farmers segregated by gender and sex, SLM practices, yields and incomes** as a result of the CSA interventions it had introduced.

89. Secondly, Eco green had prepared and distributed to all the Value Chain members, the intervention schedules showing the topics and the GRP facilitators covering all the zones. For interventions, it had no problems with lack of quorum because farmers already knew the importance of the interventions and none of them wanted to reap less than the extra benefits per acre of green grams promised during the flagging. **This was their motivation to participate in the service provision sessions** and to undertake climate smart interventions and manage green grams including quality maintenance and collection. Eco green kept clear records of all its dealings with its CIGs in its green grams Value Chain Service provision file – for its own use and also for any *monitoring & evaluation mission* that came along the way. It also had a draft vision on where next to take its CIG in respect to future development of the green grams Value Chain in Kwame County. By the end of one year, Eco green had received a total of Ksh 1.5 million due to it - based on achievement of the agreed payment benchmarks dully supported by the records in the CIG inventories. It had prepared quarterly reports to the CPCU (exemplified in **Annex 9**)-not only to justify the payments it received from the farmers, but also to check whether its vision was on track or not.

3.7.1 Accountability Principle

90. To enhance accountability, the service provider together with the farmer members of the value chain shall give progress reports on the achievements the individual members are making as a result of the trainings/skills they receive from the service provider. The SP should be able to demonstrate the value for money for its interventions through changes in farmers' yields and improved environment. The two, i.e. the SP and farmers shall put mechanisms of collecting progressive achievements according to the agreed schedule. Beneficiary service delivery certificate report Form D (**Annex 10**) is completed once over the stipulated requirements to qualify for specified service provider fee.

3.7.2 Progress Reporting

91. The following are the steps to be followed in report preparation and compilation.
 - a. As a first step, the service provider will ensure that the situation of the value chain before the EDP interventions is well recorded in both the FORM F and aggregated in the CIG inventory. The filling of this inventory is/was supposed to be done early (anytime from the time the opportunity was flagged, and the start of the implementation of the EDP). This inventory is a BASELINE report against which all progress and achievements are measured. For a green grams marketing enterprise, it will have 7 columns as shown in Table 1. Columns A, B, C and D. The CPCU will establish the specific performance indicators for each enterprise; train the farmers and the consortia on the meaning; how to collect, maintain and aggregate data on set indicators.
 - b. CPCU M&E will log-in all data pertaining to all the CIG members: names, member number, gender, contacts, baseline (before joining the CIG)
 - c. All progressive monthly achievements are subsequently reported by the CDDC at ward level after aggregation; ie reports that have emanated from the CIG/VMGs/POs
 - d. The ward reports will then be aggregated by the CVCDC which will inform whether the service provider has attained the stipulated payment benchmark.
 - e. The CPCU will receive copies of all the reports emanating from CDDC for verification and will advise the CVCDC and all the project management structures on subsequent action.
 - f. Once verified the CPCU will use the Project MIS- M&E soft-ware to synthesize and produce summary reports on value chain performances.

3.7.3 Quality Control of Extension service

92. The Subject Matter Specialists (SMS) in county technical departments shall undertake periodic supervisory and verification missions to ensure extension service delivery adhere to the expected quality standards. Reports from these missions will form basis for capacity building SPs, review of contracts and advisory delivery systems or guide alternative subsequent plans.

CHAPTER FOUR

4. COUNTY PUBLIC ADVISORY SERVICES

4.1 Guidelines for public Extension Agents

93. The county public extension system will be realigned with the community driven development model to deliver the project objectives especially in absence of contracted consortia. The synergy envisaged from extension workers and officers of sub-CTD interaction is synonymous to a consortia depicted in the contracted service delivery. The extension agent in collaboration with sub-CTD will therefore play the roles undertaken by consortia in supporting EDP implementation and integrating CIGs/VMGs into POs. The project public extension workers will take into consideration key attributes of a CDD process in the overall service delivery to the CIGs/VMGs/POs.

The public extension service delivery is therefore expected to be implemented based on the following steps:

- 1) After the PICD process the CTAC will develop problem statements that will inform the flagging of climate smart agriculture opportunities.
- 2) The County public extension agents/workers in the county will then develop materials for promotion of opportunities entailing cost benefit analysis, individual farmer/pastoralists commitment and extension agent planned interventions. The net benefits are expected to attract interest from existing groups and individual farmers/pastoralists. The content of the promotion material will be developed in collaboration with the sub-county or county Subject Matter Specialists. In addition, the concerned extension agents will undertake professional in-depth literature review for factual presentation.
- 3) Farmers/pastoralists will then be invited for *barazas* through public notices in each of the zone or manyatta/settlement within the participating wards. Prior to the baraza, the extension agents will have promoted their opportunities by placing promotion of opportunities posters at strategic public points, and making announcements in churches/mosques and schools. To make informed choices, interested farmers will be encouraged to seek clarification on the promoted opportunities if need be. During the baraza, individual farmers/pastoralists and existing groups will register into specific

opportunities/VC for eventual formation of Common Interest Groups (CIGs). A list of interested farmers/groups containing telephone numbers and physical contacts for specific enterprises will be one of the outputs from the baraza.

- 4) Existing groups and VMGs will be realigned, assimilated or integrated in the Common Interest Groups. Extension agents who promoted a specific opportunity will then organize, gather and meet all enlisted farmers/pastoralists/existing groups. This will culminate into formation of CSA Common Interest Groups, election of office bearers, capturing individual baselines/CIG inventory and preparing the prospective members for subsequent activities. Gender balance for mixed groups will be observed similar to contracted extension services.
- 5) CPCU will then organize and conduct ward based participatory planning workshops for CIG and VMG officials (chair, secretary and treasurer) to enable extension agents who succeeded in forming CIGs to develop Enterprise Development Plans (EDP) and budgets.
- 6) Collaboration with other stakeholders in particular the county's department of health will be crucial in order to identify the nutritional gaps for the under-fives, the existing efforts to address the same and create synergy. This shall further entail interrogating available data especially department of health with a view to mirror on prioritized interventions which can create the desired impact across different environmental set ups. Consolidating gains and focusing on emerging nutritional concerns in dietary needs will offer an opportunity to zero in on what will be practical to blend and implement. The project will also adopt the Nutritional Assessment tools.
- 7) Typical interventions that address nutrition will include; a) *Consumption pathways*, which promote traditional nutrient-dense crops and small livestock raising through home- and school-based gardening (kitchen garden, multi-story kitchen gardens, fruit trees, indigenous vegetables, poultry /bee/rabbit keeping and aquaculture), value addition of crops and livestock products; b) *Income pathways*, which promote home-based food processing, storage, and preservation to retain nutritional value, increase shelf-life, and ensure food safety; while at the same time reducing seasonality of food

insecurity and post-harvest losses; and (c) *Women's empowerment pathways*, which facilitate women's participation in on- and off-farm activities by promoting labor-saving technologies and rural credit schemes.

- 8) CPCU will guide the extension agents/worker, Subject Matter Specialists and CIG/VMGs officials to review and rationalize the EDP (CSA compliant and season oriented) and recommend to CTAC for approval and ratification by CPSC for inclusion in the consolidated annual budget and work plan. Depending on the enterprises, activities and experience the CTAC will advise whether to use the FFS/FPS or other conventional extension approaches. The EDP will be structured into elaborate monthly activities (milestones) that the extension agent will be expected to facilitate and for CIG/VMGs members to implement for accountability.
- 9) Extension agents/worker will develop an EDP implementation schedule (EIAS) for certification by the CIG/VMGs officials and approval by CVCDC and witnessed by two officers i.e. CPCU Coordinator and the immediate supervisor of the extension agent. Copies will be retained by the parties.
- 10) The Extension workers will capacity-build CIG/VMGs members to implement the approved EDP activities. The purpose of extension with a participatory approach is to deliver the triple wins and enhance the quality of life of the people. The CIG/VMG officials will certify that the extension agent completed monthly task (millstone), and then submit all dully completed formats and reports (standard formats to the CPCU. CTAC/Sub-CTAT in collaboration with CPCU and CVCDC will verify the accomplishment of the agreed monthly tasks between the beneficiaries group and the extension agent before recommendations are made to process payments. Extension agent will be paid daily allowances (lunch and transport) as per the project rates for public officers. The farmer leadership will be capacity build on all the key area for effective resource management and leadership.
- 11) Extension workers will also be expected to develop plans for SLM activities, integrating youth in Agriculture and promote nutritious foods either as a member of a consortia or a team of public extension workers.

12) CTAC will undertake at least four supervision and backstopping missions per year for quality and standards assurance. CPCU will consolidate verified data emanating from the CIG/VMGs and compile all the reports including inputting into the Project Management Information System (PMIS). The reports will be subjected to rigorous performance evaluation based on set monthly milestones.

4.2 Farmer/Pastoral Field Schools (The F/PFS)

The F/PFS approach is field orientated and participatory, emphasizing on learning by doing. Training will take place over an extended period such as a cropping season and will be combined with classroom and field work. Training will be holistic and follow the farming systems adopted by participants. Training will start from an understanding of existing farmers/pastoralist practice such as inputs use, resources available for production, market prices, availability of inputs among others. Trainers will be selected from either county extension teams or SPs experienced with F/PFS methods. For example, core training will be the responsibility of experienced principal partner (PP) or grass root partner (GRP) who will be supported by two or three other GRPs. Core trainers will receive extended “master” training on the TIMPs to be introduced and how to plan and conduct the F/PFS. Other staff will also have a key role in F/PFS. For example, they will be selected to monitor the F/PFS. In this case they will receive training on monitoring procedures. Core trainers will be taught how to plan a F/PFS according to the technology concerned during a master training programme.

The master training programme will cover:-

- a) Farmer selection
 - b) Organizing training materials;
 - c) Organizing the venue and site selection for field work;
 - d) Preparation for each session.
94. **Farmer Selection**- Guidelines will be prepared by the course designers on how to select farmers that should participate. These guidelines will include:
- i. Ensuring that the training is open to women, youth as well as men, a target number is normally attached to this;

- ii. Selecting farmers according to their current practice. For example, IPM training may require that some of the participants are farmers who use high levels of pesticides on their enterprises;
- iii. Selecting CIGs because members neighbour one another therefore can easily convene for lessons/field school activity.

Organizing Training Materials: specialist training may require the use of equipment that may require procurement. For example, sweeping nets for IPM training. In these cases funds may be available to purchase equipment. There may also be a long list of resources required and these will need to be organized prior to each weekly training session.

Organizing the venue and site selection for field work:

Training sessions will take place in a classroom environment and in the field. It could be a school room, a union building or an NGO meeting place. It should be located as close to the farmers homes as possible. Likewise any plots selected for fieldwork should be close to farmers houses so that the training is conducted in as near to real conditions as possible.

Preparation of Each Session: the weekly training sessions are normally pre designed by senior technical staff/PP and are examined during the master training programme. This involves core trainers being trained in the TIMPs and the delivery of the F/PFS curriculum. Sessions are usually flexible so that any special local knowledge can be incorporated into the F/PFS. Although the main content of the P/FFS will be predetermined and guidelines for implementation will probably form part of the master training programme some useful points to consider include:

- Preparation and Organization- Like any other training programme, F/PFS should be well prepared and organized. F/PFS take place over an extended time period so the training facilities need to be booked for the training duration and maintained in an orderly manner.
- Maintaining Interest - at the close of each session discuss with the participants the content of the next training session. For example, where it will

take place what kinds of things the group will be looking at; how long fieldwork is expected to last etc. P/PFS sessions should be as active and participatory as possible;

- Group Formation -an important part of most F/PFS is to encourage the participants to work as a group. Some F/PFS will therefore intentionally include activities which are intended to support group formation. Where activities do not appear, discussion and sharing of ideas and knowledge between participants should be encouraged as much as possible;
- Support Two Way Learning - Through field activities both the participants and trainers should learn together. This supports action based and problem solving learning which an important skill is for everybody that participates to develop. It also enables SPs to understand farmers problems and opportunities at a much more detailed level than normally encountered.

95. Follow up of F/PFS –To monitor F/PFS Benchmark Survey will be used - before any training is conducted key survey participants will be identified. The survey will include, gender, size of land being farmed, current farming practice (cropping pattern, inputs used and how, household production etc.).

4.2.1 Steps in Implementation of Farmer/Pastoral Field School (F/PFS)

96. Implementation will be undertaken in three phases;

- 1) The preparatory phase,
- 2) Implementation phase and
- 3) Post-graduation phase.

Each phase has a set of associated activities (steps) which are spelt out in Table 8.

Table 8: Three Key phases and steps in implementation of F/PFS

Steps 1 preparation	Steps 2 implementation	Steps 3 post-graduation
1. Pre-condition survey/BBS	5. PFS sessions with core Activities	9. Follow up of PFS activities
2. Identification and training of facilitators/SP Selection process	<ul style="list-style-type: none"> • Comparative 	10. Establishing PFS networks
3. General ground work	<ul style="list-style-type: none"> • Experimentation 	11. Income generation activities
<ul style="list-style-type: none"> • Establish contact with community 	<ul style="list-style-type: none"> • *AESA/**PESA 	12. Setting up of 2nd generation PFS
<ul style="list-style-type: none"> • Awareness raising meeting to introduce F/ PFS concepts 	<ul style="list-style-type: none"> • Topic of the day 	
<ul style="list-style-type: none"> • Identification of participants during FoO 	<ul style="list-style-type: none"> • Group dynamics 	
<ul style="list-style-type: none"> • Identification of focal activity (PFS) enterprise at EDP stage 	<ul style="list-style-type: none"> • P M & E 	
<ul style="list-style-type: none"> • Identification of learning sites 	6.Feld days	
4. Establishing the PFS	7.Exchange visits	
<ul style="list-style-type: none"> • Participatory introduction of the participants 	8. Graduation	
<ul style="list-style-type: none"> • Levelling of expectation 		
<ul style="list-style-type: none"> • Identifying host team 		
<ul style="list-style-type: none"> • Participatory planning of F/PFS 		
a) Establishing the PFS group		
b) Problem analysing and ranking		
c) Identifying potential solutions		
d) Developing the learning program		
e) Developing a detailed budget		
f) Submitting a grant proposal		
g) PM&E plan		

*AESA- Agro Ecosystems Analysis**PESA- Pastoral Ecosystems Analysis

The three phases are explained in details in subsequent sections

Phase 1: PFS Preparation Phase

Step 1. Precondition survey

97. Understand the pre-conditions (Pre-conditions survey) before establishing a F/PFS in a new region, a simple assessment shall be performed by a F/PFS specialist to assess the conditions for F/PFS implementation. This will ensure that the environment is suitable for the F/PFS approach. Questions raised include:

- Is the pastoralist production system changing and is there a need for drought preparedness efforts to fill existing knowledge gaps?
- Is PFS the most suitable approach for tackling existing problems?
- Are there cultural barriers to the F/PFS approach? Are there peace building efforts in place?
- Is the department (Agriculture/livestock) and other intervention actors supporting the PFS implementation?
- Are there any other F/PFS or similar programmes in the region, county or neighbouring counties? (It is important to link up PFS whenever possible)
- Are there any F/PFS specialists or master trainers available in the county?
- Who are suitable PFS facilitators (government or non-government extension workers, pastoralists and community Animal health workers (CAHW)? Are they willing to act as F/PFS facilitators?
- How many PFS can be guaranteed implementation after the first TOF course? Are there sufficient resources? Under which programme is the F/PFS going to be supported?
- Results of the assessment will help in making decision if an F/PFS should be implemented in a particular region, and to determine the target communities. If CTAC agree that F/PFS is a potentially appropriate method, the costs and needs for external inputs to determine the level of difficult in establishing PFS will also be assessed.

Step 2. Identification and training of F/PFS Facilitators

98. F/PFS facilitators will be identified and trained before commencing F/PFS activities. The facilitators will be extension service provider close to the target community, who

speak the local language and have technical knowhow in their areas of interest; some literate CAHWs may be used in absence of private or public extension agents. Often two facilitators (or more) will be identified to run one F/PFS as a team.

99. Training of facilitators will be organized by experienced F/PFS master trainers. It will be a three week training programme to prepare facilitators in the aspects of principles and core elements of the F/PFS methodology and facilitation skills. TOF participants will be regularly taken through refresher trainings and on-job mentoring of the facilitators during F/PFS implementation.

Step 3. General ground working

100. Following participation in the TOF, facilitators, with assistance from the project staff shall first determine the actual needs of their community. Basic area information is collected using participatory tools to better understand livelihood system and enable future monitoring and evaluation (M& E). Activities shall begin at least two months ahead of the planned start of F/PFS. Below are the subsequent activities in step 3:

- a) **Establish contact with the community:** Initial contact with the community will be done in order to understand the area and characterise the livelihood systems. Community and manyatta leaders will be contacted first to seek their advice and authorization. Following their approval, facilitators can plan an awareness-raising meeting to introduce the PFS approach to the community
- b) **The awareness-raising meeting:** A meeting with the community to introduce the PFS concept will be held in areas where awareness is low. The facilitator will ensure that community members have a clear understanding of what they can expect from the PFS. Participants and the facilitator then discuss how to move forward to plan the PFS implementation.

c) Identification of participants: Through consultations with the community and the help of local leaders, 30-40 participants will be selected. (group tend to shrink to between 25 and 30 after the first few seasons) The facilitator will take into consideration gender and cultural practices within the community. Ideally the group should include a mix of men, women, youth and elders from a cluster of villages. In case of a nomadic pastoral community it is good if about half of the group is made up of permanent residents of the manyatta and the other half of members who seasonally migrate to kraals. If participants

are drawn from several clans they should all migrate to the same kraals and share key grazing resources.

101. The Criteria for selecting participants are:

- Common interest
- The enterprise is the main source of livelihood
- The participant is a decision maker in his or her family
- All participants are from same socio-economic level
- The participants be of same clan and share key resources and migrate to the same areas
- All participants should live within relatively short distance of the F/PFS learning site, preferably the same village
- There are no known conflicts between participants
- The participants' should aim to attend all sessions during the F/PFS cycle.
- The participants should work in a team and share ideas with others including non-members
- Participants should be willing to contribute, financially or materials or time to the F/PFS work.
- Participants should be interested in learning and implementing without expecting material hand outs
- At least one participants must be willing to provide a herd and a field for group learning and demonstrations/research trials

d) Identifying the focal activity (F/PFS learning enterprise)

102. PFS will be focused on common interest/VC, to avoid involving pastoralists in activities that are not of interest to them. The selection of the F/PFS enterprise will depend entirely on local peoples' needs and interest. For a Meat V.C focused PFS, the community's main enterprise will be Shoats or beef. It is therefore important during the initial stage for the facilitator to help in analysing the community, identify the components of its livelihood system and the problems.

e) Identification of learning site

Step 4. Establishing the F/PFS

103. Below are the subsequent activities in step 4

- i. **Problem analysis and ranking:** The first PFS sessions will be used to analyse the problems perceived by the pastoralists in the focal activity/enterprise of choice. These problems will be defined and prioritized and will direct the learning programme of the F/PFS.
- ii. **Identifying potential solutions:** The main problems need to be analysed intensively. PFS group brainstorming sessions aim to develop options that can be tested and evaluated.
- iii. **Developing the learning curriculum/ schedule:** the facilitator develops a programme; the curriculum for the PFS, based on the main problems identified. In collaboration with the group the facilitator decides which activities need to be undertaken to further explore the problems, test the solutions and identify what kind of outside assistance is needed. Key activities to facilitate learning in the F/PFS are the Pastoral Ecosystems Analysis (PESA), field comparative experiments and special topics, where group discussion and short- and medium-term learning exercises are conducted. Field trips or exchange visits with other PFS groups will also be useful methods to enhance learning and participants' motivation. A curriculum defining the PFS season and outlining dates of meetings and the topics of discussion will be drafted on a flip chart and made accessible to all.
- iv. **Developing a detailed budget:** Having identified which activities the F/PFS will perform, the group will establish a budget.
- v. **Submitting a grant proposal on Demonstration/Experimenting with new technologies:** A demonstration and training support fund/grant will be made available by KCSAP to cover all or part of the F/PFS budget. KCSAP community matching grant manual provides details on application and management of such funds premised in the CDD model.
- vi. **Participatory monitoring and evaluation plan: This will be planned to ensure that the objectives of the F/PFS group are met and progress can be tracked. The data generated** in the problem analysis will be well recorded as it will provide baseline information for evaluation to be done. Questions to be answered will include , what is being evaluated, who is evaluating, when and where the evaluations should be done and what resources are needed.

Phase 2: PFS Implementation

Step 5: F/PFS Sessions with core activities

104. Enrolled PFS members will agree with the facilitator when the learning programme will start, the frequency of meetings and the length of the cycle before graduation. In general, the F/PFS group will meet for a half-day session once a week and the members will participate in the F/PFS for a full year to enable the implementation of medium-term field comparative demonstrations/experiments and learning exercises related to livestock issues such as feeding and animal health. The learning cycle will cover a full seasonal cycle, from when the rainy season starts, continuing through the dry season and back to the next rainy season, giving hands-on experience at all stages. In the case of a nomadic community the learning should start in the manyatta and when the group splits during the seasonal migration the learning sessions continue in the manyatta and kraal in parallel. Since many participants are likely to be illiterate, illustrations, practical demonstrations, exhibits of real-life examples and folk media such as songs and storytelling will be used. All sessions will be conducted in the appropriate local language.

Step 6. Field days

105. Field days will provide an opportunity for non-participants and the larger community to be exposed to the F/PFS group's lessons and the skills and knowledge gained in the process. In addition, they will provide the PFS members with an opportunity to display and share their experiences, for example the results of experiments and learning activities, including group dynamics. Field days will also reinforce cohesion in the F/PFS and raise awareness among the community, the government and other organizations in the area, thereby creating support and new demand for PFS.

Step 7. Exchange visits

106. Exchange visits will be educational tours to other F/PFS, agricultural institution or innovative communities. They will encourage F/PFS members to compare the activities of other groups with their own and to exchange tested technologies and unique innovations. It may not be possible for all F/PFS members to go on the visit: in this case a few representatives can be chosen by the group who will then report back on what they learn at the next F/PFS session.

Step 8. Graduation

107. PFS members with good record of attendance (75% of sessions) will graduate for the specific activities completed during the F/PFS learning cycle. The graduation will be organised by the group and the facilitator and will involve an official ceremony to which community members (county government) officials or KCSAP staff and community members are invited. The CPCU shall organize and award the qualified graduates with certificates.

Phase 3. F/PFS Post graduation

Step 9. Follow-up of F/PFS activities

108. At the end of a learning cycle and after the graduation ceremony, the F/PFS will continue its activities. With the help of the facilitator, the group will evaluate the F/PFS and develop an action plan based on the evaluation of what has been learned and what are the gaps. In addition new sessions (different topics or in depth interventions or learning of specific topics) will be implemented such as commercial activities and linkages with researches and other F/PFS and project activities.

Step 10. Establish/create F/PFS networks

109. The component coordinator will build County and inter-county PFS networks with the aim of providing sustainable mechanisms to support economic activities and support the development of existing and new F/PFS.

Step 11. Income generating activities

110. Graduation of PFS groups will not be the end of learning. In order to enhance continuity in learning, F/PFS groups will engage in income generating activities to support the initiation of new F/PFS groups or support further learning through up scaling of focus enterprise activities deemed fit for the F/PFS group. The income generating activities will be directly derived from the focal enterprise or may be closely related to pastoral livelihood options. In order to enhance the growth of income generating activities within the F/PFS group it is essential to link the group to microfinance or credit institutions or apply for a grant from the KCSAP support. The F/PFSs will then federate into cooperatives or other producer organizations. At this stage the group will upscale activities through value addition, cooperative marketing among others.

Step 12. Set up of second generation F/PFS

111. The PFS facilitator and participating members will identify a few F/PFS members willing to play the role of facilitator and who have the potential to be trained further. The individuals selected will learn some basics by assisting the current facilitator. When ready he/she can train in the neighbourhood. These second generation F/PFS are backed up by the originally trained facilitator. The facilitator can oversee many second generation PFS groups, helping to scale up the methodology.

Lessons learned in preparation and implementation of F/PFS

- The support and goodwill of the authorities at various levels is essential, especially that of community leaders, programme staff and supervisors of the PFS facilitators. PFS cannot operate in a vacuum.
- Clear understanding of the PFS concepts and procedures will be established and effective linkages formed between stakeholders.
- The F/PFS can effectively integrate with other participatory methods and this should be encouraged to enhance the overall outcome.
- The F/PFS curriculum is very demanding on the facilitator and, in general, a F/PFS requires at least one year.
- Technologies tested and applied in the PFS will be locally available for pastoralists to practice them in their own situation
- The F/PFS concept and implementation should be flexible enough to be modified to fit with local conditions
- Facilitators will have both local knowledge and more modern knowledge of the topics under study, including knowledge on the terminologies used for example pests and diseases
- The F/PFS facilitators need to be well trained in the PFS methodology
- Internalising facilitation skills among PFS facilitators takes time and facilitators need regular support and mentoring from a F/PFS master Trainers during the whole F/PFS implementation process
- Adequate resources and logistical support are essential for success. Financial resources will be in place prior to the start of F/PFS activities
- Built in M&E methods and reporting formats, accountabilities will be provided by the CPCU

- Sustainability mechanisms should be started from the onset of the PFS. Income generating activities such as the sale of local products ensure a financial base for the group. Also regular contributions by individual PFS participants are useful for ensuring financial sustainability of the group.
- The process and results will be well documented by the group, individual members and facilitator.

4.3. Strengthening the capacity of county and ward to deliver agricultural services

112. The County Technical Department (CTD) which Includes county departments responsible for agriculture, livestock, fisheries, environment and natural resources, water and irrigation, youth and women’s affairs, cooperatives, and industrialization will be supported through project financing to provide the requisite agricultural services, quality assurance, and oversight of service providers (SPs). This financial support will include: (i) building technical capacity of CTD staff through short- and long-term training as well as exposure visits; (ii) providing equipment to county- and ward-level technical staff (for example, Vehicles, motor bikes, veterinary and laboratory equipment, IT and office equipment); (iii) providing budget for O&M of offices, equipment, and supervision (field visits); and (iv) training ward-level public extension staff in the delivery of agricultural advisory services.

113. The project will build the capacity of the county and ward technical departments in the following key areas: (i) understanding CSA concepts, assessing TIMPS, and designing CSA investment plans; (ii) mainstreaming the country CSA investment plan into CIDPs and monitoring and evaluating their implementation; (iii) planning and providing agricultural extension and business advisory services; (iv) providing animal health services, including disease surveillance and vaccination campaigns; (v) integrating Community Development Plans into county planning and budgeting processes (specifically in mainstreaming CDD micro-projects into county budgeting systems); (vi) identifying and including VMGs in county agricultural development programs; and (vii) planning, designing, and implementing relevant rural infrastructure to enhance access to market by CIGs.

114. Capacity building is expected to take the form of targeted training (for example, through workshops, exchange visits, and publications,) and field-based learning (for example, through site visits, demonstration plots, and pilots,) provided by competent

national institutions, among others. Capacity building efforts will emphasize both learning-by-doing and technical/methodological and practical field (hands-on) training. The project will ensure that capacity building under this subcomponent is coordinated and harmonized with the National Capacity Building Framework and other current donor initiatives. While the NPCU will play a key role in providing the training, KCSAP will also use the services of consultants; of academic and research institutions such as the Kenya School of Government, Kenya Institute of Management, agricultural universities, and KALRO; as well as of specialized agencies like the National Environment Management Authority (NEMA) and KEPHIS.

115. Standardized training modules will be developed and used for training staff of the county technical departments. They will include modules for the PICD process, VC analysis and development, fiduciary management (including community procurement and financial management), environmental and social safeguards monitoring (use of checklists and development of environmental management plans where applicable), and agribusiness and financial services, among others. Staff of the selected SPs will undergo mandatory training on these modules prior to using them to build the capacity of CIGs, VMGs, and POs.
116. CSA planning and prioritization will be undertaken by the CTDs at the county and ward level. Counties will be supported by the project to undertake a detailed county-level CSA planning and prioritization exercise, based on the following criteria for selecting which TIMPs to scale up: (i) integration—instead of a single intervention, an integrated package of interventions is needed; (ii) context specific—the package needs to be designed with the localized context of individual project sites in mind (such as the agro-climate, farming system, existing management practices, institutional environment, and local capacity, among others); and (iii) demand-driven—responding to the demands of beneficiary communities is critical for increasing the adoption of TIMPs. Some of the envisaged TIMPs that can help the country achieve CSA triple-wins are depicted in Table 7 above. Submission of these planning and prioritization documents is a prerequisite for accessing investment funds under Subcomponents 1.2 and 1.3 by the county governments.



CHAPTER FIVE

5: COMMUNITY AND COUNTY LEVEL INVESTMENTS

5.1 Community level investments

117. Matching grants under community investments will support existing and newly formed CIGs to invest in community CSA EDPs/micro projects. Each proposal received from the CIGs will have three investment windows: (i) implementation of CSA TIMPs e.g. conservation agriculture, crop rotation and diversification, use of drought resistant/ tolerant crops, forage production, storage and marketing, small scale fattening operation, small scale farmer managed irrigation among others will account for 70 percent of the grant; (ii) livelihood diversification e.g. fisheries, beekeeping, small scale irrigation along the river , value addition of livestock and crop product, crop diversification and off-farm employment among other will account for 20% of the grant ; and (iii) mainstreaming nutrition e.g. kitchen gardening, multi-storey gardening, fruit tree production, vegetable gardens in schools, rabbit keeping among others will account for 10 percent of the grant. Once the proposals are approved, CIGs will receive matching grants ranging from US\$7,000 to US\$10,000 to implement their community CSA EDP/ micro-project proposals. CIG members will contribute at least 10 percent of the costs of their micro-projects either in cash or kind. To increase access to rural finance and enhance the sustainability of CSA EDP/micro-projects, CIGs will be encouraged to form Savings and Loan (S&L) groups that will be facilitated by SPs to federate into SACCOs. The project will provide matching grants of up to 50 percent of members' total savings to boost SACCOs' capital. These intermediary financial institutions will ultimately be linked by SPs to microfinance institutions and commercial banks.
118. The project will finance CSA EDPs/micro-projects exclusively targeting VMGs. The objective is to empower VMG members and elevate their productive capacity and economic status, so that they fully participate in VCs, POs, and SACCOs. VMGs will be identified with the help of PICD team under guidance of the Department of Social Services through participatory targeting methodologies. Criteria for identifying vulnerable and marginalized individuals will include land ownership, asset ownership/perceived value, number of meals per day, number of dependents, female-/child-headed households, and

advanced age, among others. With support from SPs, VMGs will prepare EDP/micro-project proposals and submit them to CPCU for vetting by the CTAC and approval by the CPSC. Each proposal received from the VMGs shall have three investment windows: (i) implementation of CSA TIMPs (60 percent); (ii) livelihood diversification (30 %); and (iii) mainstreaming nutrition (10 percent). Grants ranging from US\$3,000 to US\$5,000 will be provided to each VMG depending on the selected and approved EDP/ micro-project. VMG members will not be required to contribute toward the costs of their approved CSA micro-projects.

119. The following are examples of TIMPs for window I &II (Table 9).

Table 9: Potential TIMPs for Scaling up CSA under Different Grant Windows

Type of TIMPs	Agro-pastoral Production Systems		Pastoral production System	
	Window I (CIG/VMG)	Window II (County)	Window I (CIG/ VMG)	Window II (County)
Sustainable Landscape Management	<ul style="list-style-type: none"> -Conservation agriculture -Crop rotation &diversification -Use of drought resistant/ tolerant crops -Forage production, storage, and marketing -Small scale fattening operation -Small-scale, farmer-managed irrigation -Compost production plant (household waste management) -Windbreaks, hedgerows, enhanced clearing, live-hedge establishment -Promotion of non-timber forest products <ul style="list-style-type: none"> - Creating agro-forestry parks - Nursery (village or individual) -Promoting alternative domestic energy/reducing wood energy utilization 	<ul style="list-style-type: none"> - Demarcation and restoration of livestock migration routes and common grazing land -Rangeland management and restoration (e.g., eradication of invasive species, reseedling) 	<ul style="list-style-type: none"> -Forage production, storage, and marketing - Small scale fattening operation 	<ul style="list-style-type: none"> -Demarcation and restoration of livestock migration routes and common grazing land -Supporting breeding programs (heat- and drought-tolerant livestock breed) -Feed and water buffer improvement, fodder banks -Promoting dry season grazing -Rangeland management

Water Management	<ul style="list-style-type: none"> -Development/rehabilitation of small-scale irrigation schemes -Promotion of water and energy conservation technologies for water lifting (possibly solar, treadle, and energy-efficient pumps) -Promotion of water conservation technologies for water distribution (drip irrigation and California system) 	<ul style="list-style-type: none"> -Water pans/sand dams - Cattle dips -Dredging of waterways -Development of ponds -Rehabilitation of small and medium-size irrigation schemes 	- Development of ponds	<ul style="list-style-type: none"> -Dredging of waterways -Development of ponds, boreholes, water pans, sand dams, etc.
Animal Health		<ul style="list-style-type: none"> -Infrastructure for vaccination and support to livestock services - Cattle dips 		<ul style="list-style-type: none"> -Infrastructure for vaccination and support to livestock services - Cattle dips -Disease surveillance, vaccination, quarantine -Support for development of disease-free zones

5.1.1 Development of proposals at Community Level

120.

- i. CIGs will develop their concept papers from Prioritized issues in the Community Integrated Action Plans (CIAP)
- ii. The concepts papers are presented to Sub-CTAC for vetting and selection using the following criteria:
 - How well the project addresses priority community needs identified in the CIAP
 - The number of people (men and women) to be reached by these benefits
 - The involvement of the vulnerable or disadvantaged groups in the proposed sub/micro project
 - Contribution that the CIG is willing to make to the proposed project
 - Current activities of the CIG and the involvement of members in these activities

- KCSAP guidelines on micro-projects/sub-projects
- iii. The selected concept papers are developed into full proposals by the CIGs in consultation with the relevant sub-CTDs and SPs within two weeks: The format for the micro-project proposal development is shown in **Annex 11a**
- iv. The developed micro-projects/sub-projects are subjected to Environmental and Social Management Framework (ESMF) screening
- v. The developed micro-projects/sub projects proposals are presented to the CDDC for approval.
- vi. CDDC will submit the approved proposal(s), micro-projects/sub-projects application form and list of CIG members in hard and soft copy to KCSAP with official forwarding letter: refer to (**Annex 11b**)
- vii. The Sub-CTAC chairperson will acknowledge receipt of the proposal and application form. The Sub-CTAC will ensure that the proposal submitted includes: Forwarding letter signed by CDDC chairperson, Micro-project proposal, Community micro/sub-project application form, screening check list, registration certificates and the CIG constitution. The micro/sub-project proposal is submitted in both hard and soft copies.

121. Before funding of these micro and sub project a thorough screening for Environmental and social management will be undertaken as required by the Kenya government and World Bank. CPCUs will endeavour to mainstream the implementation of environmental & social management safeguards.

Environmental and Social Management

122. **Environmental and Social Management Framework (ESMF):** KCSA Project will be community driven and as such the specific sites of the micro or sub projects and their possible associated negative environmental and social impacts will be determined once sites have been identified. The initial screening of the anticipated Project activities indicated that they will trigger the following World Bank Safeguards: (a) Environmental Assessment; (b) Pest Management; (c) Indigenous Peoples and Involuntary Resettlement (d) physical cultural resources

123. The environmental and social management framework (ESMF) which provides procedures for screening and mitigating impacts that may arise during the project implementation. Specifically the ESMF outlines (i) an environmental and social screening

process for subprojects, which will enable the government as well as the communities to identify potential environmental and social impacts of the proposed investments; and to address them by incorporating the relevant mitigation, prevention, and management measure (ii) an integrated pest management framework which promotes safe, effective and environmentally sound pest management. Each project activity targeting plants and livestock development will prepare its pest management plan (PMP) (**Annex 12A section C**). To ensure that negative impacts are minimized or eliminated, the ESMF encourages the inclusion of mitigation impacts at the design of investment subproject prior to implementation.

124. The CDD approach envisaged by KCSAP entails total inclusivity and participation by all targeted beneficiaries. For this reason therefore, specific community needs and issues along the environmental and social safeguards must be identified through a screening process at the community level (See screening checklist **Annex 12a**) and priority development areas identified within the principles of KCSAP. Community Resource Assessment/Social Assessment through PICD approach will help map out gaps in a participative way and suggest possible environmental and social interventions within the proposed community investments including those proposed by the VMGs. The key outcome of the PICD process is a CIAP, which is a statement of the community's aspirations with regard to the sub-projects that they wish to implement in order to overcome financial and other development challenges that they identified during the situation analysis (Figure 2).

Screening and decision making process on the Environmental Assessment

125. **Step 1:** Community Action Plans, Approvals and Funding: Community plans and budgets will be prepared by the communities assisted by their specific CTDs, Sub-CTDs, service providers; the specific CSA proposed interventions and budgets including those for ESMPs, RAPs, VMGPs, and IPMPs implementation will be technically reviewed and approved by the County Technical Departments (CTDs). This activity will be coordinated at the county level by the project coordinating unit.
126. **Step2:** Once this is completed, the County Project Coordinating Units (CPCUs) will share the prioritized and approved proposals with the national technical team through NPCU for eventual appraisal of the proposals and allocation of the funds.

127. **Step3:** A democratically elected Community Sub-Project Committee (PMC) that serves voluntarily will be assisted by the CTDs, Sub- CTDs or service providers to administer the environmental and social safeguards screening checklist (relevant sections of **Annexes 12A to 12H**) on the proposed community sub-projects.
128. **Step 4:** Checklist will be analyzed by the PMC with the assistance of relevant technical officers. The Committee will forward the analysis report and the checklist to the CPCU. The benefitting community will be made aware of what is expected of them in order to conform to the relevant safeguards (Figure 3)

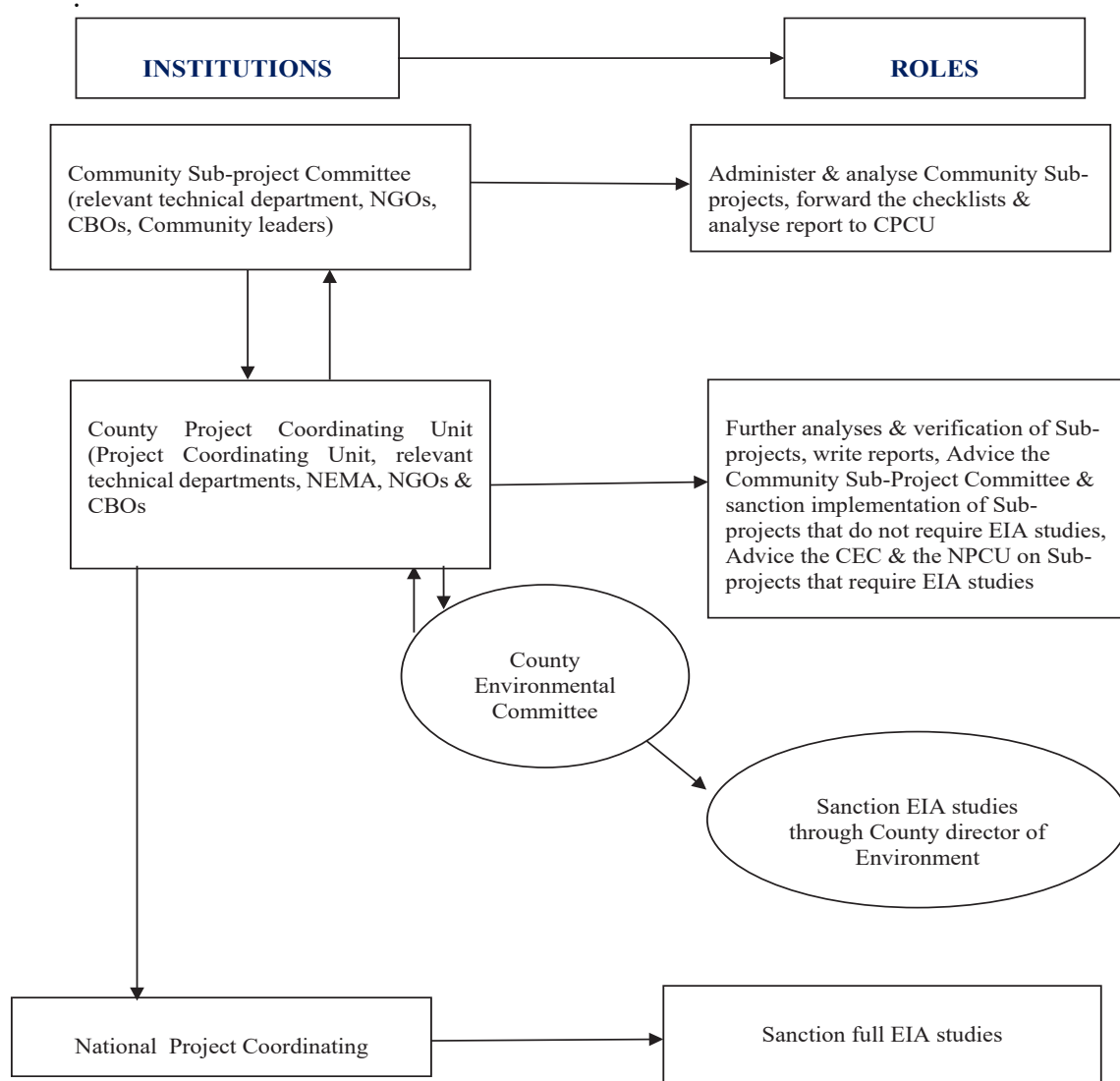


Figure 3: Institutional Roles in implementation of the environmental and social safeguards

129. **Step 5:** The CPCU will undertake further analysis and verification and decide on the level of impact and risk of the project and share the report with County Environment Committee (CEC) through County Director of Environment (CDE) who is the Secretary to the County Environment Committee chaired by the County Executive Committee member responsible for the environment.
130. **Step 6:** If the impact is insignificant the CPCU will sanction the implementation. If the impact is significant they will liaise with NPCU to facilitate an ESIA project study or a full ESIA study. The NPCU in consultation with CPCU will organize for a consultancy or facilitate officers to undertake the study.
131. **Step 7:** The CPCU in consultation with NPCU will share the report with World Bank for concurrence before NEMA's input and eventual implementation. It is important to note Sub-projects such as bore holes will require hydrological survey prior to ESIA study.
132. **Step 8:** Participatory monitoring, evaluation, reporting and learning will be undertaken to ensure compliance during the sub project cycle.

Vulnerable and Marginalized Groups Framework safeguards

133. To mitigate against Indigenous Peoples/VMGs and Involuntary Resettlement, safeguard instruments/frameworks have been prepared to guide implementation of project activities (See detailed KCSAP Safeguards frameworks in the KCSAP website and World Bank info shop). Further, checklist and guide notes for the physical cultural resources in **Annex 12F**.
134. **Vulnerable and Marginalized Groups Framework (VMGF):** The objective of the VMGF is to ensure the development process associated with KCSAP fully respects the dignity, human rights, economies, and culture of vulnerable and marginalized people and that the KCSAP sub-projects have broad community support from the affected vulnerable and marginalized people. The VMGF recognizes this support can only be attained through free, prior and informed consultation. To that end VMGF provides guidelines which will avert any potentially adverse effects on the vulnerable and marginalized groups; or if avoidance proves not feasible, minimize, mitigate or compensate for such negative impacts. The VMGF will also ensure vulnerable and marginalized groups receive social and economic benefits that are culturally appropriate and inclusive in both gender and intergeneration terms (See **Annex 12A section F**).

135. **Resettlement Policy Framework (RPF):** The RPF is prepared to guide the selection and implementation of sub projects that will require precautionary measures related to involuntary resettlement. Screening checklist of the micro and sub projects is provided in **Annex 12A**. The RPF is to be complied with where involuntary resettlement, impacts on livelihoods, acquisition of land or restrictions to access natural resources and proceeds. The RPF will provide project stakeholders with procedures to address the risks that may arise from implementation of sub projects leading to economic or physical resettlement of populations. It will provide guidelines on how the project will avoid, minimize, manage or mitigate and even compensate all project related displacement risks, guidelines on preparation of resettlement plans of the affected people (see **Annex 12B & C**). It also includes a grievance redress mechanism (**Annex 12 G & H**) that provide affected people with avenues for making a complaint or resolving dispute that may arise and appropriate and mutually acceptable redress actions taken as well as granting a transparent and accountable implementation process.

Capacity Building on Environmental and Social Safeguards

The NPCU will organize trainings for the project Implementing and executing agencies on the following thematic areas:

- i) Environmental and Social Management Framework (ESMF): This is an instrument to be used by all KCSAP Actors for screening infrastructure investments and sub-projects
- ii) Indigenous Peoples Planning Framework (IPPF): This is a tool that provides in advance of any investment or sub-project implementation; guidance for comprehensive screening to identify, inform and consult the relevant indigenous people in all project areas.
- iii) Integrated Pest Management Framework (IPMF): This is a guide for the preparation of specific sub-projects' Pest Management Plans (PMPs)
- iv) World Bank Safeguard Policies
- v) Environmental Management and Coordination Act (EMCA) 1999 amended 2015.
- vi) Climate Change Act, 2016
- vii) Climate Change Strategy, 2010
- viii) Climate Change Action Plan 2012

- ix) Kenya climate smart implementation strategy
- x) Other related national/county legislations and regulations
- xi) Other relevant international treaties and conventions

136. The respective CPCUs, will also plan and in liaison with the County Environment Officers (CEOs) to train the Service Provision Firms/Consortia on KCSAP Frameworks, environmental awareness, advocacy, screening of sub-projects and the ESIA process (if any), progress reporting for environmental and social safeguards. Points of Intervention will be:

Progress reporting on social and environmental safeguards

137. The CPCU and CTDs shall monitor compliance with specific mitigation measures and plans formulated for IPP, IPM or ESM. Every beneficiary has a responsibility to comply with the triggered safeguards. CPCU and member(s) of the CEC will also be involved in regular supervision and random audits of safeguards as planned within the CPCU budgets. NPCU will monitor activities under collaborative research. NPCU will also backstop the subprojects start-ups, conduct randomized check-ups on the screening process, EIAs processes, review of EIAs reports, random audits of approved subprojects and regular supervisions. The Supervision Missions will be held semi-annually.

138. The monitoring report on environmental and social issues in the sub-project will be done on the provided matrix annually at all levels (beneficiaries to National accordingly). Annual Environmental and social progress reporting will be done on the provided format from SP level to CPCU and finally to NPCU while the research sub projects will be reported from the desk of the Principal Investigator to NPCU. A sample of reporting format is shown in *Annex 12b*. A checklist of activities is as follows:

- (i) Community mobilization – Community Resource mapping, value chain mapping and value chain analysis
- (ii) Assist in formulation of CIPs that address environmental, social and gender issues
- (iii) Researchable issues identified by the benefiting communities MUST form the research agenda
- (iv) Screen IP's in counties at the onset of KCSAP community mobilization process. Conduct Free, prior, and informed consultations with the IPs (if IPs exist in the project area) for Broad community support (BCS). Develop strategies for participation of IPs.

- (v) Conduct IP Mobilization and Orientation on the IPPF process.
- (vi) Build required capacities (stakeholders) necessary for sustainable implementation of the IPPF. Conduct Social Analysis and Mapping (use parties whose past is clean). Conduct also Community Resource Analysis and Mapping and Produce a Social Analysis and consultation Report.
- (vii) Undertake Profiling of proposed sub project activities and their possible impacts

5.1.2 Funding of Community Micro-Project

139.

- i. The Sub-CTAC chairperson will present the full micro/sub- project proposals to the CPCU for recommendation by CTAC and ratification by CPSC. In principal the Sub-CTAC should not reject a proposal but refer it back to the community for clarification or improvement
- ii. The appraised micro/sub-project proposals are presented to the full CTAC for recommendation.
- iii. The CPSC will endorse its recommendation and authorize the CPCU to process the micro project grants
- iv. A feedback letter will be written to the CDDC by the CPCU informing them of the requirement before funding which include:
 - a. Opening of a bank account
 - b. Community contribution,
 - c. Compliance to the ESMF
 - d. Signing of an MoU between CIG and CDDC
- v. Confirmation of community contribution and Signing of MOU between the project (CPCU) and the community (CDDC)
- vi. The CPCU submits a copy of the
 - MOU (*Refer to matching grant manual*)
 - CPSC minutes
 - Copy of registration of CDDC and
 - Micro-project proposal to the County finance office
- vii. The CPCU accountant prepares a payment voucher based on the tranche agreement in the MOU and processes the same based on the agreed tranches

- viii. The CDDC organizes for the project launch and cheque presentation in consultation with the Sub-CTAC and CPCU
- ix. A cheque is then drawn in favour of the community and entered in the main cashbook
- x. On receipts of the cheque the community opens a cash book
- xi. CDDC in consultation with CPCU will invite all the funded micro projects groups' Executive Committees for meetings to train, develop implementation plans and rationalize procurement plans with the guidance of CPCU.
- xii. The CIG Executive Committee will make requisitions for goods and services to the CDDC based on the activities to be undertaken.

5.1.3 Condition for tranche disbursement

140. The CDDC must make an application to CPCU Project for the second tranche of micro-project grant.

The CPCU will visit the community to verify the completed micro-project activities and recommend the release of 2nd tranche to the CDDC. The Social Audit and Integrity sub-Committee (SAIC) and the SPs will certify that the Micro/sub project management committee (PMC) has completed all the activities as per the milestones shown in **table 10**.

Table10: Milestones for Tranche Disbursement

Tranches (Instalment payment to community)	Milestones (Things which must be accomplished before receiving each instalment of CDD grant)
<p>1st Tranche (Instalment 1) The amount requested for implementing stage I activities as per the approved community micro-project proposal.</p>	<ul style="list-style-type: none"> a) A Memorandum of Understanding signed between the CDDC and CPCU b) Community micro-project proposal has been approved by the C P S C . c) Stipulated percent community contribution is available. d) The CDDC has opened a current bank account and received a cheque book. e) The procurement, finance and Social Audit and Integrity sub- committees have been formed, trained and are operational. f) Initial community micro/sub-project activities to be undertaken before receiving the grant are on course or completed. g) The committee to manage the micro-project (PMC) is functional. h) Compliance to environmental and social safeguards i.e EA/ ESIA reports, NEMA, WB bank approvals
<p>Tranches (Instalment payment to community)</p>	<p>Milestones (Things which must be accomplished before receiving each instalment of CDD grant)</p>
<p>2nd Tranche (Instalment 2) Amount required for implementing second or final stage of activities as per the approved community micro/sub-project proposal.</p>	<ul style="list-style-type: none"> a) Over 80% of members of the CIG/Target community are actively participating in the implementation of the funded micro/sub-project b) All books of accounts and records are maintained and are up to date c) Updated information on the micro/sub-project implementation is on the community display board. The information should include: <ul style="list-style-type: none"> - Funds received from the donor for micro/sub-project; expenditure and balance; money received from community contribution; expenditure and balances; Contracts available and contracts awarded by the CDD; list of assets procured and their cost and status of project implementation against the target. d) At least 90% of the amount released as first tranche has been properly utilized e) The SAIC and SPs have recommended application for the second tranche of funds f) Monthly financial progress reports submitted to the CPCU by the CDDC g) Arrangement for the operation and maintenance of the project are in place.

5.1.4 Micro-Projects Implementation

a) Community Trainings

141. The project will facilitate capacity building of community members and management committees to improve their skills and technical capabilities in CDD implementation. Table 11 summarizes some of the community trainings to be undertaken, the targeted groups and the durations.

Table 11: Targeted Community Trainings

Training	Target group	Stage of training	Duration
PICD	Target community	Community Entry	21 Days
Social Accountability and Integrity Training	SAIC, Integrity committee	After PICD	5 days
Basic of Leadership, project mgt, group dynamic, conflict mgt Social Accountability and complaint handling	CDDC & PMC	After MOU signing	3days
Resources mobilization and proposal writing	CDDC & PMC	One week after leadership training	3days
Technological Options	CIG	After proposal training	3 days
Procurement and Financial Management	CDDC & PMC	One week after resource mobilization	5days
Participatory Monitoring and Evaluation	CDDC & PMC	One week after Procurement & financial management training	3 days
Report writing and documentation	CDDC, PMC & SAIC	Two weeks after PM&E training	3 days
Cross cutting issues on Gender, safeguards, HIV & AIDs, Social inclusion	All committees	After report writing training	3days
Exchange Visits	Selected CDDC members and CIG members	Within Implementation period	3 days
Identification & Targeting of Benefits to the VMGs & IPs	VMGs & IPs	implementation period as needs arise	3 days
Risk Management	All committees	Within implementation period	3 days

b) Management of Community Micro/sub-project

- i. The CIG/target community will implement the micro/sub projects in accordance with the approved work plan and budget.
- ii. The group/CIG/VMG/PO executive committee will steer the day to day implementation of micro-projects in consultation with CDDC based on the work plans
- iii. SPs and CTDs/Sub CTDs will provide regular technical backstopping and report to the CPCU.

5.2 County-level Investments

5.2.1 County level projects and funding

142. County level investments will include CSA subprojects consistent with the county CSA plans which are incorporated in the counties' respective annual plans (CAPs) and CIDPs. These sub-projects will either be ward-specific or cut across multiple wards and will be strategically important to the county or multiple counties. They will include sustainable land management (demarcation and restoration of livestock migration routes and common grazing lands; watershed management/rehabilitation); water management (dredging waterways, building reservoirs, installing boreholes, and constructing and rehabilitating small, farmer managed irrigation schemes); animal health (infrastructure for disease surveillance and vaccination, holding grounds, and quarantine yards); crop-livestock integration (crop and pasture seed multiplication, breed multiplication); and marketing infrastructure (rehabilitation of slaughterhouses and market centers, rural roads, and milk cooling centers).

The County Technical Departments (CTDs) will prepare detailed CSA subproject proposals based on the county CSA plan. The cost of each county-level CSA subproject will range from US\$200,000 to US\$1,000,000. On average, county-level subproject cost of US\$500,000 will be supported in 17 counties (an average of four subprojects per county). Each county will be eligible to submit multiple CSA subprojects to the CPCU, up to a maximum of US\$3 million per county over the life of the project. The county governments will be required to contribute at least 20 percent of the costs of their county subproject in cash or kind. The CPCUs will submit the competitive county CSA sub projects through the NPCU to the NTAC for review and subsequent transmission to the NPSC for approval. The approved county subprojects will be presented to NPSC by

the NPCU for information and records. County-level subprojects should be completed within two years of approval.

County-level CSA investment plans

143. The preparation of county-level CSA investment plans will involve the following steps:
- (i) analysis of natural resource endowments, farming systems, location-specific climatic risks, and areas of acute vulnerability for the agricultural sector
 - (ii) analysis of priority intervention areas and relevant investments for each county or cross-county;
 - (iii) identification of priority VCs to focus project efforts;
 - (iv) selection of priority sub counties and wards for concerted action;
 - (v) identification of potential county-level investments needed for climate resilience; and
 - (vi) County needs assessment to identify technical assistance (TA) requirements. Detailed County CSA investment plans will provide prioritized short-term (1–3 years) and medium-term (4–8 years) interventions. The Guidelines for planning and preparing County CSA investment plan are provided in the Project Implementation Manual (PIM).

This planning process will form the framework for developing CSA investment proposals at the county level. Each county already has an integrated development plan (CIDP), which includes agricultural sector development priorities. The counties will be supported to integrate their CSA investment plans into existing and future CIDPs to ensure county ownership and enhance sustainability.

144. ***Community Driven Development Organizations:***

The Community Driven Development Organization (CDDO) will be established at the county level with a sub-committee in each of the targeted sub-counties. This organization will comprise 13 democratically elected leaders drawn from the leadership of each CDDC, CBOs, WRUAs, SACCOs, Social Accountability and Integrity Committees (SAICs), and other key community organizations. The CDDO in collaboration with CPCU and CTAC will be responsible for planning and design of sub-projects, their implementation as well as community participatory monitoring, evaluation and reporting both at sub-

county and county levels. Roles and responsibilities are detailed as follows:

The CDDO will be comprised of elected officials (Chairpersons) from the ward CDDCs and representatives drawn from community development structures such as CBOs, WRUAs, SACCOs, SAICs and other key community organizations.

Roles and responsibilities for the CDDO will be as follows;

- (i) Represent beneficiaries interests at sub-county and county levels;
- (ii) Signing Mo Us with the county government on behalf of the community
- (iii) Participatory monitoring, evaluation and reporting to stakeholders at the community level as well as the CPCU;

The CDDO will meet at least four times per year.

5.2.2 Supporting Public Private Partnerships

145. Competitive matching grants will be provided to private firms (for-profit companies) and registered POs and their federations to support VC development and link CIGs and VMGs to markets. The Kenya National Farmers Federation (KENAFF) will play a critical role in organizing productive alliances, supporting the POs to federate into commodity-based farmer organizations, and linking them to markets.

146. **Supporting private firms.** The project will provide competitive matching grants for upgrading VCs (to a maximum of US\$200,000 per grant) to local private firms in the 24 participating counties. These 4P matching grants will create favourable conditions and incentives for buyers and smallholders to establish mutually beneficial relationships by ensuring that farmers consistently produce a particular quality and reliable supply of a good or commodity. In this way, smallholders will be able to overcome market barriers and gain stability by receiving more consistent and higher prices for their goods (agricultural commodities), while buyers will benefit from a consistent supply of goods of a particular quality that meets their demands. It is envisaged that about 10 private firms will benefit from this support. The 4P matching grants will also be used to leverage the private capital necessary for eliminating bottlenecks in the priority VCs. The private firms are expected to contribute at least 50 percent of the costs of their business plans. It is envisaged that 4P matching grants will be used to finance, among other things, improvements in input supply, technology development, post production and storage facilities, value addition and processing, and market development.

147. **Supporting Producer Organizations.** The project will provide enterprise development matching grants of up to a maximum of US\$100,000 to POs for financing value addition activities. The POs will integrate CIG and VMG members into input, output, and service markets along their priority VCs in the 24 participating counties. POs will comprise inter-community cooperatives, pastoralists' associations, or other forms of market-oriented enterprises (including companies), primarily formed by federated CIGs and VMGs in agro-pastoralist and pastoralist production systems. Each CIG and VMG joining a PO will pay membership and annual fees, as detailed in the PIM. Eligible POs will submit their business plans to the CPCUs for approval. It is estimated that up to 30 POs will benefit from this arrangement. Supported POs will be required to contribute at least 10 percent of the total cost of their investment proposals in cash or in kind. For the NEDI counties where sub-projects are likely to span counties, cross county priority investments will be drawn from the Needs Assessment Plan. The participating counties will form joint committees and draw participation agreements clearly stipulating responsibilities, timelines and contributions by each county.

5.3 Social Accountability and Grievance Redress Mechanism

5.3.1 Public Information Disclosures

148. The principle behind public disclosures is to enhance transparency and accountability to the beneficiaries and to make the beneficiaries feel part of the project by sharing critical information with them. Details of all approved CIG/micro-project/sub-project proposals indicating the amount of funds allocated to each will be displayed by the CPCU/CDDC on:

- KCSAP website, county website
- Public information notice boards e.g. chiefs, county offices, county Commissioners/County Governor offices, churches, mosques, temples, public/ social halls
- Posters.

Details will include names of the CIGs, micro-projects, sub-projects, ward, and sub-county, approved and disbursed funds. A sample public disclosure poster is provided below:

Sample poster

REPUBLIC OF KENYA

Kenya Climate Smart Agriculture Project (KCSAP)

Date	Amount Released (Ksh)	Ward/sub county/ county	Service Provider consortia	County Project Co-ordination Unit	CIG/VMG/ micro-project/ subproject (Name)	No.
2/7/2017	300,000	Kangundo	Smead	Machakos	Tal Fish Farming CIG/VMG	1.
						2.
						19
	5,000.000	Total				

For More Information Contact:

The Coordinator

Email: cpcu@gmail.com

Cell: 0722347765

County Project Coordination Unit

P. O. Box 341

MACHAKOS

Community Meetings

149. Monthly community meetings (*barazas*) where the CDDC and project management committees present detailed and updated information on community micro-projects will be held. Community members will have an opportunity to ask questions, seek clarification and give suggestions on the implementation of the micro-projects during these meetings. The community meetings will include community general assembly, CIG/VMG meetings and CDDC meetings.

5.3.2 Grievance Redress Mechanism

150. KCSAP will have a functional grievance redress mechanism for reporting and resolving grievances from project beneficiaries. A reporting system comprising telephone lines, opinion/suggestion boxes placed at Chiefs Offices, CPCU Offices, letters, e-mails and SMS text messages will be used. The system will be integrated with MIS for effective processing and monitoring of complaints. A well designed and functioning GRM will:-

- a) Provide feedback to different levels of the project management on project performance
- b) Act as an early warning mechanism to detect problems before they become more serious and/or widespread, thereby preserving project integrity and its reputation at the initial stages
- c) Generate public awareness about the project and its objectives
- d) Reduce risk for fraud and corruption practices
- e) Provide project staff with practical suggestions/feedback;
- f) Allow staff to be more accountable, transparent and responsive to beneficiaries
- g) Assess the effectiveness of internal organizational processes
- h) Increase stakeholder involvement in the project
- i) Provide VMGs and other beneficiaries and stakeholders with a channel for making their concerns known.

151. Grievances are likely to emerge from two sources: a) at community, wards or county levels or b) project staff and consortia levels. Grievances/complaints will be launched at every level of project's organizational structure e.g. CIG/VMG, micro-project, sub-project, county and national levels through the reporting systems provided above. A register to track the grievances will be maintained at each level starting at the CIG level to the national level.

The MIS must be robust to accommodate entry and resolution of complaints at multiple levels. The key elements of the Complaint Handling Mechanisms (CHM) design are shown in the Figure 1 below:

152.

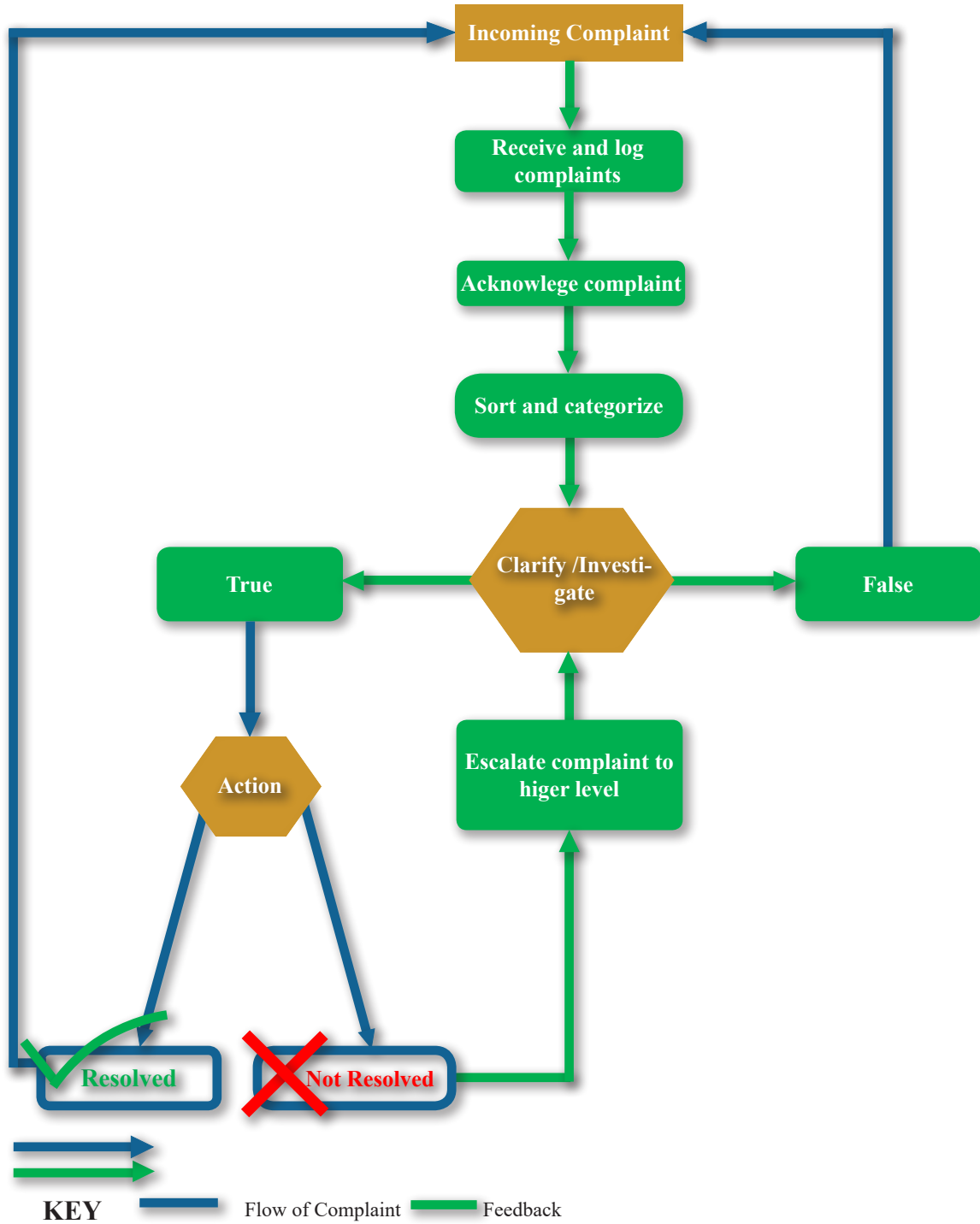


Figure 3: Procedure for complaint handling

Reporting complaints

153. Complaints, suggestions, compliments, queries or comments will be reported at any of the project implementing institutions using the following methods: Letters, e-mails, text messages, verbal narration from walk-in complainants and phone calls, twitter and reports from project staff, independent monitors, supervision teams, government officials, or any interested persons or special groups like VMGs, elderly people; reports of staff, consultants, NGOs, journalists and other interested stakeholders. To facilitate reporting of complaints from these diverse sources of communications channels, necessary details of these channels will be prominently displayed. This will include dedicated telephone lines, cell-phones, physical addresses and postal addresses of relevant offices, fax, email addresses, and suggestion boxes. All complaints will be serially entered in a complaints log book/register, which will be maintained at different implementation structures and levels starting from the CIG/micro-project/subproject, county and national level for easy tracking. At each level a focal person will be appointed to register the complaints. At the community level, the CIG/VMG secretary will register the grievances, M&E officer will do the same at the county level. The focal person at each level will register the complaints into the complaints register as well as their resolutions and forward them to the Officer in Charge at the National level for entry into the MIS. The procedure below will be used to register grievances:

- a) **Acknowledgement of complaints:** The M&E officer at the county level will receive and promptly acknowledge the complaints, queries or suggestions through the channel received and provide information on follow up procedures. The timelines for receipt of feedback will depend on the type of complaint.
- b) **Sorting and verification:** After receipt of the complaint, it will be logged and categorized, for appropriate action. The focal person will gather adequate information to authenticate and verify the complaint raised by cross referencing with the appropriate offices. The complainant should be encouraged to cooperate with the complaints officer by submitting their contact information and factual details relating to the complaint where necessary.
- c) **Processing of Complaints** - Once the verification process is concluded and the complaint raised is found to be genuine or false, the M&E officer will take action as follows: If the complaint is false, the complainant will be appropriately

informed about the verification. If the complaint is true, the M&E officer will take the appropriate action and inform the complainant accordingly. If the complaint is true, but the remedy required is beyond the authority of the M&E officer,, she/he will escalate the complaint with supporting evidence to the CPSC. The ultimate authority for the project is NPSC. The complainant will be informed about the verification of the complaint, and subsequent actions taken by officer in charge of complaints at each stage either electronically or in hard copy.

If the complainant feels that the complaint launched has not been satisfactorily resolved/responded to, he/she can appeal in writing to Kenya National Human Rights Commission (KNHRC) or take the complaint to Kenya National Audit Office or to the Office of Ombudsman.

Dispute Resolution Mechanisms

- a) Grievances arising from the project will be reported and resolved at various levels starting at CIG level using the CIG constitution but will be escalated upwards through the existing structures (CDDC, CDDO) to CPSC through the CPCU, NPCU, and NPSC depending on the nature of the complaint;
- b) For complaints involving community members, beneficiaries will be encouraged to report and resolve issues at community level through the CDDC, sub-committees, and management committees or during members' monthly meetings using their constitution. Members may also apply their customary dispute resolution mechanisms as appropriate;
- c) If the nature of a complaint/grievance is such that it cannot be reported or resolved at community level, beneficiaries will be sensitized during community mobilization and other capacity building opportunities on how to escalate their complaints upwards through the project institutional structures from CPCU to NPSC.
- d) If after exhausting the project institutional structures, beneficiaries are still dissatisfied with explanations and solutions offered, they will have the option of seeking justice through the Office of the Ombudsman or through court of law.

Monitoring Complaints

The efficacy of these complaints handling procedures will be monitored and assessed at/during the annual review workshops for any needed modifications. All complaints will be categorized, logged in a register to be maintained at NPCU and CPCUs, collated, and followed up. Complaints and their follow up will be recorded, analyzed and reported in quarterly and annual project reports. The M&E Officers at both CPCU and NPCU will monitor and report on the efficacy of the complaints handling mechanism. The consolidated information will be submitted to the State Department of Agriculture Internal Audit and overseen by the Ministry's Audit Committee. A sample complaints intake form/register is provide in table 12 below:

Table 12: Complaints Log Register

Date	Complainant's Name & Phone No	County	Name of CIG/Micro-project/sub-project	Mode of communication	Issue	Complaint address status	Response Mechanism & date of Response	Remarks
28.03.18	Keino Soi	Kericho	Local Poultry CIG	Phone call	SP always Late for scheduled trainings	SP summoned by CDDC & matter resolved	Meeting between SP & CDDC	Issue resolved
17.06.18		---	---	----	---	----	-----	Issue escalated to the CPSC

The form will facilitate integration of GRM into the MIS for effective tracking of complaint handling. The form will also enable uniformity of reporting which is useful for analysis and comparability between projects sites



ANNEXES

Annex 1: Participatory Integrated Community Development (PICD) Tools

KCSAP COMMUNITY RESOURCE ASSESSMENT: (Project area SIRR/BBS Baselines)

CHECK LIST OF INDICATORS FOR THE PICD PROCESS

Year / Month..... Date.....

Name of Project Ward
Sub-county
County
Area of ward (Km²) Population
Zone No. of villages

	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions		REMARKS
	SOCIO – ECONOMIC/GENDER DATA			
1	Households in the Zone (No.)			
2	Female headed households (No.)			
3	Female managed households (No.)			
4	Average No. of persons per household			
5	Disadvantaged persons (health or physically (No.)			
6	% proportion of HHs having cases of drugs and substance abuse			
7	% Proportion of HH receiving relief food			
8	% proportion of HH receiving drought/emergence seed			
9	% proportion of livestock receiving relief feeds			
10	Average No. of out of school youth per household (specify by gender)	<u>boys</u>	<u>Girls</u>	
11	Average No. of school-going children not attending school per household (specify by gender)	<u>boys</u>	<u>Girls</u>	
12	Students in Colleges and Universities in the Zone- specify gender (No.)	F	M	
13	Km of all-weather roads/rural access roads in the location			
14	Hospitals/Health centers/ Dispensaries/Mobile clinics (No.)			
15	Existing micro-finance institutions in the zone (specify) (No.)			
16	VCs within existing CIGs in the Zone (No.)			
17	% vulnerable and resource poor in the Zone - VMGs (Specify the criteria for selection) IPs present – specify gender (No.)			
18	Main source of income in the Zone:			

	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions	REMARKS
19	% Permanent employment (public/private)		
20	% On-farm casuals		
21	% Other casual work		
22	% Burning charcoal		
23	% Local retailing (specify)		
24	% Hawking		
25	% Agricultural produce (specify)		
26	% Livestock sales (specify)		
27	% Other (specify)		

AGRICULTURAL DATA			
CROP PRODUCTION DATA			
	Description of indicator	Units (indicate)	Remarks
30	Crop Production Data		
	Description of indicator		
32	Average income per farm (per farmer) realized (Kshs.)		
33	No. of crop small scale processing plants		
34	No. of crop medium level processing plants		
35	No. of crop large scale processing plants		
36	Total quantity processed		
37	Average farm sizes (specify nit – acres or hectares) / house-hold		
38	Farms fully terraced		
39	Farms partially terraced		
40	Average yield of crop –Finger Millet/ Sorghum/ pigeon pea/ cowpea/ beans/ green grams/ cassava/ potato Banana Tomato Others (specify) (Kg/acre) best season		
41	% Proportion of Households with food in store		

	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions	REMARKS
42	Months with enough food in store		
43	HH processing fruits or vegetables or other products (specify)		
44	No. Organizations on produce marketing in the Zone		
45	Farmers doing road/surface water harvesting		
46	Farmers keeping farm records		
47	Farmers following crop rotational schedules		
48	Farmers doing composting/Zone		
49	% Farmers with grain storage cribs		
50	Total number of storage cribs		
51	% Tree cover in the zone.		
52	% proportion of area under crop		
	Livestock Production Data		
53	No. of Dairy cows in the zone		
54	% proportion of HH with Dairy cattle		
55	Average no. of cows per HH		
56	% proportion of HH with cross bred cattle		
57	Average Farms with crosses		
58	Average milk production per dairy cow/day (specify)		
59	Number of Zero Grazing Units		
60	No. of HH with improved poultry units		
61	Average Number of improved chicken/HH		
62	% Proportion of HH with indigenous poultry		
63	Average no. of chickens per HH		
64	Number of farmers keeping dairy goats		
65	Number of dairy goats		
66	Ave. no. of goats per HH		
67	Milk production per goat per day		
68	No. of farmers on aquaculture (fish farming)?		
69	No. of ponds/other systems on fish farming in the zone		
70	Average Number of bee hives		
71	No of HH with bee hives in the zone		
72	Average kg of honey harvested per hive/season		
73	No of honey processors in the Zone		
74	Carpenters making Improved hives		
75	No. of Farms keeping pigs		
76	Average number of pigs/household		
77	% proportion of HH with Pasture plots		
78	No. of organizations on honey marketing		
77	No. of livestock small scale processing plants		



	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions	REMARKS
78	No. of livestock medium level processing plants		
79	No. of livestock large scale processing plants		
	Environment and Natural Resource Data - Forestry		
80	No of individual tree nurseries		
81	No of Group nurseries		
82	Proportion of land under trees /HH		
83	Homes with energy saving jikos		
84	% Households using charcoal as the main source of energy in the zone		
85	Proportion of HH with electricity		
86	% Households using off-grid power (specify)		
87	% Households using fuel wood as the main source of energy		
88	No. of wetlands spots in the zone		
	Water Resource Endowment		
89	No of Farms doing irrigation in the Zone		
90	Number of earth dams/shallow wells/water pumps in the area (specify)		
91	Number of permanent/seasonal rivers in the Zone		
92	Average Kilometers to nearest water source		
93	No. of households served with piped water		
94	Number of protected springs		
95	No of Homes with roof harvesting tanks		
96	No of Homes with water jars		
96	No of Homes with water jars		
	Presence of development programs/p-p Partnerships in Extension Service/ Research Technologies		
97	No. of NGOs or projects in the zone		
98	No. of persons on private service provision in the Zone (specify)		
99	No. of research issues identified within project location and		
	No of homes with roof water harvesting		
100	Proportion of farmers adopting various tech in the zone		
101	No. of market and Marketing strategies for VCs developed and promoted		
102	No. of trainings done by research within the last 4 years in the zones		
103	No of times farmers received agric leaflets		
104	Who is providing extension services in this location? Private SP/Public SP (specify)		
	Farmer Associations/Empowerment		
105	No of farmer associations/CBOs in the zone		
106	% proportion of farmers members to farmer organizations		

	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions	REMARKS
107	No of farmers who have received credit for agro-processing.		
108	Proportion of farmers who have heard of KENFAP		
109	Proportion of farmers who are members of KENFAP		
	Agribusiness and Market Development		
110	No of farmers doing value addition/agro-processing? (specify)		
111	What is the source of power for the agro-processing activity?		
	Information & Communication/Agro Weather Advisory		
112	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through printed materials (leaflets, booklets etc)		
113	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance, crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through radio		
114	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance, crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through extension agents		
115	No. of farmers accessing information on Agro weather crop production, sustainable land management, Crops/livestock insurance disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through fellow farmers		
116	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through demonstrations		
117	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through learning tours		
118	No. of farmers accessing information on Agro weather, sustainable land management, Crops/livestock insurance crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through mobile phone		

	Baseline Indicators (Zonal Level)	Number Before KCSAP Interventions	REMARKS
119	No. of farmers accessing information on Agro weather, sustaina-ble land management, Crops/livestock insurance crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through Internet		
120	No. of farmers accessing information on Agro weather, sustaina-ble land management, Crops/livestock insurance,, crop production, disease control (Crops/livestock), pest control(Crops/ livestock), Value addition materials, market information through TV		

Name of Crop	No. of HH growing the crop	Area planted with the crop (acres)	Average yield per acre in Kgs	Estimated annual production in the zone (remember 2 seasons per year) in kgs	Total annual income realized in the zone (production (kgs)x average price)	Quantity processed (kg)	Percentage (%) of crop under intercrop	Remarks

Enterprise production and marketing information – in the project location



A. Output and Sales

Crop Type	Average yield for each crop per acre	Proportion of crop sold per household (average)	Main buyers	How produce is sold	Average price per unit	Proportion of produce lost per HH	Reasons for loss
1							
2							
3							
4							
5							
			Codes for buyer type Error! Reference source not found..4 1=Small trader 2=large trader 3=Middle man 4= KTDA 5=Coffee coop 6= NCPB 7=miller 8=other coop 9=NGO 10=Consumer 11=Other specify	0=No value addition 1=Elementary (sorting, grading, cleaning, packaging, brand in cooling) 2= Processed (change in form, product transformation)			1=Pest/disease 2=too much rainfall 3=too little rain 4=Rotten due to lack of market 5=Theft during production 6= Theft after harvesting

B) Livestock output and Sales

Type livestock product	Average amounts produced per day or month	Proportion of produce sold per household	Main buyers	How produce is sold	Average price per unit	Proportion of produce lost per HH	Reasons for loss
1							
2							
3							
4							
5							
			Codes for buyer type Error! Reference source not found..4 1=Small trader 2=large trader 3=Middle man 4=Processors 5=Cooperative 6=Local consumers 11=Other specify.....	0=No value addition 1= Elementary (grading, packaging, branding, cooling) 2= Processed (change in form, product transformation)			1=Spoilage due to lack of market 2=diseases 5= Theft

Community Mapping

The mapping tool is used to get a physical picture of the community, the surrounding landscape and its boundaries. It shows the resources in a community, which include infrastructure, houses, water sources, schools, churches, crops, hills and other important aspects that can be mapped. The participants are asked to draw their map on the ground citing the following boundaries, major physical features, things they have done that they are proud of, available resources, resources that are source of conflict and where people live.

Questions on the map

When processing the community map, an appreciative approach is used to appreciate community's efforts.

Q: What are the resources we are proud of?

Q: What are the major gaps?

Q: What are the things you would want to do something about in the short period?

Q: What are the sources of conflict?

Q: where do your children go to school?

Q: Where do the women fetch water/firewood etc

Q: What is the importance of the community resource map?

Resource Bag

The tool helps the community to brainstorm on the resources they have. It is therefore used to identify and analyze the real issues that affect the community. The tool if well analysed can assist in planning around the available resources for development.

Participants are asked to fill the resource bag with resources available in the region.

Questioning the tool:

Q: with all the resources, why are we not developing?

The 24 hour day schedule

The 24 hour schedule is a tool used to analyse the way different sectors in the community spend their time on a daily basis. This tool, if well analysed, reveals the time spent by both men and women on productive activities.

It is a self-reflection tool that enables the community to start questioning their activities.

The approach uses examples within the community and comparisons are made locally. This is intended to provide the participants with examples from within them, from their own fathers, own mothers and their own children.

Generally, the participants should be divided into groups on the basis of the ages; the youth, the middle age, and those of advanced age. The young men are divided into men and women and then asked to determine what girls of their age group living in the rural areas do on a normal day for 24 hours.

The middle aged men are asked to determine what the women of their age group do and likewise for the men.

Those of the advanced ages are asked to reflect back on the duties performed by their parents; the women reflecting on their mothers and the men reflecting on their fathers.

At the community level, subdivide the community members into age groups to capture most of the information. These could be the old men, young men, Morans / male youths, the elder women, young women and the girls.

In facilitation of this tool do not just stop at the gender issues but look at the trends taken in the schedules. The subject matter is the work trends. Look at all the schedules of the different groups. The discussions should lead the men to discover their work habits. As the current men discover that their fathers worked for longer hours than they do.

Example: In their ethnic groups, participants develop 24 hour day schedules for:

- a) men/women 40 years ago,
- b) men of today (30 years and above)
- c) And young boys/girls of today.

Discussion on the tool

Q: What are the trends emerging from this?

Q: What does this tell us?

Q: What should we do?

Seasonal calendar

The tool depicts the pattern of life in a community. It shows the activities and events in the

particular community in the course of a year. It indicates the regular cycles and patterns of activities and happenings in a community over a period of twelve months. It includes among other activities the annual rainfall patterns, water availability, disease patterns, animal diseases, migration patterns, farming activities, social and religious ceremonies etc. it gives a picture of the gender roles, and social, religious and even economic activities in the community.

A seasonal calendar therefore shows activities plotted against months of the year.

The calendar helps both the community members and the development workers to plan and know:

- Period when major interventions can take place in the community
- Who is busy and who should be involved in any new interventions?
- Which are the activities that need improvement
- Who are the other players who can be involved in the community activities

Q: What is the importance of having the seasonal calendar?

Family vision

After individuals have developed their mind set, ask different families to be together. In family visioning men and women are encouraged to come together and plan i.e. family plan. Community development works only if it starts from the family. The people cannot come up with community action plans if at the family level they cannot plan. Put people into sectorial groups for instance those interested in business, livestock keeping and agriculture

Looking at the African situation, according to the tradition, it is the man who plans himself (whether he has two wives, one wife or more). He does not consult with his wife and children. Women involvement in planning is very important and emphasized.

Facilitation of Family Visioning

- i) Focus on the financial area of your life. What is your annual income? How much do you spend per day, month etc (cash flow). How much do you earn per month or weekly. How much have you saved and invested. What is your total net worth?
 - What does your home look like?
 - Where is it located?
 - How many acres of land
 - What colour are the walls?
 - What does the furniture look like?
 - Walk through your perfect house, filling in all the details.

- ii) Next visualize how you are communicating, e.g. motor bike, car, bicycle etc.
- iii) Next visualize your ideal job or career, where are you working? What are you doing? With whom are you working? What kind of client or customers do you have? Is it your own business?
- iv) Then focus on your free time, your recreation time. What are you doing in the free time you have created for yourself? What kind of vacation do you take? What do you do for fun?
- v) Next, what is your ideal vision of your body and your physical health? Are you free from all diseases? Are you flexible as well as strong?
- vi) Ideal vision of your relationship with your family and friends. What is your relationship with your family like? Who are your friends? What is the quality of relationship with your friends? Are your friends loving supportive, empowering? What kind of things do you do together?
- vii) What about personal area of your life? Do you see yourself going back to school? Getting training, attending workshops, what game do you want to play, where do you want to travel to?
- viii) Finally focus on the community you live in, the community you have chosen. What does it look like when it is operating perfectly? What kinds of community activities take place there? What about your charitable work? What do you do to help others and make a difference? How often do you participate in the community activities? What services are readily available, how is the security? What are the income levels of the people etc?
- ix) The security of self and children (protection), schooling, health and water.

Pair-wise Ranking

This is a comparison tool used to prioritize between two different issues raised by the community. Participants are asked to reflect on the sessions that have passed and identify the issues raised by different tools. The listed issues need to be ranked for prioritization.

From the previous tools (Attitude change and Situation Analysis) participants raise issues that they should do something about. The list is therefore subjected to **pair wise ranking**. Pairing two issues at a time, a consensus is built on the importance of these issues by the entire community.

Visioning matrix

Task: The issues are placed on the left-hand column of a four-column matrix. The other three columns are: the past 40 years ago (this may vary according to age bracket of the participants it

should be as far as what they can remember), present, and preferred future (10 years to come). Each issue is examined for how it was in the past, present and preferred future. On the ground present the matrix using symbols for issues.

For example:

<i>Period</i> <i>Issue (aspect)</i>	<i>Past (40 years)</i>	<i>Present</i>	<i>Preferred future (10 years with action)</i>
1. Education Infrastructure	📖	📖📖	📖📖📖
2. Clean Water			
3. Crop Production	🌾	🌾🌾	🌾🌾🌾

Planning Phase

Long Term Goals

This tool is done hand in hand with the visioning matrix. Long-term goals depict the preferred future of a community on the aspects of life they have identified as important to them. Referring to the visioning matrix already developed by the community, this tool seeks to change the preferred future on each aspect of life into a statement.

While presenting the visioning matrix on the ground, let the community members translate the preferred future on every aspect of life, as they understand it.

The long-term goals should be simple and straight to the point as possible. The goal being SMART is not an issue at this point. The goal should also not be a list of activities but a statement describing the desired picture 10 years into the future.H

Community	Issue	Long-Term goal statement
Busia	Water	By the end of 10 years the community shall ensure every household has access to clean and safe drinking water
Kisumu	Education	By the end of 10 years, we should have one primary per village, one secondary school per two villages and one youth polytechnic

Selection of community representatives in undertaking PICD process

All the community members cannot be available to attend all the PICD sessions from the first to the last phase. A smaller representative group is identified which is mandated to carry on the process on behalf of the community. It should therefore be made clear that the community will come for at least five meetings after which it is the community representatives in the BBS process that will continue with the planning to complete the process

The selection of the community representatives in the BBS process must be based as much as possible on existing community structures as will have been confirmed after developing the Venn diagram 1 (identification of local institutions).

The committee should be gender balanced and also include the elderly, the youth, people with disabilities and the educated. It should include influential people (those who command respect from the community members) as they will be responsible for mobilizing the community around the activities arising from the development of the plans.

The CDDC will oversee the implementation of the various projects that the community will have come up with (more details are explained in the PIM).

Visioning Matrix Discussion

Looking at the aspects raised in the visioning matrix, the community representatives in the BBS process discuss the reasons for the situation by answering the following questions.

- Why did we come from the past to the present?
- What should we do to move from the present to the future?

The reasons can also be positive and therefore the analysis looks at the strengths and the efforts that have been used to make the difference and hence the things to be done would build on the strengths.

Short-term Goals

A time frame that is shorter than the one for long term goals (preferably 3 to 5 years) is set during which the community will implement the projects they have discussed and agreed upon from amongst the steps towards the long term goals. Short term goals are developed based on the interventions identified in *what can we do* question in the Visioning Matrix Discussions. The short-term goal statement should be **SMART**. The developed community goals should be tested against the basic principles of **SMART goals**

Example

Community	Issue	Short-term goal statement
Bondo	Income	By the year 2009, 5 organized groups within the sub location shall have accessed loans from micro-finance institution

Future Mapping

The community members illustrate how they would like their community to look like 5 years in to the future as set in the 5 years short-term goals. Anything that can be visualized, natural or man-made, can be included in the map.

After the community development planning committee has developed the future map, it should invite the larger community to come confirm it.

The future map gives the community the motivation to work, a vision on which they will focus and work towards.

Community Integrated Plan

The CIP is a planning tool that outlays the ideas the community has decided to follow to enable them achieve their short-term goal. It captures the main elements of the community’s plan. A format could be designed for this purpose and it should include as much relevant details as possible about the community’s planned action.

The community representatives in the BBS process fills up these activities. The committee would need some basic training to do so.

Once the community representatives in the BBS process has completed the CIAPs, the larger community is invited once more to confirm the CIAPs.

The facilitator introduced the following format of a CIAP to the participants

Short Term Goal Statement:

<i>What?</i>		<i>Who?</i>	<i>When?</i>	<i>Where?</i>	<i>Resources required</i>	
<i>Main</i>	<i>Sub-activities</i>				<i>Description</i>	<i>Cost</i>
1.	a.					
	b.					
2.	a.					
	b.					
	c.					
3	a.					

The CIAP will help the community confirm if the plans they have come up with are achievable or are way beyond their means. It should be emphasized that the CIAP developed at the community level is not for seeking donor assistance but a CIP of the activities/projects the community members can start off in their own small way using the resources they have. It should be clear that the facilitating organization's role is to ensure that they have the Capacity to come up with their own plans.

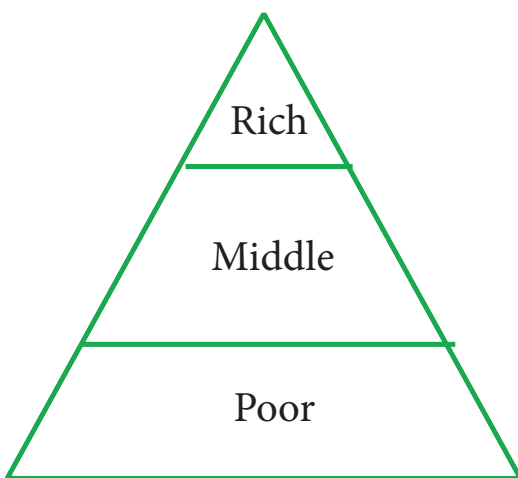
The facilitating organization would contribute to the community's efforts if they have the resources, but if not, they would assist the community by linking them to other organizations and people who could be of help.

Resource Mobilization

Wealth Ranking

After the CIAP sharing, the committee needs a tool to help them rank the entire community membership for resource mobilization. The wealth ranking tool is ideal to use because it categorizes all the community members into their different economic Capabilities', which would influence their contributions towards the different projects.

The committee identifies the different categories of people, economic wise, found in the community e.g. rich, very rich, middle, poor, very poor etc.



They then identify a criteria describing each of the above identified categories in the particular community e.g. based on the houses, ownership of domestic animals, eating habits, education of the children, mode of transport, employment and position held etc. The community members are then ranked against these criteria. The community members know each other very well and can tell what every member owns.

Incidences of community members refusing to be termed as rich or to be ranked at their right place is taken care of by the fact that committee members themselves decide where someone is to be ranked and not the individual person being ranked.

The committee members usually rank the community members based on what they can see about the person's lifestyle on day to day basis.

Venn diagram II – External Institutions

The tool follows the same principles of the Venn diagram I: Local Institutions. However, at the planning phase, this tool seeks to identify/show the importance and the relationship of institutions and organizations external to but working in the community.

These institutions and organizations would include amongst others NGOs, government departments and institutions, private organizations etc.

The size of the chapatti is determined by the institution's relationship with the community and the community's perception.

Potential partner institutions outside the community are also plotted.



Annex 2. Format for ‘Expression of Interest (EOI)’

The Kenya Climate Smart Agricultural Project (KCSAP) hereby invites eligible Service Providers (SPs) to provide technical advisory services to farmer groups within identified project areas in y county of Kenya.

KCSAP supports TIMPs that will lead to increased productivity, build resilience and reduce greenhouse gases (triple wins) and uses agricultural value chains approach as well implementation of sub-projects. As such, services will be offered along these specific value chains. The project is designed to be implemented through the agricultural sector which includes county and state departments of Agriculture, Livestock Development, Fisheries Development, Environment, Water and Irrigation, Cooperative Development, KALRO and the umbrella Farmers Organization - KENAFF. Farmers will access services through CIGs and Producer Organizations which are the vehicles for Farmer Empowerment.

The implementation of KCSAP will be through Consortiums of Agricultural Services Providers which will include extension agents, researchers and input suppliers among others. These Providers may include public and private companies, non-Governmental Organizations (NGOs), Community Based Organizations (CBOs), or Faith Based Organizations (FBOs), Cooperatives among others. KCSAP is keen to work through institutions and individuals with a mechanism to support agricultural value chains, with a focus on smallholder agriculture in rural areas, their farmer organizations at local, county and national levels.

The overall objective of the assignment is to provide farmers with services that enhance productivity in the selected value chains while incorporating TIMPs that enhance sustainable natural resource (land and water) management for increased productivity and building resilience to effects of climate change and variability. This geared towards improved yields among other benefits accrued from the engagement with the service providing firm/consortium.

KCSAP invites registered firm/consortiums to express interest in providing the above services in accordance with the Problem Statements indicated below. Firms are free to express interest in as many value chains provided they demonstrate capacity to implement them. Interested consultants must provide information indicating their qualifications for performing the services.

Expertise required

The Service Providers should have:

- a) Company Profile including copies of registration certificates, PIN and VAT
- b) Extensive experience in designing and implementing farmer-based development projects.
- c) Be knowledgeable in, climate smart agriculture
- d) Be knowledgeable and experienced in, Agricultural value chain
- e) Evidence of having relevant participatory skills and capacity building of farming/pastoral communities.
- f) Description of similar work undertaken in the last 3 years including contacts of references.
- g) Detailed C.Vs of the key personnel in the team proposed to undertake the assignment.

Interested and eligible firms may obtain additional information from the respective County project Coordinating Units located in the areas where they seek to provide the services. Completed Expression of Interest in plain envelopes clearly marked “Ref: KCSAP2017EOI/1” and indicating the specific value chain (amongst those attached in this advertisement) the service provider is interested in and be addressed to:

County Project Coordinating Unit Coordinator
Makini County (indicate the actual county)
P.O Box.....
MAKINI

These should reach the CPCU Coordinators Office before 5.00 pm on 5th July 2018. EOI will be opened immediately thereafter and the firms or their representatives will be free to attend the opening. Request for Proposal documents will thereafter be sent to the successful firms with specific Terms of Reference.

Problem Statements' (various value chains).

1. Staples Value Chain

Tumaini County has **14 divisions** and has **8,000** farm households. According to results of the PICD and millet Value Chain analysis carried out by the sub-CTAC and vetted by the CTAC in the months of July and August 2017, millet is an economic mainstay in **10** of the 14 wards where about 300 **farmers** are actively involved in the enterprise courtesy of KCSAP interventions in 2 of the 10 wards and situated in Agro ecological zone Low midland three

Production averages at **10 bags** per acre (expected average yield is 30bags) and an average farmer plants millet in **10 acres** per season giving a total production of **200 bags** per season per farmer. With involvement of **300 farmers**, this gives a gross production of **30,000 bags per season**. On farm research reviewed that with use of minimum tillage (CA) using a jab-planter (hand planter) or dibble stick under minimum tillage practices in Agro ecological zone Low midland three during short rains can achieve yields of around 30bags per acre.

Kenya Meteorological Department (KMD) reports indicated average reduction of rainy days by 40% in short rains and 32% reduction in rainy days in long rains. The area has loose sandy loamy soils and has an average slope of 38%. Farmers have been tilling their land relatively deep in absence of soil and water conservation structures. Due to inadequate knowledge and skills on appropriate TIMPSs.

Annex 3. Format for Terms of Reference and Request for Proposals.

The Consortia that are shortlisted are provided with detailed Terms of Reference requesting for detailed proposals on how to provide solutions to the problem statements.

The TOR would:

- i) Explain the objective of the KCSAP
- ii) Describe the advisory service delivery approach,
- iii) High-light the problem statement that states the value chain challenges
- iv) Articulate the expected terms of engagement – so that a prospective bidder can formulate its proposal accordingly e.g. incorporate mechanisms that would assist the project to realize the achievement of the laid Key Performance Indicators (KPIs) as they suggest solutions to the challenges, Provide guidelines on how to structure the proposal



Annex 4: Format of Formulating and Presenting the Proposals

The expected proposals should incorporate the following attributes:

- i) How to build and achieve CSA at farm and community level: as a strategy of addressing the problem statement.
- ii) Demonstrate understanding of key elements of CDD approach such as leadership roles at community level, participatory planning and implementation, beneficiary grant management

In a summary form, every proposal should be ‘SMART’ to address the problem statement and incorporate the following subtopics:

- i) Baseline information on productivity/yield
- ii) Consortium targets to be reached in terms of number of beneficiaries of which female (%)
- iii) Outlay of envisaged interventions at group/community level
- iv) Envisaged EDP/investment opportunity at group level laid-out for flagging.
- v) Approaches and methodologies to be used as well as planned interventions at individual and group levels
- vi) Detailed description of the consortium outlining the areas of specialization (CV, experience), geographical coverage and contacts of each of its members.

Annex 5: Evaluation Criteria for the Technical Proposals. (FORM A)

No	Criteria	Sub criteria	Max Score
1	The strategy to apply in engagement with beneficiaries	a) Articulation of the expected benefit (SMART) accruing to a beneficiary/farmer	3
		b) Articulation of expected interventions at farm/group level to address whole or parts of the 'problem statement'	5
		c) Articulation of the Investment Opportunity information to be used in the flagging	7
		Subtotal score	15
2	Details of extension approach/ methodology to apply	a) Articulation of interactions inter-phase with beneficiaries: Working with Groups (CIGs/VMGs) (4 marks), general population (0 Marks)	4
		b) How to go about community planning and relation to (a)	3
		c) Geographical coverage	3
		Subtotal score	10
3	Personnel: Experience, qualifications, roles and Adequacy	Team Leader	3
		Other Experts	5
		Grass-root experts- Numbers, distribution and adequacy	7
		Subtotal score	15
4	A framework of the expected outputs in terms of changes in yields and earnings at the individual farmer level, CIG and county level	A framework in place (ref to pg 3 or 10 of the dummy proposal- response)	8
		Applicability (is it feasible/realistic)	4
		SP firm mission stated in Ksh and delivery of Triple wins	3
		Subtotal score	15
5	The approach to reach out to the resource poor and minority / marginalized Communities	Deliberate incorporation (into the proposal) of relevant interventions targeted to these groups Are they climate smart TIMPs?	5
		Subtotal score	5
6	The information and communication strategy to apply including reporting and feedback.	a) Planned Strategies for Information sourcing and Sharing	2
		b) Procedure in generation, compilation and submission of reports	3

			5
7	The strategy the firm intends to apply to integrate youth and gender	a) Any mention of different genders/VMGs in the proposal and the strategy to involve them	3
		b) Does the proposal define roles for different genders and VMGs	4
		c) Any special targeting for different genders and VMGs	3
		Subtotal score	10
8	The strategy to incorporate Participatory Monitoring and Evaluation mechanisms, and Socio and Environmental safeguards	a) Procedures put in place to incorporate P,M&E	5
		b) Mechanisms for mainstreaming socio and environmental safeguards	5
		Subtotal score	10
9	The identification of research and learning lessons	mention/description of strategies to implement and strengthen linkages with extension and farmers	5
			5
10	Promotion of PPPs in relation to other value chains/enterprises	Does the proposal provide for opportunities and linkages with other CSA and industry/growth players, is it feasible?	5
		Subtotal score	5
11	Any other necessary intervention for the success of the proje	(Scoring justification required)	5
		TOTAL	100



Annex 6: Funding/Contracting Compliance Benchmarks (FORM C – Grant 1)

County:		
Value chain:-/Enterprise		
1	Name of the Selected Consortium:.....	
2	Name of the Team leader:	Cell number
3	Firm Located/based where.....	
4	Intended coverage as per the problem statement in the Terms of Reference(div/locations)	
5	Consortium’s planned coverage (locations).....(call it area Y)	
6	Are there any other consortium(s) selected on the same value chain? No/ Yes. If yes, no. of locations	
7	1. Competitively selected in respect of Area Y, <u>Yes/No.</u> if no, then single sourced	Mode of selection:

Details of competitive selection (with respect to Area Y only)

8	Number of Firms that expressed interest to offer services in the value chain:-		
9	Number of Firms that received the VC specific TOR:-.....		
10	Number of firms that developed the Proposals- with respect to Area Y:		
Results of the Technical Evaluation (preliminary selection) Scores:-			
11	Firm a)	(Names)	Scores %
	Firm b)		Scores %
	Firm c)		Scores %
12	Firm b)	1	Firm a)
	Financial negotiation/rationalization:		
	Un-negotiated budget (Ksh)		
			Final negotiated budget (Ksh)

Implementation and Payment Benchmarks (for MIS for M&E purposes)

13	Number of ward	
14	Number of Targeted CIG beneficiaries	
15	Current enterprise performance(earnings)	
16	Consortiums target	
17	Clarity of required interventions	
18	Details of Flagging/investment opportunity at farm level	
19	Consortiums vision	



Funding/Contracting Compliance Benchmarks (SUBSEQUENT GRANTS)

County:

Value chain:-..... Project CODE :

1	Name of the Consortium:		1
2	Name of the Team leader:	Cell number:.....	2
3	Firm Located/based where:		3
Implementation and Payment Benchmarks- as informed by the Investment Opportunity and the CSA Plan)			
4	Number of Ward		4
5	Number of Targeted CIG beneficiaries		5
6	Current (GRANT 1)enterprise performance(yield and CSA)		6
7	Consortium target		7
8	Clarity of required interventions		8
9	Details of Flagging/investment opportunity at farm level		9
10	Key features of the envisaged co-operative Business Plan		10
11	Agreed Payment schedule as agreed during the PCW – Assume the Contract Fee PEGGED ON the yield increase / value *		11
12	Deliverables		PAYMENT TRANCHE
	Indicator	Outputs/Activities	
	Corporate increase in % increase in yields and TIMPs as from the co-operative/company	Yields increase and TIMPs implementation progress from sales of Poultry products	
			a
			b

Annex 7: Sample Contract between a Service Provider (Consortia) and CVCDC

This Contract for Farmer Grants to pay for Service provision is being entered into on this..... Day of.....Between

(Name of CIG/ VMG/Producer Group (Organization) and (Name of Service Provider) through the Kenya climate smart agriculture Project (KCSAP) for the Activities Of(Name of service to be provided) for a period of **Twelve** Months.

- 1) WHEREAS the CIG/VMG/Producer Group (Organization) has entered into an agreement dated..... With.....Name of the Service Provider as Registered).
- 2) The Service Provider has met the conditions required by project rules and Operational guidelines to become eligible as a Service Provider and confirm by a copy of the endorsement report by the County Service Unit office. The Service Provider will undertake the following actions:
 - (i) Mobilization of the community to form an enterprise based CIG/ VMG/Producer Group (Organization)- (Flag opportunities based on a specified Terms of Reference)Guide the CIG/ VMG/Producer Group (Organization) to draw a Value chain specific Enterprise Development Plan (EDP).
 - (ii) Conduct Participatory Planning/contracting Workshops (PCW) in order to participatorily develop Work plans and budgets and/ or proposal to undertake project activities.
 - (iii) Ensure the registration of the CIG/ VMG/Producer Group (Organization) as required under the laws of Kenya.
 - (vi) Ensure democratic election of a Management Committee and sub- committees of the CIG/ VMG/Producer Group (Organization).
 - (v) Ensure that the CIG/VMG/Producer Group (Organization) has opened a KCSAP bank account.
 - (vi) Work with the community to implement the CIG/VMG Value chain specific Enterprise Development Plan (EDP).

- 3) It is understood that funds meant for the aforementioned activity will not be used for any other purpose than that indicated on the CIG/VMG/Producer Group (Organization) Grant Proposal and the approved implementation benchmarks
- 4) In addition, KCSAP will disburse funds and supervise the implementation of the Work-plan in accordance with KCSAP Operational Procedures (Guidelines).
- 5) Payment

A. Remuneration

For services rendered, the CIG/VMG/Producer Group (Organization) shall pay the Service Provider Ksh: (Amount in words) as gross salary/ allowance/Professional fee over a period not exceeding 12 months to link poultry farmers to better markets outlets and production for 2,000 farmers to realize Ksh 42 million from the new interventions.

B. Schedule of Payment

The payment shall be done in accordance with the agreed schedule specific to the nature of the Value Chain being supported and nature of service offered and will be in tranches as follows:

- i) Payment of will be released to the Service Provider upon signing of the contract;

This benchmark is an outcome of the following key activities as per the implementation operational procedures:-

- ii) Payment of will be released to the Service Provider on Confirmation through a report by the CIG/VMG/Producer Group (Organization) Management committee that the Service Provider has satisfactorily attained the agreed benchmark(s)

Benchmark: -----
--

This benchmark is an outcome of the following activities as per the work plan/EDP

- a) -----
- b) -----

- iii) Payment of will be released to the Service Provider on Confirmation



through a report by the CIG/VMG/Producer Group (Organization) Management committee that the Service Provider has satisfactorily attained the agreed benchmark(s).

Benchmark: -----

This benchmark is an outcome of the following activities as per the work plan/EDP

- a) -----
- b) -----

iv) Payment ofwill be released to the Service Provider on Confirmation through a report by the CIG/VMG/Producer Group (Organization) management committee that the Service Provider has satisfactorily attained the agreed benchmark(s)

Benchmark: -----

This benchmark is an outcome of the following activities as per the work plan/EDP

- a) -----
- b) -----

Management committee that the Service Provider has satisfactorily attained the agreed benchmark(s)

Benchmark: -----

This benchmark is an aggregate outcome of the professional interventions and that Consortium has prepared an acceptable FOLLOW-UP poultry Business Plan to upscale the accomplishments recorded during the first year.



Annex 8: The Beneficiary Record Sheet, Grant Disclosure and Payment Benchmarks Form (FORM F)

Value Chain/CIG Individual Member’s Progress Record Sheet:

County Value Chain/Enterprise

1. Name of the Farmer M / F	2. Contact (mobile)
3. CIG CODE NUMBER	4. Ward.....

5. Annual Baseline performance BEFORE ‘KCSAP interventions: Used to keep 30 chickens and would sell 10 chickens at Ksh 200 and earn 2,000 and 5 trays of eggs at Ksh 200 per tray and earn 1,000 per year. Total for enterprise Ksh. 3,000

Expected Gross Annual Earnings made by 2,000 beneficiaries through SP efforts (Ksh)	Cost of the Annual Contracted Services (Grant to 2,000 members) Ksh1,536,000	Total money (ksh) made by beneficiaries to allow payment of 10% of 1.536m to SP	Total money made by beneficiaries to allow payment of 20% of 1.536m to SP	Total money made by beneficiaries to allow payment of 30% of 1.536m to SP	Total money made by beneficiaries to allow payment of 40% of 1.536m to SP
Year 1 97,000,000			9,700,000	30,000,000	70,000,000
Year 2					
Year 3					
Year 4					
Year 5					

6. Individual Vision on the Enterprise: Increase production, make annual sales of 300 chickens at Ksh350 each and 200 trays of eggs at Ksh 250 and earn Ksh 155,000.

7. Contract Terms between the CVCDC and the Consortium (Service Provider-SP):

Annex 9. Sample Progress Reporting Format

Reporting quarter e.g. (Q1 2017/18) (Q1 is July-Sep)	Size of the enterprise (No. of Birds)	No of eggs start	TIMPs baseline status (clear description of the TIMPs)		No of eggs and birds 1 st quarter Date:.....		1 st quarter TIMPs implemented Date.....		Remarks
			Eggs	Birds	Eggs	Birds	Eggs	Birds	
Q1									
Q2									
Q3									
Q4									
TOTAL									

POULTRY Quarterly Enterprise Progress Performance report

CROPS

Reporting Quarter	Harvest Season	Yield					Remarks

APICULTURE

Reporting Quarter	Number of Hives	Liters of honey harvested					Remarks
	Types						

BIG STOCKS (MEATS)

Reporting quarter	No. of Animals	Sex		No. of New Born				Remarks
		M	F		No	Price		

Annex 10:- Beneficiary Service Delivery Certification Report (BSDCR-Form D)

Section A : Terms of Engagements -Implementation and Payments Benchmarks

	Regional Service Unit/ Value Chain	
	Name of the Service Provider –Consortium	
	Name of the Team leader/Contact	
	Number of ward/CIGs	
	Total Number of Targeted CIG/VMG beneficiaries	
	Current enterprise performance(earnings)	
	Consortiums target	
	Clarity of required interventions	
	Details of Flagging/investment opportunity at farm level	
	Agreed Payment Benchmarks -between beneficiaries and the consortium-	The cost of service provision

Section B: Achievement Certification and Payment Approval BY THE County VC OFFICIALS

Approval of Payment for Benchmark No. 1. Payment of 10% Kshbeing 10% of Ksh

Position	Name	Sign	
Chairman			Comments : CPCU Coordinator
Secretary			
Treasurer			
Comments: CIG Officials We the above signed officials of theVC certify that benchmark threshold <u>number one</u> has been achieved as per the attached documents and the payment can now be effected upon delivering them and acceptance by the CPCU . 1. Lists of all the CIG/VMG Members 2. CIG/VMG Inventories capturing the Baseline Information of individual members 3. Lists and particulars of democratically elected CIG Leaders at CIG, Ward Levels. DATE:			

The CPCU M&E Officer to login all this data in excel worksheets in readiness to feeding them into the KCSAP MIS system.

Approval of Payment for Benchmark No. 2. Payment of 20% Ksh being 20% of Ksh



Sign		Chairman	We the undersigned officials of theCVCDC certify that benchmark threshold <u>number two</u> has been achieved as per the attached documents and the payment can now be effected upon delivering them and acceptance by the CPCU.
		Secretary	
		Treasurer	
Comments: CPCU Coordinator			<p>1 . CIG/VMG Inventories capturing the Baseline Information and cumulative production and earnings of the individual Members at a specific time period (.....).</p> <p>2. CIG/VMG Inventories summaries for locations</p> <p>3. CIG/VMG Inventory summaries for WARD and the aggregated Totals that inform the Payment Benchmark number 2.</p> <p>DATE:.....</p>

Approval of Payment for Benchmark No. 3 Payment of 30% Ksh being 30% of Ksh

Sign ...		Chairman	We the undersigned officials of the CVCDC certify that benchmark threshold <u>number three</u> has been achieved as per the attached documents and the payment can now be effected upon delivering them and acceptance by the CPCU Coordinator.
		Secretary	
		Treasurer	
Comments: CPC Coordinator			<p>1 . CIG/VMG Inventories capturing the Baseline Information and cumulative production and earnings of the individual Members at a specific time period (.....)</p> <p>2. CIG/VMG Inventories summaries for locations</p> <p>3. CIG/VMG Inventory summaries for WARDSs and the aggregate Totals that inform the Payment Benchmark number 3.</p> <p>DATE:.....</p>

Approval of Payment for Benchmark No. 4 Payment of 40% Ksh being 40% of Ksh



Sign ...		Chairman	<p>We the undersigned officials of the CVCDC certify that benchmark threshold <u>number four</u> has been achieved as per the attached documents and the payment can now be effected upon delivering them and acceptance by the CPCU.</p> <p>1. CIG /VMG Inventories capturing the Baseline Information and cumulative production and earnings of the individual Members at a specific time period (.....).</p> <p>2. CIG/VMG Inventories summaries for WARDS</p> <p>3. CIG/VMG Inventory summaries for Divisions and the aggregated Totals that inform the Payment Benchmark number 4</p> <p>DATE:</p>
		Secretary	
		Treasurer	
		Comments: CPCU Coordinator	

CPCU M&E Officer to immediately update the MIS system every time these reports are submitted by the County VC officials.

ESM Sub-projects Screening Checklist (Prototype)
(Sub-projects screening process by benefitting communities/Agencies)
Section A: Background information

Annex 11a : Micro/Sub-Project Proposal Format

CDDC Application Number.....

A. BACKGROUND INFORMATION

Name of CIG/SHG.....

Physical location: County: Sub-county:

Constituency: Community/Sub-location:

Ward:

Location:

Address: Telephone:

Membership: Male: Female:

(Attach complete membership list)

Registration No: **(Attach certified copy of renewed registration certificate)**

Bank account (Bank name, branch, account name & number):

.....
.....

..... **(Attach certified copy of current bank statement)**

Nearest market centre to the project site.....

(Attach sketch Map)

Date of proposal submission:

Names of group officials:

1. Chairman: ID No: Cell phone:

2. Secretary: ID No: Cell phone:

3. Treasurer: ID No: Cell phone:

(Attach copies of identity cards for group officials)

Previous activities of the group (for existing groups):

ACTIVITY	FUNDING SOURCE	AMOUNT	YEAR	COLLABORATOR

B. PROJECT PROPOSAL

1. Project Background

a) Project Title:

.....

.....

.....

b) Project duration: Start: End.....

c) No. of beneficiaries: Male..... Female.....

Direct beneficiaries: Male Female

Indirect beneficiaries: Male Female

Vulnerable beneficiaries (poor, widows/widowers, orphans, physically challenged, elderly, HIV/AIDs affected/infected):Male Female

d) Location of the project (coordinates):

e) Project Identification

i. How was the project identified?

.....

ii. Who was involved?

.....

.....

.....

iii. What events took place in developing the project idea?

.....

.....

.....

.....

.....

.....

.....

.....

2. Project Framework

a) What is/are the expected *results* post-implementation (**increased house-hold income, capacity building, up-scaling, building a revolving fund etc**)

b) What is/are the *objective(s)* of the project?

.....



.....

c) What problems does the project aim at addressing at the community level?

- i.

- ii.

- iii.

d) Activities to be carried out:

No.	Activity	Who will provide advise & training (institution or person):	Time
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Attach a separate sheet if space is not enough

e) List the collaborators you will work with

No	Collaborator	Area of collaboration
1.		
2.		
3.		
4.		
5.		



6.		
7.		
8.		
9.		

3. Monitoring of Progress

- a) Who will be involved in monitoring?
.....
.....
.....
- b) How frequent will the progress report be submitted?
.....
- c) Who will be responsible for reporting?
.....
- d) How will the report reach the community members?
.....
.....
- e) How will the proposed project assist in achieving the Project Development Objective (PDO) which is to increase agricultural productivity and build resilience to climate change risks in the targeted smallholder farming and/or pastoral communities?
.....
.....
.....
.....
- f) How will you measure your success in planning, implementing and managing your projects in a sustainable and socially inclusive manner?
.....
.....
.....
.....

g) How will you ensure sustainability of the project?

.....

.....

.....

.....

h) How will you manage the benefits that will accrue from the project?

.....

.....

.....

.....

.....

4. Detailed Budget

Project cost including community contribution (the budget items to include but not limited to: inputs, equipments, training cost, labour, materials, transport, stationery, administrative and supervision cost)

No.	Activity	Budget item	No.	Unit Cost	Total Cost	Community Contribution	KCSAP Grant	Total Amount
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								
11.								
12.								

13.								
14.								
15.								
16.								
17.								
18.								
19.								
20.								
Total project cost:								
Community contribution:								
Total KCSAP grant applied for:¹								

List the in-kind contribution that the group will provide:

A. Labour (man-days & value)

.....

.....

.....

.....

B. Materials (type, quantity & Value)

.....

.....

.....

.....

We certify that the preceding information is true.

Chairperson: signature date.....

Secretary: signature date.....

Group member: signature date.



(For official use only)

Comments by the CDDC:

.....

.....

..... Recommended: Yes No

Date of meeting:

(Attach minutes)

Comments by the Sub-CTAC:

.....

.....

.....

Endorsed: Yes No Date of meeting:

(Attach minutes)

Chairman Name: signature:

Forwarded to CPCU by CDDC Secretary

Name: Signature:

.....

Date: Official rubber stamp:

Attachment 1 – Group membership list

No	Name	ID No	Gender M/F	Age	Contact	Signature ²
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						



12.						
13.						
14.						
15.						
16.						
17.						
18.						
19.						
20.						
21.						
22.						
23.						
24.						
25.						
26.						
27.						
28.						
29.						
30.						

Annex 11b: Community Micro/sub-Project Appraisal Form (Indicative criteria for selection)

The following ranking system focuses directly on the key issues related to project objectives (Increased productivity, building resilience and GHG emission reduction) and seeks to eliminate projects that do not meet those objectives.

Indicator	0	1	2	Give two specific reasons why/why not
1. Will this project increase productivity or build resilience to climate risks or reduce GHG emissions?				1. 2.
2. Is there good participation and involvement of all key stakeholders?				1. 2.
3. Does the project specifically (have the potential) address the concerns of women?				1. 2.
4. How will this project empower deprived and marginalized groups				1. 2.
5. Community capacity to carry out project				
6. Partner Agency capacity to carry out the project				
7. Project feasibility (objectives, budget/ time)				
8. Sustainability (Environmental Assessment)				
Final Score	0	8	16	
0= low score=no; 1=Maybe; 2= high score=yes Max points = 16 Min points = 0				Cut off for acceptance level 9 and above accept 7 and below reject
<p>The question arises as to the “meaning” of the values on the scores in the ratings. The “1” values mean definitely no and the “5” values mean definitely yes but the “3” values mean maybe yes or maybe no and invite further investigation to make a clear decision. The way to define these is for regular meetings of all project committee, SP and sub-county extension agents to debate the numerical meanings against the actual experiences with specific projects in each and across the four regions and will evolve as having a collective participatory meaning rather than any absolute meaning.</p>				

Annex 12A: Environmental and Social screening Check list

ESM Sub-projects Screening Checklist (Prototype)

(Sub-projects screening process by benefitting communities/Agencies)

Section A: Background information

Name of County

Name of CPCU /Researcher

Sub-project location.....

Name of CBO/Institution.....

Postal Address:.....

Contact Person.....Cell phone:.....

Sub-project name.....

Estimated cost (KShs.).....

Approximate size of land area available for the sub-project

Objectives of the sub project.....

.....

.....

.....

Activities/enterprises undertaken.....

How was the sub-project chosen?.....

Expected sub project duration:.....

Section B: Environmental Issues

Will the sub-project:	Yes	No
Create a risk of increased soil erosion?		
Create a risk of increased deforestation?		
Create a risk of increasing any other soil degradation soil degradation?		
Affect soil salinity and alkalinity?		
Divert the water resource from its natural course/location?		
Cause pollution of aquatic ecosystems by sedimentation and agro-chemicals, oil spillage, effluents, etc.?		
Introduce exotic plants or animals?		
Involve drainage of wetlands or other permanently flooded areas?		

Cause poor water drainage and increase the risk of water-related diseases such as malaria?		
Reduce the quantity of water for the downstream users?		
Result in the lowering of groundwater level or depletion of groundwater?		
Create waste that could adversely affect local soils, vegetation, rivers and streams or groundwater?		
Reduce various types of livestock production?		
Affect any watershed?		
Focus on Biomass/Bio-fuel energy generation?		

If the answers to any of the above is 'yes', please include an EMP with sub-project application.

Section C: Socio-economic Issues

Will the sub-project:	Yes	No
Displace people from their current settlement?		
Interfere with the normal health and safety of the worker/employee?		
Reduce the employment opportunities for the surrounding communities?		
Reduce settlement (no further area allocated to settlements)?		
Reduce income for the local communities?		
Increase insecurity due to introduction of the project?		
Increase exposure of the community to HIV/AIDS?		
Induce conflict?		
Have machinery and/or equipment installed for value addition?		
Introduce new practices and habits?		
Lead to child delinquency (school drop-outs, child abuse, child labour, etc.)?		
Lead to gender disparity?		
Lead to poor diets?		
Lead to social evils (drug abuse, excessive alcohol consumption, crime, etc.)?		

Section D: Natural Habitats

Will the sub-project:	YES	NO
Be located within or near environmentally sensitive areas (e.g. intact natural forests, mangroves, wetlands) or threatened species?		
Adversely affect environmentally sensitive areas or critical habitats – wetlands, woodlots, natural forests, rivers, etc.)?		
Affect the indigenous biodiversity (Flora and fauna)?		

Cause any loss or degradation of any natural habitats, either directly (through project works) or indirectly?		
Affect the aesthetic quality of the landscape?		
Reduce people's access to the pasture, water, public services or other resources that they depend on?		
Increase human-wildlife conflicts?		
Agrochemical use		
Will the sub-project:		
Involve the use of pesticides or other agricultural chemicals, or increase existing use?		
Cause contamination of watercourses by chemicals and pesticides?		
Cause contamination of soil by agrochemicals and pesticides?		
Experience effluent and/or emissions discharge?		
Export produce? Involve annual inspections of the producers and unannounced inspections?		
Require scheduled chemical applications?		
Require chemical application even to areas distant away from the focus?		
Require chemical application to be done by vulnerable group (pregnant mothers, chemically allergic persons, elderly, etc.)?		
Use irrigation system in its implementation?		

If the answers to any of the above is 'yes', please include an EMP with sub-project application.

Section E: Pesticides and Agricultural Chemicals

This questionnaire will be used with the farmers groups for purpose of implementing the IPMF

1) Pest Control practices

a) Do you use any pesticides to control pests (Insects, diseases, weeds) of crops each season?

Yes____ No If yes, Name them:	Name of pesticide	Name of pest, disease, weed controlled	Number of times applied/season	When did you apply (growth stage or month) Quantity purchased

If No, WHY?

b)If you use any of the above pesticide types, do you keep records of the:

Application location: Yes..... No.....

Date of application: Yes..... No.....

Pesticide product trade name: Yes...No.....

Operator name: Yes..... No.....

If No, WHY?

c) How do you decide when to use the pesticides (tick all that apply)?

- (i) We use pesticides at regular intervals throughout the season(calendar)
- (ii) We use pesticides when we see pests in the field(control)
- (iii) We use pesticides after field sampling and finding a certain number of pests or a certain level of damage (scouting)
- (iv) Told by someone to apply(specify who)
- (v) Other(specify)

d) Do you use a knapsack sprayer? Yes No

If yes,

- (i) Do you own it Yes No
- (ii) Do you rent it Yes No
- (iii) Do you borrow it Yes No

e) From your experience, are there any negative/harmful effects of using pesticides?

Yes.....No.....

f) If yes, list the negative effects:

- (i)
- (ii)
- (iii)
- (iv)
- (v)

g) Do you use any kind of protective clothing while applying or handling pesticides?

Yes No Why?

h) If YES, what kind?

2. Knowledge of pesticide handling and storage (tick one in each row)

a) Do you read labels on the pesticide container before using?

Sometimes Always Never

b) How often do you wear protective clothing and other accessories like nasal mask, eye goggles, and boots when applying the pesticides?

Sometimes Always Never

c) Do you mix pesticides with your hands?

Sometimes Always Never

d) Do you observe the pre-harvest waiting periods after applying the pesticides?

Sometimes Always Never

e) After spraying, do you wait 12 hours before entering the field?

Sometimes Always Never

f) Do you store pesticides in a secure, sound and well-ventilated location?

Sometimes Always Never

g) Do you make a cocktail before applying the pesticides? (i.e., mix more than one chemical and apply them at once?)

Sometimes Always Never

h) Where do you store your pesticides?

Why do you store them there?

i) What do you do with your pesticide containers after they are empty?

j) Do you know of any beneficial insects (insects that eat harmful insects)?

Yes..... No.....

k) If yes, name them:

i) ii) iii)

3. Pesticides and Health

a) Do you find that pesticide application is affecting the health of: Persons regularly applying pesticides?

Sometimes Always Never

b) Persons working in fields sprayed with pesticides

Sometimes Always Never

c) Persons harvesting the produce

Sometimes Always Never

4. Options to Pesticides

a) From your experience, are you aware of other methods for controlling insects diseases and/or weeds besides pesticides?

Yes..... No.....

b) If yes, describe the practices:

i)

ii)

iii)

iv)

5. Information

a) What information do you think you need for improving your crop production and marketing?

6. Training

a) Have you ever received any training on any of the following topics related to crop production?



Integrated Pest Management Yes..... No.....
No. of times/past yr.

b).Pesticide Usage Yes..... No.....
No. of times/past yr.

c).Pesticide Safety Yes..... No.....
No. of times/past yr.

d).Insect Identification Yes..... No.....
No. of times/past yr.

e).Disease Identification Yes..... No.....
No.of times/past yr.

f).Quality aspects of production Yes..... No.....
No. of times/past yr.....

7)Is there anything else that you want us to know about your crop production?

If the answer to the above is 'yes', please consult the IPM that has been prepared for the project.

Section F: Vulnerable and Marginalized Groups meeting requirements for OP

4.10

Are there:	Yes	NO
People who meet requirements for OP 4.10 living within the boundaries of, or near the project?		
Members of these VMGs in the area who could benefit from the project?		
VMGs livelihoods to be affected by the sub project?		

If the answer to any of the above is 'yes', please consult the VMGF that has been prepared for the project.

Section G: Land Acquisition and Access to Resources

Will the sub-project:	Yes	No
Require that land (public or private) be acquired (temporarily or permanently) for its development?		
Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, pasture, fishing locations, forests)		
Displace individuals, families or businesses?		
Result in temporary or permanent loss of crops, fruit trees and pasture land?		
Adversely affect small communal cultural property such as funeral and burial sites, or sacred groves?		
Result in involuntary restriction of access by people to legally designated parks and protected areas?		
Be on monoculture cropping?		

If the answer to any of the above is 'yes', please consult the mitigation measures in the ESMF, and if needed prepare a (Resettlement Action Plan) RAP.

Section H: Proposed action

(i) Summarize the above:	(ii) Guidance
<p>All the above answers are ‘No’ There is at least one ‘Yes’</p>	<ul style="list-style-type: none"> • If all the above answers are ‘No’, there is no need for further action; • If there is at least one ‘Yes’, please describe your recommended course of action (see below).

(iii) Recommended Course of Action

If there is at least one ‘Yes’, which course of action do you recommend?

CPCUs and County Director of Environment (CDE) will provide detailed guidance on mitigation measures as outlined in the ESMF; and Specific advice is required from CDE and CPCUs regarding sub-project specific EIA(s) and also in the following area(s)

All sub-project applications/proposals MUST include a completed ESMF checklist. The KCSAP-CPCU and CDE will review the sub-project applications/proposals and the CDEs will sign off; The proposals will then be submitted to NPCU for clearance for implementation by communities in the proposed subprojects.

Expert Advice

The National Government through the Department of Monuments and Sites of the National Museums of Kenya can assist in identifying and, mapping of monuments and archaeological sites; and Sub-project specific ESIA's, if recommended, must be carried out by experts registered with NEMA and be followed by monitoring and review. During the process of conducting an EIA the proponent shall seek views of persons who may be affected by the sub-project. The WB policy set out in OP 4.01 requires consultation of sub-project affected groups and disclosure of EIA's conclusions. In seeking views of the public after the approval of the sub-project, the proponent shall avail the draft ESIA report at a public place accessible to project-affected groups and local NGOs/CSOs.



Completed by: [type here]

Name: [type here]

Position / Community: [type here]

Date: [type here]

Field Appraisal Officer (CDE): [type here]

Signature: [/]

Date: [type here]

Annex 12B: Framework for Abbreviated Resettlement Action Plan

In compliance of the Bank's Operational Policy 4.12, in case of less than 200 Project Affected People (PAPs), the following abbreviated Resettlement Framework shall be followed in order to restore housing and issue economic compensation for loss of land and livelihood through a consultative and mutually agreeable process.

Principles

1. All land should be surveyed and mapped and agreement reached with government on explicit eligibility cut-off date.
2. Where land is disputed or land ownership is not clear, the land will be surveyed and a map hereof issued to the affected families. In case of land disputes, attempts should be made to settle disputes prior to project start.
3. Customary and collective rights, e.g. to grazing land and commons, should be verified and documented through community-level consultations and local authorities. Customary and collective rights are also subject to compensation.
4. Compensation for land, housing and assets are based on principles of replacement cost and mutually agreeable solutions based on consultative approach with PAPs (Project Affected Persons).
5. where affected land provide income, the equivalent to the value of the crop lost will be given in compensation, based on the value of the harvests lost until the replacement crop (e.g. fruit tress) come into full production.
6. if land forms basis for other income, the value of the income hereof will be subject to third party assessment
7. If PAPs are squatters/informal settlers on the land, they will receive economic/ material compensation to re-establish themselves elsewhere (e.g. on government land) without suffering damage to their livelihood or living standard.

Process

1. Survey of land and assets & census of Project Affected Peoples, including squatters and informal settler
 - a. The surveyed land and assets should be identified, marked and photographed,

and by the defined eligibility cut-off date the areas should be secured against encroachers.

- b. the Project Affected People should be identified and registered with full data and photographs
 - c. a compensation package should be developed (categories of impacts and appropriate entitlements to formal and informal settlers landholders and squatters), and
 - d. Initial consultations should be conducted to identify any salient issues or concerns impacting on affected people. Gender separate consultations should be conducted in order to properly ascertain the views of the women.
2. Calculation of individual entitlements. There should be continued consultations with the affected people regarding the project, land acquisition and compensation package in order to reach mutually agreeable solution to land/asset acquisition and/or shifting of house. In case any PAP refuses to shift, an abbreviated Resettlement Plan, compliant to OP 4.12, should be developed.

Outline of an Abbreviated Resettlement Plan

An abbreviated plan covers the following minimum elements:

- a. A census survey of displaced persons and valuation of assets;
 - b. Description of compensation and other resettlement assistance to provided;
 - c. Consultations with displaced people about acceptable alternatives;
 - d. Institutional responsibility for implementation and procedures for grievance redress;
 - e. Arrangements for monitoring and implementation; and f. A timetable and budget.
3. The compensation package and abbreviated Resettlement Plan should be submitted to the Bank for approval, using the formats included in the Safeguards Framework
4. The acquisition process is only completed with the actual payment of compensation to Project Affected People and settlement of any grievances they may hold.
5. Describe grievance mechanisms available:

Annex 12C: Format for Documentation of Asset contribution

The following agreement has been made on.....day of.....between..... resident of(the Owner) and ...(the Recipient).

1. That the Owner holds the transferable right ofha. of land/ structure/asset in.....
2. That the Owner testifies that the land/structure is free of squatters or encroachers and not subject to other claims.
3. That the Owner hereby grants to the Recipient this asset for the construction and development offor the benefit of the villagers and the public at large. **(Either, in case of donation)**
4. That the Owner will not claim any compensation against the grant of this asset **(Or, in case of compensation)**
5. That the Owner will receive compensation against the grant of this asset as per the attached Schedule.
6. That the Recipient agrees to accept this grant of asset for the purposes mentioned.
7. That the Recipient shall construct and develop the.....and take all possible precautions to avoid damage to adjacent land/structure/other assets.
8. That both the parties agree that the.....so constructed/developed shall be public premises.
9. That the provisions of this agreement will come into force from the date of signing of this deed.

Signature of the Owner:

Signature of the Recipient/MRRD/MPW: _____

Witnesses: _____

1.

2.

(Signature, name and address)

(Attestation by Judge, Date)

Confirmation of County Resettlement Committee:

Signature/Stamp

Confirmation of County Coordinating Unit:

Signature /Stamp

Annex 12D: Format of Quarterly Monitoring Report

Relevant environmental authority:							
Reporting dates:							
KCSAP County:							
Subprojects approved:							
Subproject title	Activities	Project phase	Environmental l. Risks	EIA / EMP Completed?	Environmental Permit Granted?	Effectiveness of EMP	Issues
name, location, title or reference (example)	New construction, rehabilitation, maintenance	See note below	(Severe, Moderate or Mild)	Yes, No or N/A	Yes, No or N/A	Good, poor, Or needs improvement	See note below
1							
2							
3							
etc							
Subprojects rejected:							
Subproject title	Activities	Reasons for rejection			Remarks		

Sub-project phase will be one of the following:

- (a) Under project preparation or appraisal,
- (b) Appraised, or
- (c) implementation

Issues: accidents, litigation, complaints or fines are to be listed e.g. if an environmental permit was not granted, explain why?

Annex 12E: Draft Terms of Reference for Sub-Project Requiring on ESIA

Based on the screening and scoping results. ESIA terms of reference will be prepared. A Consultant Firm (or individual) will conduct the ESIA and the report should have the following format:

Introduction and Context

This part will be completed at a time and will include necessary information related to the context and methodology to carry out the study.

Objectives of the Study

This section will indicate (i) the objectives and the project activities; (ii) the activities that may cause environmental and social negative impacts and needing adequate mitigation measures.

Mission/Tasks

The Consultant should realize the following:

- Describe the biophysical characteristics of the environment where the project activities will be realized; and underline the main constraints that need to be taken into account at the field preparation, during the implementation of the project.
- Assess the potential environmental and social impacts related to project activities and recommend adequate mitigation measures, including costs estimates;
- Assess the need of solid and liquid waste management and suggest recommendation for their safe disposal;
- Review political, legal and institutional framework, at national and international level, related to environmental and social, identity constraints and suggest recommendations for reinforcement;
- Identify responsibilities and actors for the implementation of proposed mitigation measures;
- Assess the capacity available to implement the proposed mitigation measures, and suggest recommendation in terms of training and capacity building, and estimate their costs;

Develop an Environmental and Social Management Plan (ESMP) for the project.

The ESMP should underline (i) the potential environmental and social impacts resulting from

project activities; (ii) The proposed mitigation measures; (iii) the institutional responsibilities for implementation; (iv) the monitoring indicators; (v) the institutional responsibilities for monitoring and implementation of mitigation measures; (vi) the costs of activities; and (vii) the schedule of implementation.

Public consultations

The ESIA results and the proposed mitigation measures will be discussed with local communities, NGOs, local administration and other organizations mainly involved by the project activities. Recommendations from this public consultation will be included in the final ESIA report.

Plan of the ESIA Report

- Cover page
- Table of Contents
- List of Acronyms
- Executive Summary
- Introduction
- Description of project activities
- Description of Environment in the project area
- Description of policy, legal and Institutional Framework
- Description of the methodology and techniques used in assessment and analysis of the project impacts
- Description of environmental and social impacts for project activities
- Environmental and Social Management Plan (ESMP) for the project including the proposed mitigation measures;
- Institutional responsibilities for monitoring and implementation; Summarized table for ESMP.
- Recommendations
- References
- List of Persons/Institutions met

Qualification of the Consultant

The Consultant firm to conduct the ESIA studies will be based on their past performances and quality of the deliverables.

Duration of Study

The Duration of study will be determined according to the type of activity

Production of final Report

The Consultant firm will produce the final report one (1) week after receiving comments from KCSAP and WB. The final report will include comments from these institutions.

Annex 12F: Safeguards Procedures for Inclusion in the Technical Specifications of Contracts

I. General

1. The Contractor and his employees shall adhere to the mitigation measures set down and take all other measures required by the Engineer to prevent harm, and to minimize the impact of his operations on the environment.
2. The Contractor shall not be permitted to unnecessarily strip clear the right of way. The Contractor shall only clear the minimum width for construction and diversion roads should not be constructed alongside the existing road.
3. Remedial actions which cannot be effectively carried out during construction should be carried out on completion of each Section of the road (earthworks, pavement and drainage) and before issuance of the Taking over certificate:
 - i. These sections should be landscaped and any necessary remedial works should be undertaken without delay, including grassing and reforestation;
 - ii. Water courses should be cleared of debris and drains and culverts checked for clear flow paths; and
 - iii. Borrow pits should be dressed as fish ponds, or drained and made safe, as agreed with the land owner.
4. The Contractor shall limit construction works to between 6 am and 7 pm if it is to be carried out in or near residential areas.
5. The Contractor shall avoid the use of heavy or noisy equipment in specified areas at night, or in sensitive areas such as near a hospital.
6. To prevent dust pollution during dry periods, the Contractor shall carry out regular watering of earth and gravel haul roads and shall cover material haulage trucks with tarpaulins to prevent spillage.

II. Transport

7. The Contractor shall use selected routes to the project site, as agreed with the Engineer, and appropriately sized vehicles suitable to the class of road, and shall restrict loads to prevent damage to roads and bridges used for transportation purposes. The Contractor

shall be held responsible for any damage caused to the roads and bridges due to the transportation of excessive loads, and shall be required to repair such damage to the approval of the Engineer.

The Contractor shall not use any vehicles, either on or off road with grossly excessive, exhaust or noise emissions. In any built up areas, noise mufflers shall be installed and maintained in good condition on all motorized equipment under the control of the Contractor.

8. Adequate traffic control measures shall be maintained by the Contractor throughout the duration of the Contract and such measures shall be subject to prior approval of the Engineer.

III. Workforce

9. The Contractor should whenever possible locally recruit the majority of the workforce and shall provide appropriate training as necessary.
10. The Contractor shall install and maintain a temporary septic tank system for any residential labour camp and without causing pollution of nearby watercourses.
11. The Contractor shall establish a method and system for storing and disposing of all solid wastes generated by the labour camp and/or base camp.
12. The Contractor shall not allow the use of fuel wood for cooking or heating in any labour camp or base camp and provide alternate facilities using other fuels.
13. The Contractor shall ensure that site offices, depots, asphalt plants and workshops are located in appropriate areas as approved by the Engineer and not within 500 meters of existing residential settlements and not within 1,000 meters for asphalt plants.
14. The Contractor shall ensure that site offices, depots and particularly storage areas for diesel fuel and bitumen and asphalt plants are not located within 500 meters of watercourses, and are operated so that no pollutants enter watercourses, either overland or through groundwater seepage, especially during periods of rain. This will require lubricants to be recycled and a ditch to be constructed around the area with an approved settling pond/oil trap at the outlet.
15. The contractor shall not use fuel wood as a means of heating during the processing or preparation of any materials forming part of the Works.

IV. Quarries and Borrow Pits

16. Operation of a new borrows area, on land, in a river, or in an existing area, shall be subject to prior approval of the Engineer, and the operation shall cease if so instructed by the Engineer. Borrow pits shall be prohibited where they might interfere with the natural or designed drainage patterns. River locations shall be prohibited if they might undermine or damage the river banks, or carry too much fine material downstream.
17. The Contractor shall ensure that all borrow pits used are left in a trim and tidy condition with stable side slopes, and are drained ensuring that no stagnant water bodies are created which could breed mosquitoes.
18. Rock or gravel taken from a river shall be far enough removed to limit the depth of material removed to one-tenth of the width of the river at any one location, and not to disrupt the river flow, or damage or undermine the river banks.
19. The location of crushing plants shall be subject to the approval of the Engineer, and not be close to environmentally sensitive areas or to existing residential settlements, and shall be operated with approved fitted dust control devices.

V. Earthworks

20. Earthworks shall be properly controlled, especially during the rainy season.
21. The Contractor shall maintain stable cut and fill slopes at all times and cause the least possible disturbance to areas outside the prescribed limits of the work.
22. The Contractor shall complete cut and fill operations to final cross-sections at any one location as soon as possible and preferably in one continuous operation to avoid partially completed earthworks, especially during the rainy season.
23. In order to protect any cut or fill slopes from erosion, in accordance with the drawings, cut off drains and toe-drains shall be provided at the top and bottom of slopes and be planted with grass or other plant cover. Cut off drains should be provided above high cuts to minimize water runoff and slope erosion
24. Any excavated cut or unsuitable material shall be disposed of in designated tipping areas as agreed to by the Engineer.
25. Tips should not be located where they can cause future slides, interfere with agricultural land or any other properties, or cause soil from the dump to be washed into any watercourse. Drains may need to be dug within and around the tips, as directed by the Engineer.

VI. Historical and Archaeological Sites

26. If the Contractor discovers archaeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:
- i. Stop the construction activities in the area of the chance find.
 - ii. Delineate the discovered site or area.
 - iii. Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry of Sports, Culture and the Arts take over.
 - iv. Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Sports, Culture and the Arts immediately (less than 24 hours).
 - v. Contact the responsible local authorities and the Ministry of Sports, Culture and the Arts who would be in charge of protecting and preserving the site before deciding on the proper procedures to be carried out. This would require a preliminary evaluation of the findings to be performed by the archaeologists of the relevant Ministry of Sports, Culture and the Arts (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage, including the aesthetic, historic, scientific or research, social and economic values.
 - vi. Ensure that decisions on how to handle the finding be taken by the responsible authorities and the Ministry of Sports, Culture and the Arts. This could include changes in the layout (such as when the finding is an irremovable remain of cultural or archaeological importance) conservation, preservation, restoration and salvage.
 - vii. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Ministry of Sports, Culture and the Arts; and
 - viii. Construction work will resume only after authorization is given by the responsible local authorities and the Ministry of Sports, Culture and the Arts concerning the safeguard of the heritage.

VII. Disposal of Construction and Vehicle Waste

27. Debris generated due to the dismantling of the existing structures shall be suitably reused, to the extent feasible, in the proposed construction (e.g. as fill materials for embankments). The disposal of remaining debris shall be carried out only at sites

identified and approved by the project engineer. The contractor should ensure that these sites: (i) are not located within designated forest areas; (ii) do not impact natural drainage courses; and (iii) do not impact endangered/rare flora. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas.

28. In the event any debris or silt from the sites is deposited on adjacent land, the Contractor shall immediately remove such, debris or silt and restore the affected area to its original state to the satisfaction of the Supervisor/Engineer.
29. Bentonite slurry or similar debris generated from pile driving or other construction activities shall be disposed of to avoid overflow into the surface water bodies or form mud puddles in the area.
30. All arrangements for transportation during construction including provision, maintenance, dismantling and clearing debris, where necessary, will be considered incidental to the work and should be planned and implemented by the contractor as approved and directed by the Engineer.
31. Vehicle/machinery and equipment operations, maintenance and refuelling shall be carried out to avoid spillage of fuels and lubricants and ground contamination. An oil interceptor will be provided for wash down and refuelling areas. Fuel storage shall be located in proper bounded areas.
32. All spills and collected petroleum products shall be disposed of in accordance with standard environmental procedures/guidelines. Fuel storage and refilling areas shall be located at least 300m from all cross drainage structures and important water bodies or as directed by the Engineer.

(Footnotes)

- 1 Note: KCSAP grants should not pay for group members meetings or official allowances. Purchase of land and basic tools such as pangas and jembes should not be budgeted for.
- 2 As much as possible, individual group members should sign against their names as indicated and unless under special circumstances, they should not be less than 10 members per CIG/SHG



MINISTRY OF AGRICULTURE,
LIVESTOCK, FISHERIES AND IRRIGATION
STATE DEPARTMENT FOR CROPS DEVELOPMENT



Kenya Climate Smart
Agriculture Project

EXTENSION AND VALUE CHAIN DEVELOPMENT MANUAL

VERSION 1 2018

KCSAP EXTENSION AND VALUE CHAIN DEVELOPMENT MANUAL VERSION 1 2018

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