Ministry of Agriculture and
Livestock Development

Infrastructure Investment Manual

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Ministry of Agriculture and Livestock Development (MoALD)

State Department for Agriculture

Food Systems Resilience Project (FSRP)

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FOREWORD

The Food Systems Resilience Project (FSRP) is a Government of Kenya project funded by the World Bank, it is implemented by the National Government, and County Governments. The Project is implemented in 13 Counties selected based on the potential for production of FSRP-identified value chains. The Project Development Objective (PDO) is to increase preparedness against food insecurity and improve the resilience of food systems in targeted project areas of Kenya.

The Project will facilitate development of investments to be undertaken at various intervention levels, namely CIG, Farmer Producer Organization (FPO), County, Multi-County and National. The investments include market infrastructure-related investments (e.g. physical markets, aggregation centers, and agro-processing); farmer-led irrigation development infrastructure (e.g. small-scale irrigation schemes, small dams, water pans, boreholes, shallow wells; farm ponds; on-farm water harvesting and storage; sustainable crop and range land management interventions. In addition, spot repairs associated with access to the investments.

This Infrastructure Investment Manual has been prepared to guide project officers, government officers at the County and National levels, proponents and beneficiaries of investments, and other stakeholders involved in the implementation of investments. The manual has stipulated the processes and procedures for investment identification, prioritization, and implementation. This includes proposals/designs/business plans, approval processes, requirements for approval, financial thresholds, implementation processes and procedures. In addition, contract management, commissioning, and environmental and social safeguards compliance guidelines have been provided for.

Adherence to the Infrastructure Investment Manual will guarantee smooth identification, approval, and implementation of investments. The investments will be socially, economically and environmentally viable, with the potential to transform the lives of the communities sustainably in the medium and long term.

Priscilla Muiruri

National Project Coordinator

FOOD SYSTEMS RESILIENCE PROJECT

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Eng. Michael Kamwere

National Agriculture Infrastructure Development Lead

FOOD SYSTEMS RESILIENCE PROJECT

ABBREVIATIONS AND ACRONYMS

ALMP	Agricultural Land Management Plan
AWPB	Annual Work Plan and Budget
BoQs	Bill of Quantities
CBF	Community Based Facilitator
CCTV	Close Circuit Television
CDDCs	Community Driven Development Committees
CDP **CESCO**	Community Development Plan County Environmental Safeguard Compliance Officer
CGM	Community Grants Manual
CGMC	County Grievance Management Committee
CIDP	County Integrated Development Plan
CIDU	County Irrigation Development Unit
CIGs	Common Interest Groups
CISF	County Irrigation Stakeholder Forum
CO	Chief Officer
COG	Council of Governors
CPC	County Project Coordinator
CPCU	County Project Coordination Unit
CPSC **CSSCO**	County Project Steering Committee County Social Safeguard Compliance Officer
CTAC	County Technical Advisory Committees
CPR	Comprehensive Project Report
CVCDC **DLP**	County Value Chain Development Committee Defect Liability Period
EDP	Enterprise Development Plan
ELRP	Emergency Locust Response Program

ESIA **ESMF** **ESMP**	Environmental and Social Impact Assessment Environmental and Social Management Framework Environmental and Social Management Plan
ESS	Environmental and Social Safeguard
FEDP	Financing Enterprise Development Plan
FLID	Farmer Led Irrigation Development
FPO	Farmer Producer Organization
FSRP	Food Systems Resilience Project
GIS	Geographical Information Systems
GRM	Grievance Redress Mechanism
IDA	International Development Association
IWUA	Irrigation Water User Associations
KCSAP	Kenya Climate Smart Agriculture Project
LMP	Land Management Plan
MOPE	Market Oriented Producer Enterprises
MSD	Market Structures Development
MMC **NARIGP**	Market Management Committee National Agricultural and Rural Inclusive Growth Project
NEMA	National Environmental Management Authority
NESCO	National Environmental Safeguard Compliance Officer
NGMC	National Grievance Management Committee
NISF	National Irrigation Stakeholder Forum
NPC	National Project Coordinator
NPCU	National Project Steering Committee
NPSC **NSSCO**	National Project Steering Committee National Social Safeguard Compliance Officer
NTAC	National Technical Advisory Committee
NVCDP	National Value Chain Development Platform
O&M	Operation and Maintenance
OSHA	Occupational Safety and Health Authority

PDO	Project Development Objective
PIC	Project Implementation Committee
PICD	Participatory Integrated Community Development
PM	Project Manager
PMC	Project Management Committee
POE	Panel of Experts
PPM	Project Procurement Manual
PPP	Public Private Partnership
PS	Principal Secretary
SACCO	Savings and Credit Cooperative Societies
SAIC	Social Accountability and Integrity Committee
SCTT	Sub-County Technical Teams
SEAH	Sexual Exploitation Abuse and Harassment
SMEs	Small and Medium Enterprises
SPR	Summary Project Report
TIC	Technical Implementation Committees
TIMPs	Technologies, Innovations and Management Practices
TLB-actor	Tractor, Loader Back actor
VC	Value Chain
VCUMG	Value Chain Upgrading Matching Grants
VMG	Vulnerable and Marginalized Groups
WAO	Ward Agricultural Officer
WB	World Bank
MOPE	Market Oriented Producer Enterprise

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DEFINITION OF TERMS

Term/Phrase	Definition as used in the manual
Beneficiaries	Individuals or organized groups of individuals or organizations who benefit from the investment
Commissioning	A public event where the investment is declared complete and handed over to the user
Contract	An agreement that specifies certain legally enforceable rights and obligations pertaining to two or more mutually agreeing parties.
Contract management	The process of actively managing contract implementation to ensure the efficient and effective delivery of the contracted outputs and/or outcomes
Contract Price	The sum stated in the letter of Acceptance as payable to the Contractor for the execution and completion of the Works and remedying of any defects therein in accordance with the provisions of the Contract
Defects Liability Period	A period of time starting from the date of practical completion during which the contractor has an express contractual right to return to the site to rectify defects. The period of time is as stipulated in the contract.
Grievance Redress Mechanism (GRM)	A feedback process outlined to express and resolve grievances to the satisfaction of a complainant within a stipulated timeline
Handing over	An activity where a change of ownership of the project/investment for the purposes of either implementation or intended use is done
Market Oriented Producer Enterprise (MOPE)	The deliberate production decisions aimed at producing agricultural commodities for sale at a profit. It involves farmers taking into consideration the economic opportunities and unique market characteristics that exist in different agro-economic climates.
Variation	Changes of either quality, time, quantity, or cost made within the Contract period in respect to the project/investment
Instruction	A formal written order given by the PM to contractor or sub-contractor on specific project issues such as delay in progress, defective work or materials, guidance on how to carry out specific item of work, permission to proceed with an item of work, guidance on procurement and logistics, amendments to procedure, or directions on general project challenges

Term/Phrase	Definition as used in the manual
Site	The agreed location at or from which the Contractor Services will be performed as set out in the Specification

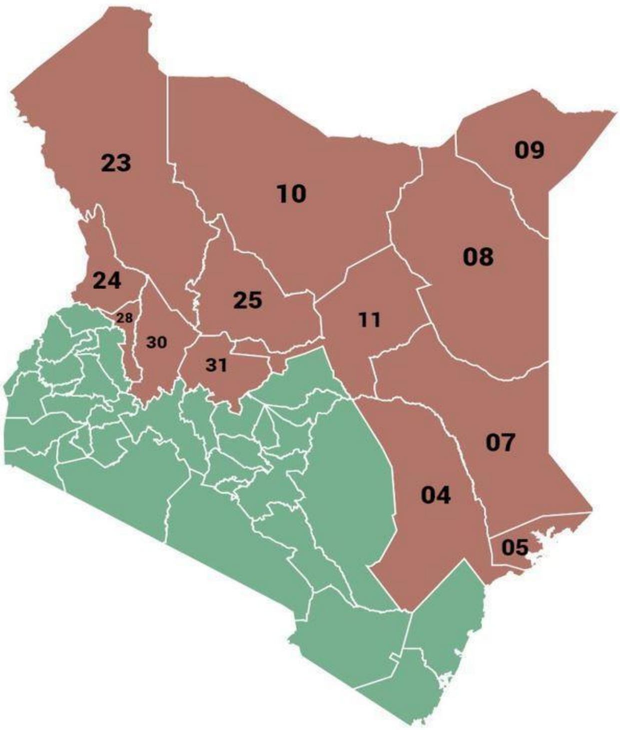
CHAPTER 1: INTRODUCTION

1.1 Background

The Food Systems Resilience Project (FSRP) is a Government of Kenya project funded by the World Bank. The project is implemented by the National Government, County Governments, and benefiting communities. The Project Development Objective (PDO) is to increase preparedness against food insecurity and improve the resilience of food systems in the 13 Project Counties. The project builds on the strong foundation laid by Kenya Climate Smart Agriculture Project (KCSAP), National Agricultural Rural Inclusive Growth Project (NARIGP) and Emergency Locust Response Program (ELRP). The Project will work with farmers that are part of the identified value chains across the implementing counties. The counties were selected based on various factors, including potential for production of FSRP value chains; potential to contribute to climate change adaptation and mitigation; vulnerability to climate change risks and socio-economic development indicators.

Project areas and priority value chains

The project will be implemented in the following counties: Baringo, Marsabit, Wajir, Mandera, Garissa, Tana River, Lamu, West Pokot, Laikipia, Isiolo, Turkana, Samburu and Elgeyo-Marakwet.



S/No	Counties	County Code
1.	Baringo	30
2.	Elgeyo Marakwet	28
3.	Garissa	07
4.	Isiolo	11
5.	Laikipia	31
6.	Lamu	05
7.	Mandera	09
8.	Marsabit	10
9.	Samburu	25
10.	Turkana	23
11.	Tana River	04
12.	Wajir	08
13.	West Pokot	24

Key
Project Counties
Non Project Counties

Figure 1 FSRP implementing counties

The value chains (VCs) have been prioritized based on a thorough assessment of their potential to impact the communities as follows:

Livestock Value Chains; - Red meat (Cattle/Shoats), Apiculture, Dairy Cattle, Indigenous Chicken, leather, Fish, Camel, and Pigs.

Crops Value Chains; - Sorghum, Tomatoes, Irish Potatoes, Simsim, Cotton, Beans, Cow peas, Mangoes, Local vegetables, Watermelon, Cashew nuts, Sunflower, Green grams, Groundnuts, Soya beans and Rice. (Refer to the Value Chain Development Manual)

The project has six components, namely;

- **Component 1:** (Re-)Building Resilient Agricultural Production Capacity
- **Component 2:** Supporting the Sustainable Development of Natural Resources for Resilient Agricultural Landscapes
- **Component 3:** Getting to Market
- **Component 4:** Promoting a Greater Focus on Food Systems Resilience in National and Regional Policy making
- **Component 5:** Contingency Emergency Response
- **Component 6:** Project Coordination and Management

Component 1: (Re-) Building Resilient Agricultural Production Capacity

The component aims to strengthen the resilience of food supply to climate change and other shocks and stressors with a focus on climate resilient agricultural production and related supporting services. This component is organized around three subcomponents. The first sub component focuses on the development of national and regional information systems, including the appropriate pathways for adaptation planning and resilience building. The second sub-component focuses on developing agricultural technologies and services that are aimed at building climate resilience, and the third on mobilizing farmers into farmer groups and using the platforms for delivering climate resilient technologies and services to the farming community. Priority will be given to activities with significant potential for climate Co-Benefits such as the development, multiplication, promotion and adoption of climate-adapted crop varieties and animal breeds or the dissemination and adoption of climate-smart agricultural practices.

Component 2: Supporting the Sustainable Development of Natural Resources for Resilient Agricultural Landscapes

This component aims to enhance sustainable management of natural resources for resilient food systems by investing in soil and water conservation and rangeland management interventions. This component will support investments that will either be ward-specific or cut across multiple wards, and that are strategically important to the county or multiple counties. Capacity building of targeted communities on sustainable development of natural resources for resilient agricultural landscapes in the face of changing climate will be undertaken. The

County Integrated Development Plans (CIDPs) and Community Action Plans (CAPs) will be referenced during selection and appraisal of investments to be supported by the project. The emphasis will be to tap into the already available technologies, innovations, and management practices from the regional and national research institutions while addressing the emerging issues. The component will focus on adaptation and mitigation opportunities leading to significant climate Co-Benefits.

This component comprises two sub-components, namely: enhancing water availability for agricultural production; and strengthening rangelands management for agricultural production. The NPCU and the CPCU will facilitate the implementation of this component in collaboration with the relevant departments and agencies.

Component 3: Getting to market

This component aims to improve physical and economic access to sufficient, safe, and nutritious food by improving agri-food producers' (both crop and livestock producers) access to domestic and international markets. It will do so by building producers' capacity to participate in domestic and international markets by enhancing organizational capacity to meet market requirements in terms of quantity and quality standards. The component will also focus on establishing or upgrading agri-food distribution, logistics and marketing infrastructure in ways that will increase value addition and market connectivity. The component will also support agri-food system/value chain actors to access financial services to finance production functions and other services.

This component comprises three subcomponents, namely: Developing market facing institutions; Market Infrastructure and Enterprise Development; and Improve Creditworthiness of farmers. The NPCU and the CPCU will facilitate the implementation of this component in collaboration with the relevant departments and agencies.

Component 4: Promoting a Greater Focus on Food Systems Resilience in National and Regional Policymaking

The objective of this component is to promote a greater focus on food systems resilience in policymaking, and will comprise two main subcomponents. The first sub component involves bringing a food systems resilience focus to public institutions, policy, and spending at the national and regional levels; the second sub component involves building the capacity of national and county governments to implement such policies.

Component 5: Contingent Emergency Response

The component will finance eligible expenditures related to emergency response mechanisms in case of natural or man-made crises or disasters, severe economic shocks or other crises and emergencies. An emergency response facility in case of a natural disaster in the agricultural sector is also included under this component. This zero-budget component will finance the immediate response activities following natural disasters affecting the agricultural sector. The contingency emergency response financing triggers would include: (i) a formal declaration of a national emergency by the authorized agency of GoK and (ii) a formal request from the National Treasury (NT) on behalf of GoK. In such cases, triggers for funds reallocation from project components would be initiated to finance immediate response activities in the agricultural sector as requested.

Component 6: Project Coordination and Management.

This component will finance activities related to national and county-level project coordination, including planning, fiduciary (financial management and procurement) and staffing, environment and social safeguards implementation, monitoring and compliance, development of the Management Information Systems (MIS) and Information & Communication Technologies (ICT), regular M&E, impact evaluation, communication, knowledge management and citizen engagement. Project supervision, coordination and management will be undertaken by the following institutions to be established at national, county and community levels namely; The National Project Steering Committee (NPSC), National Technical Advisory Committee (NTAC), National Project coordination unit (NPCU), County Project Steering Committee (CPSC), County Technical Advisory Committee (CTAC), the County project coordination unit (CPCU) and the community driven development committees (CDDC) respectively. The units will work in harmony to coordinate implementation of project activities to ensure effective operation of the various committees to implement project interventions. This component comprises two sub-components namely; project coordination, and project monitoring, learning, knowledge management, and cross-cutting issues.

This manual will focus on project investments promoting food security and strengthening resilience of food systems under the following four categories:

1. **Common Interest Group (CIG) and Individual farmer level investments:** This includes but is not limited to small scale investments for climate adaptation, value addition and aggregation e.g. drip irrigation, green houses, spring protection, farm ponds, short duration storage facilities, renewable energy, weighing/grading/cleaning/quality testing equipment among others;
2. **Farmer Producer Organization (FPO) level value chains investments:** These are to enable primary and secondary value addition, packaging, branding, renewable energy, other similar investments, and spot repairs associated with access to the FPO investments;
3. **Farmer Led Irrigation Development (FLID) investments:** These are at farmer, CIG and FPO levels, and include on-farm irrigation kits, small scale irrigation schemes, water harvesting;
4. **County, Regional (multi-county) and National level investments:** These will include county market infrastructure, regional (multi-county) and national levels that include physical markets (including those that directly link rural producers to urban

consumers, aggregation centers, pack houses, and value addition/processing investments, among others.

1.2 Objective of FSRP Infrastructure Investment Manual

The objective of this manual is to guide project officers, government departments, targeted beneficiaries, and other stakeholders involved in project implementation. The manual will provide guidelines for operations and maintenance of projects to ensure efficient, effective implementation and sustainable utilization of the investments.

The users of the manual include Common Interest Groups (CIGs), Vulnerable and Marginalized Groups (VMGs), Farmer Producer Organizations (FPOs), Community Driven Development Committees (CDDCs), Savings and Credit Cooperative Organizations (SACCOs), County Technical Departments (CTDs), Project Management Committees (PMCs), Technical Implementation Committees (TICs), Project Managers (PMs), County Project Coordination Unit (CPCU), Sub County Technical Team (SCTT), County Technical Advisory Committees (CTACs), County Project Steering Committees (CPSCs), the National Project Coordination Unit (NPCU), the National Technical Advisory Committee (NTAC) and the National Project Steering Committee (NPSC).

The manual has stipulated the processes and procedures for identification of investments, prioritization, approval requirements, financial thresholds, implementation guidelines, contract management, commissioning, handing over processes, and requirements for environmental and social safeguards compliance.

1.3 Project Infrastructure Investment Implementation Structures

The following project structures will be involved in the implementation of project infrastructure investments:

1. **National Project Steering Committee (NPSC):** will provide overall project oversight, coordination, work plan and budget approval and policy guidance
2. **National Technical Advisory Committee (NTAC):** will be responsible for technical support during project proposal development and approval of FPO, county-level, multi-county and national level investment proposals based on the recommendation of NPCU
3. **National Project Coordinating Unit (NPCU):** will serve as the secretariat to both NPSC and NTAC. NPCU will provide quality assurance during proposal development and provide oversight during the implementation of FPO level, county level, multi-county level, and national level investments
4. **National Value Chain Development Platform (NVCDP):** will be the focal point for the County Value Chain Development Committee. For National Investments, NVCDP will support multiple counties to identify appropriate investments. It can also lobby on

behalf of the County Investment Fora on issues related to value chain investments that include MSD and FLID where applicable

5. **County Project Steering Committee (CPSC):** will be responsible for the approval of the community-level investments. They will also review FPOs and county-level investments proposals for recommendation to NTAC through NPCU
6. **County Technical Advisory Committee (CTAC):** will be the technical arm of the CPSC and will ensure county investment proposals are developed professionally and are of high quality before they are submitted to CPSC
7. **County Project Coordinating Unit (CPCU):** will be responsible for the day-to-day project management and coordination at the county level. It will facilitate linkages among various county project implementation structures
8. **County Irrigation Development Unit (CIDU):** will support CPCU and IWUA to develop and manage FLID and community-based irrigation schemes up to the acreage size prescribed in the Irrigation Act 2019. Additionally, they will convene/coordinate county specific Irrigation Accelerator Platforms (IAPs) and also provide capacity building to farmers and viable farmer organizations on FLID
9. **County Value Chain Development platforms/Committees (CVCDP/CVCDCs):** will be established/strengthened to enable them to effectively play their roles of identifying, evaluating, and preparing VC investment proposals in addition to promoting the County Value Chain Development Plans (CVCDPs). The VC platforms/committees will also ensure inclusion of irrigation stakeholders in the committees
10. **Project Implementation Committees (PICs):** will be established on a need basis by the CPSC and the CPCU. They will provide oversight in the implementation of all contracted investments

Figure 2 below depicts the interaction and engagement between the project organs in implementing infrastructure investments.

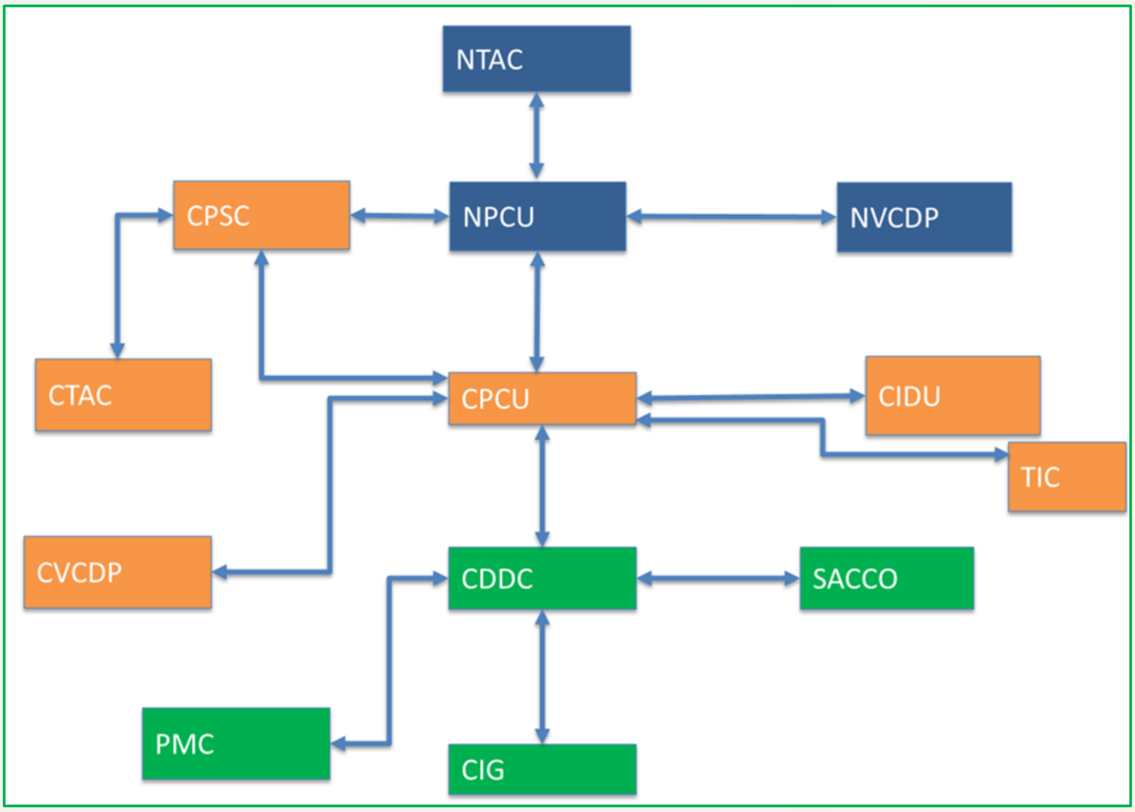


Figure 2 Interaction of project organs in implementation of infrastructure investments

CHAPTER 2: INVESTMENT CATEGORIES AND REQUIREMENTS

FSRP intends to finance infrastructural investments and mechanization equipment through various intervention areas; such as digital agricultural systems and technological transfer; TIMPs transfer; enhanced availability of water for crops and livestock; market development, and value addition. The project will finance improvement of rangeland management practices, which include, but are not limited to; hay stores, reseeding, harvesting equipment, soil and water conservation structures, and pasture establishment. The project will strive to improve credit access to farmers and pastoralists to enhance productivity. The project will also provide support for review of policies that enhance food security resilience and value chain development. Priority will be extended to build on projects preceded in Kenya Climate Smart Agriculture Project (KCSAP), National Agricultural Rural Inclusive Growth Project (NARIGP) and Emergency Locust Response Program (ELRP).

2.1 CIG/Individual Level Investments

These include investments at individual farmer/pastoralist/agro-pastoralists, CIG/VMG and Indigenous People (IP) levels. The individuals MUST be members of CIGs/VMGs. It will involve:

(i) CIG/VMG investments financed through loans
(ii) Individual farmer investments in FLID

2.1.1 Investment Identification, Initiation and Prioritization Process

The investments under this category will be community-driven and be identified through the PICD Process, Micro Catchment Action Plans (MCAP) and Community Development Plans (CDP). TIMPs demonstrations/sites will be identified by the CIG and learning institutions in collaboration with the local SCTT to ensure maximum benefits for adoption by CIG members and encourage youth integration into agriculture for positive youth development. Funding towards these investments will be channeled through CPCUs and CDDCs as guided by the FSRP dissemination manual.

The Value Chains Development Manual will detail the value chains identification process. For CIG investments, proposals will be developed and forwarded to the CPCU for appraisal and recommendation. Preference will be given to investments that promote the reduction of food insecurity and improve resilience of food systems.

2.1.2 Eligible CIG/Individual Investment Areas

Some of the individual/community-level investments that are eligible for consideration include:

a. Irrigation technologies (Rain hose, drip, siphon, micro-irrigation, micro sprinklers, spate etc.);

b. Land reclamation technologies (Flooded land reclamation, farming in marshy/swampy fields)
c. Pumping system, conveyance system;
d. Production structures (Greenhouses, Shade nets, hydroponics)
e. Sustainable land management technologies and practices (Soil Conservation technologies and practices, integration of fodder trees and legumes, acacia pods for grazing and community rangelands management, cut-off drains, minimum tillage, tree planting)
f. Renewable energy technologies (biogas, wind, solar);
g. Rehabilitation of existing water resources (Spring protection, shallow wells, river abstraction, dams, water pans)
h. Water harvesting and conservation technologies (Farm ponds (100 to 500 m3), water tanks, rock catchment)
i. Breed and seed improvement (multiplication and conservation, bull and buck stations, Crop Variety bulking)
j. Harvesting facilities/machinery/equipment (mowers, balers, rakers, packaging equipment and materials, animal welfare compliant transportation cages, smallholder machinery and equipment, grading shades and equipment for fruits)
k. Post-harvest management and value addition (Small scale investments for aggregation and value addition e.g., short duration movable storage facilities, weighing/grading/cleaning/quality testing equipment, produce dryers, hay barns, juice making equipment, oil press, silage making, chaff cutters, motorized choppers/cutters, feed formulation equipment)
l. Utilization of drone technologies in farm operations (spraying, surveillance of animals and plant diseases)
m. Rangelands management (institutional development [wet and dry season grazing management committees], reseeding degraded areas, rehabilitation, control of invasive species, seed bulking, fire breaks, water points, storage and marketing)
n. Apiculture investments (harvesting kits and suits, improved hives, honey collection centers, processing equipment, mini refinery) .
o. Kitchen gardens and fish ponds

NOTE: All the investments listed above can be financed through loans to Individuals and CIGs/VMGs from SACCOs.

2.1.3 Procurement Process

The procurement process for CIG/VMG investments will be guided by the CIG/VMG constitution. The management committee of the CIG/VMG will procure as per their proposal forwarded to the SACCO.

2.1.4 Implementation

a. The SCTTs will provide technical support in the implementation of the CIG/individual infrastructure investments. In case a technology service provider/aggregator has been engaged, then the procurement arrangement will be on a supply, install, and commission basis.
b. For Irrigation technologies, the CIDU and qualified POEs will be engaged through the CPCU to support specialized irrigation investments. The CTD will be responsible for supervision, quality control, and regulation. The CPCU will provide the overall oversight during the investment implementation.
c. The SCTT supported by the CIDU will identify the appropriate sites where the Tractor, Loader Back Actor (TLB-actor) may be utilized. CIDUs as the technical arm for CPCUs on issues FLID will prepare designs, design drawings and BoQs for farm ponds for FLID farmers based on the irrigation water requirements of the farmer, the available farm-pond catchment area, and the resources available to the farmer.
d. For Water harvesting technologies, Farm ponds, water tanks, rock catchment and other household investments and package will include excavation to achieve a 100 m^3 capacity farm pond to irrigate an eighth of an acre (500 m^2) but to a maximum of 500 m^3 for 0.625 acres (2529m^2) as dictated by the pond catchment area, dam liner and solar powered irrigation kit (panel, pump, elevated tank, conveyance and application system); capacity of rock catchment depending on the average amount of rainfall and size of the area and capacity of water tanks.
e. Farm pond beneficiaries will be targeted to achieve at least 500 farm ponds per the Ward Criteria for identification of farm pond and rock catchment farmers will include:
    - Appropriateness and availability of acceptable design requirements (catchment area, non-rocky grounds, etc.),
    - Ready to abide by the Environmental and Safety Framework (ESF) on safety of the pond,
    - Be a member of a CIG and a SACCO, willing to meet part of the cost (dam lining, fencing, irrigation system for pumping and application),
    - Agreeable to phased out implementation sequenced from lining the farm pond and
    - Fencing as first priority and
    - Acquiring irrigation kits and masonry tanks (pumping, and application).
    - Acquiring conveyance system for the harvested water.
f. Financing options for farm ponds and rock catchment will include: -
    - Value chain financing through forward-contracting as collateral for accessing financing from SACCOs;
    - Irrigation technology suppliers-driven financing mechanism (PAYGO) and distributor short term credit (e.g. by Sunculture, Davis & S, Amiran, Elgon Kenya etc. already piloting); and

- SACCO financing for members practicing FLID;

For Production infrastructure, Feedlots establishment, Feed and fodder conservation and utilization TIMPs, Post-harvest management, Honey harvesting and processing, Breed improvement and renewable energy technologies; The SCTT will work closely with CTD to ensure that infrastructural investments within the proposals are appropriately designed, sketch design drawings are provided with relevant specifications, and priced Bill of Quantities (BoQs) prepared.

For range management, the CPCU will facilitate CTD and National and County Government Administrative Officers, working closely with community and other stakeholders, to: Identify degraded areas for rehabilitation, areas for new pasture fields establishment, identify and map seasonal grazing and movement of livestock, develop negotiated grazing plans to ensure mobility including formation of range resource management committees, strengthen the customary and traditional institutions, support the implementation of grazing plans.

2.1.5 Operation and Maintenance

The beneficiaries will operate and maintain the mechanization related investment as provided for in the operation and manufacturer's manual to guarantee sustainability. The beneficiary will commit to O&M issues as guided by SCTTs. The SCTTs will make regular follow-ups to address any matters that may arise.

2.2 School Investments/Demonstrations

2.2.1 4-K Clubs Demonstration Investments

The 4-K Clubs Demonstration Investments are part of a large-scale initiative to establish demonstrations in schools with active 4-K Clubs, aiming to promote agricultural skills and agribusiness among young learners. These demonstrations will serve as practical learning sites to showcase Technologies, Innovations, and Management Practices (TIMPs) for technology transfer, agricultural production, agribusiness, value addition, and agri-nutrition. Implemented under the Youth and Women Empowerment in Modern Agriculture Project (Y-MAP) since its revival in June 2021, the 4-K Clubs Programme, in collaboration with the Agricultural Society of Kenya, has seen significant growth, with 2,035 schools now participating. The programme encourages mindset change by mobilizing 4-K Clubs to set up demonstration plots at ASK shows and KALRO Centers, where learners cultivate crops, rear livestock, and exhibit various agricultural activities. Through these hands-on experiences, the initiative aims to attract, nurture, and retain young learners in agriculture while equipping them with practical skills that they can apply both in school and at home.

2.2.2 Investment Identification, Initiation and Prioritization Process

The FSRP NPCU will facilitate the State Department for Agriculture (Youth Unit) to establish demonstration plots in 4-K Clubs in selected schools. This will be in collaboration with KALRO, institute teams, and other multi-sectoral stakeholders. The demonstrations will inculcate positive attitudes in agriculture among learners, with expanded beneficiaries; parents and community living around the schools.

2.2.3 Eligible School Investments

Some of the proposed components per demonstration site may include:

Table 1 Proposed components per demonstration

S/No.	Description	Particulars
1.	Irrigation System	Underground water drilling
		Storage tanks (50M^3 capacity)
		Piping and fittings
		Solar pump and fittings
		Gravity drip kits
2.	Equipment	Walking tractors with accessories (tillers, rotovators, sprayer booms)
		Assorted farm implements (wheelbarrows, spades, fork, jembes)
		Fencing posts and wires
		Production structures (Greenhouses, Shade nets, hydroponics)
		Liners
		Kitchen garden kits
		Animal structures, including housing, cages
		Feed and watering troughs

S/No.	Description	Particulars
3.	Inputs / Breeding Stock	Assorted seeds (vegetables, fruits, grasses, legumes, tree seedlings, seedlings of leguminous fodder shrubs such as Calliandra, Leucaena, sesbania, Glaricidia, Mulberry etc.)
		Establishment of Central Nurseries or Nurseries and raising seedlings in nurseries
		Assorted fertilizers/lime
		Herbicides/pesticides/ Nematicides
		Day-old chicks
		Bucks and does
		Calves
		Kids
		Vaccinations
		Apiculture investments (harvesting kits and suits, improved hives, honey collection centers, processing equipment, mini refinery and value addition)
4.	Harvest and Post-harvest equipment	Solar dryers
		Packaging and storage materials (hermetic bags, chillers)
		Moisture meters/hygrometers
		Harvesting facilities/machinery/equipment
		Grading shades and packaging equipment
5.	Skills in agribusiness and Agri nutrition	Marketing
		Business skills models

S/No.	Description	Particulars
		Practical demonstration on Agri-nutrition

2.2.4 Investment Application, Review, Procedures and Requirements

The investment application procedure for the demonstration site will be:

- County, Subcounty SMSs & Ward Extension Officers should give guidance to Patrons/Matrons in a selection of suitable agricultural projects for the demonstration based on priority value chains for the county
- KALRO in consultation with County, Subcounty SMSs & Ward Extension Officers and schools (4-K Clubs) and the Youth Unit will develop a proposal and design of the demonstration and present it to NPCU for concurrence
- Feedback to be provided to 4-K Clubs with reasons for approval or rejection
- NPCU will recommend to NTAC for approval

2.2.5 Procurement Process

The procurement process for 4-K Club demonstrations will be guided by the Project Procurement Manual.

2.2.6 Implementation

The SCTTs will provide technical support in the implementation of the 4-K Clubs demonstrative investments.

For Irrigation technologies, the CIDU and qualified POEs will be engaged through the CPCU to support specialized irrigation investments. The CTD will be responsible for supervision, quality control, and regulation. The CPCU will provide the overall oversight during the investment implementation

For Water harvesting technologies, Farm ponds, water tanks, rock catchment and others are household investments and package will include excavation to achieve a 100 m^3 capacity farm pond to irrigate an eighth of an acre (500 m^2) but to a maximum of 500 m^3 for 0.625 acres (2529m^2) as dictated by the pond catchment area, dam liner and solar powered irrigation kit (panel, pump, elevated tank, conveyance and application system); capacity of rock catchment depending on the average amount of rainfall and size of the area and capacity of water tanks.

For the establishment of nurseries for seedlings, the SCTT will work closely with CTD and the relevant departments to ensure that infrastructure investments within the proposals are properly designed and free from plant pests and diseases

For Production infrastructure, Feedlots establishment (if required), Feed and fodder conservation and utilization TIMPs, Post-harvest management, Honey harvesting and processing Breed improvement and renewable energy technologies; The SCTT will work closely with CTD to ensure that infrastructural investments within the proposals are appropriately designed, sketch design drawings are provided with relevant specifications, and priced Bill of Quantities (BoQs) prepared.

For range management, the CPCU will facilitate CTD and National and County Government Administrative Officers, working closely with community and other stakeholders, to: Identify degraded areas for rehabilitation, areas for new pasture fields establishment.

2.2.7 Operation and Maintenance

The beneficiaries will operate and maintain the mechanization related investment as provided for in the operation and the manufacturer's manual to guarantee sustainability. The beneficiary will commit to O&M issues as indicated in the MoU developed. The SCTTs and PoEs will capacity build the beneficiaries on O&M. SCTT will make regular follow-ups to address any matters that may arise. The SCTT and CTD, in collaboration with the CESSCO, will ensure that the machineries will be strictly kept within the Occupational Health and Safety procedures since they will be used by the youth who are always curious and innovative.

2.3 FPO Investments

Farmer Producer Organizations (FPOs) are formal rural organizations whose small-holder farmers organize themselves with the objective of improving farm income through improved production, marketing and local processing activities. They can be a producers' company, cooperative society, community-based organization, or any other legal form which provides marketing services and has benefits to its members. In addition, an FPO can be composed of several CIGS, VMGs who have come together to form the FPO. The project will support five FPOs in each county.

Investments supported will be on the development of the five (5) value chains prioritized by the counties. The investments will be mainly in enterprise development, value addition, and market infrastructure development.

Under FSRP, three (3) categories of FPOs will be supported:

- Existing FPOs that NARIGP, ELRP, KSCAP and DRIVE projects have supported;
- Existing FPOs that are currently not supported by either of the projects (FPOs under this category selected competitively based on the set criteria);
- New FPOs formed through the federation of CIGs/VMG

The criteria for FPO selection as described in PIM are as follows;

- Relevance or expected transformation to selected priority value chains;
- Number of registered CIGs/VMGs members on board;
- Compliance on participation of women and youth to be given preference

Level of market orientation based on MOPE classification as indicated in the Community Finance Manual.

i. Expected investment impact on market growth potential; and
ii. Due diligence on previous support received from other partners to avoid duplication of efforts and enhance complementarity.

2.3.1 FPO Investment Identification and Prioritization

a. Investment Identification

FPOs to be considered shall be at Market Oriented Producer Enterprises (MOPE) 2 and above.

Investments to be supported include;

I. Harvest, post-harvest, value addition and marketing facilities/equipment for produce, products and by-products.
    - Construction or refurbishing of collection and storage facilities and implementing warehousing receipt systems.
    - Equipment for aggregating farm produce, livestock, and livestock products, and distribution of products to the markets
    - Feedlots, hay barns, and feed stores
    - Digitization of produce deliveries, handling, and marketing of products
    - Common user manufacturing and processing centers/facilities
    - Packaging and branding facilities
    - Fruit processors, fruit drying machines
    - Milk preservation and processing facilities
    - Equipment for harvesting, threshing, sorting, and packaging.
    - Cold chain infrastructure for livestock and crop produce storage and processing to reduce post-harvest losses

II. Technology Development
- The establishment of basic ICT infrastructure
- E-commerce (virtual/digital) marketing of produce

III. Equipment and facilities for renewable energy installation (mini hydro, biogas, solar, wind power)

IV. Installation of electricity where applicable

The FPO investment proposals will fall under two broad areas, based on the funding mechanism:

1. Inclusion grants (IG) to support automation.
2. Investments for Financing Enterprise Development Plans (EDPs).

2.3.2 Investment Application Review and Approval Procedure

FPO investment financing windows will provide financial support to farmer organizations involved in various agricultural value chains. The financing windows include Inclusion Grant (IG) and Enterprise Development Plan (EDP).

Each grant has its application procedure. Reference to be made to the two manuals: Community Finance manual (IG template) and Value chain development upgrading manual (EDP template).

2.3.3 Value Chain Investments Identification and Prioritization

a) Investment Identification

All investments will be identified from Value Chain Development Plans (VCDPs)/EDPs.

Investments to be supported include;

1. Land development operations (climate smart mechanization equipment) - machinery and equipment hire
2. Farm Input Provision
    - Breed/variety bulking and multiplication center, equipment and machinery, e.g. hatchery, seed banks, bee colony multiplication, mother blocks for fruits, etc.
    - Equipment, tools, and facilities for production
    - Equipment, tools, and facilities for input processing (e.g. Pellets making equipment and machines).
    - Pasture and fodder establishment
    - Bulk purchase of agricultural inputs for redistribution to members
3. Value chain Technology Development

- Supporting equipment fabricators and innovators aiming to provide efficient mechanization services across the value chain, including the fabrication of equipment for harvesting, threshing, sorting, and packaging.

4. Feed formulation support

The Value chain investment proposals will fall under two broad areas, based on the funding mechanism:

Investments from Value Chain Upgrading grants. This will be achieved through two ways;

a) A matching grant mechanism that addresses critical investment gaps, including strengthening input supply systems and
b) Investments under Public Private Producer Partnership (4Ps).

2.3.4 Investment Application Review and Approval Procedure

Value chain development financing windows will provide financial support to farmer organizations involved in various agricultural value chains. The financing window will be Value Chain Upgrading grants.

a) Value chain Grants;

Investments from Value Chain Upgrading Grants (VCUGs) will be achieved through two ways;

a) A grant mechanism that addresses critical investment gaps, including strengthening input supply systems and
b) Investments under Public Private Producer Partnership (4Ps).

The project will support formation of Value Chain Platforms (VCPs) both at the County and National levels for the prioritized VCs. The VCPs will anchor and give technical direction for value chain investments and interventions for sustainability.

NOTE: The procedure for application, review and approval procedure for investments in the 4Ps framework is as provided in the Value Chain Development Manual;

b) Procurement and Implementation process

- Before commencing the procurement process for any investment, NPCU and CPCU shall ensure that all the mandatory ESS compliance requirements are met, i.e. ("No objection" from the Bank, NEMA license, physical planning approval, NCA approval, signed MoU, and land take documents) (Refer to **Chapter 4** on ESS)
- The NPCU/CPCU procurement officers and the infrastructure development lead shall ensure all the standard bidding documents include relevant designs and ESS provisions.
- The NPCU/CPCU procurement officer and the infrastructure development lead will implement the procurement process for the investment as guided by the project procurement manual and FPO manual.
- For infrastructural investments, the CPCU will identify a PM as per qualifications and requirements in **(Annex 10)** and in concurrence with NPC for appointment by the responsible Chief Officer (CO).
- The CO will appoint a Project Inspection Committee (PIC) as guided by the procurement manual and the PPADA 2015 that will provide monitoring and oversight of the project implementation.
- The Project Manager (PM) in collaboration with Project Management Committee (PMC) will oversee the construction process as per the contract.
- Unskilled labour will be sourced locally from the unemployed youths/VMGs and processed as per the guidelines of FSRP LMP.
- Other aspects of the contract that will be managed are described in **Chapter 3** on contract management.

2.3.5 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the FPO upon the issuance of the certificate of practical completion to the contractor.
- The CPCU will ensure investment is commissioned after the issuance of the certificate of making good defects after expiry of the Defects Liability Period (DLP).
- Commissioning will be a public event involving all relevant stakeholders and officiated by the County Government in collaboration with the National Government.

2.3.6 Statement of Final Account

After issuance of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the National/County Government.

2.3.7 Operation and Maintenance

- The PM will ensure the Contractor and CTDs submit the O&M manual and as-built drawings for the investment.
- The PM will ensure that the Contractor undertakes capacity building of the FPO's appointed staff on the O&M of the investment.
- The FPO will operate and maintain the investment as provided in the proposal and O&M manual.
- Sub county Technical Team (SCTT) will make routine follow-ups after commissioning to address any O&M matters that may arise.

2.4 County Level Investments

County level investments are in three broad areas, i.e., Farmer Led Irrigation Development (FLID), Sustainable Land Management (SLM) and Market Structures Development (MSD).

Under FLID, the possible investments include:

- New smallholder irrigation schemes
- Modernization and/or upgrading of smallholder irrigation schemes
- Construction and/or rehabilitation of water harvesting infrastructure for irrigation and pastoral activities. (Community water pans/earth dams, sand dams)
- Drilling and construction of boreholes, shallow wells and farm ponds

Under SLM, the possible investments include:

- Structural and vegetative soil and water conservation technologies
- Restoration of degraded rangelands technologies
- Agroforestry
- Conservation Agriculture (CA)

Under MSD, the investments include:

- New agricultural commodity market infrastructure
- Modernization/improvement of existing agricultural commodity market infrastructure (cold chain infrastructure, etc.)
- Value addition infrastructure (e.g., grading, sorting and processing facilities for crop produce, improved storage infrastructure to reduce post-harvest losses, sorting, milling, roasting, among others)
- Agricultural produce aggregation centers
- Logistics related investments including spot repair to improve market access.

2.4.1 Farmer Led Irrigation Development

2.4.1.1 Investment Identification and Prioritization

- The PMC, CPCUs assisted by the County Department of Agriculture and CIDU will review CDP, MCAP and CIDP reports and in conjunction with the inventory of FLID investments identify potential and most impactful County level FLID investments (**Annex 7**).

2.4.1.2 Investment Application Procedure and Requirements

- For a county to be considered for support for FLID investment, it shall have a functional County Irrigation Development Unit (CIDU) established as per the Irrigation Act 2019 Part IV Section 14(1).
- Where in the absence of a functional CIDU, the County Executive and CPCU in collaboration with NPCU will support the establishment and operationalization of CIDU
- The CPCU in concurrence with NPCU will constitute a technical team comprising of relevant professionals and stakeholders
- The team will be tasked with the responsibility of identifying existing and potential FLID farmers, supporting them in preparation/development of FLID investment proposals, linking them to the service providers and providing continuous technical extension support. More specifically, the team will carry out the following activities:
    - Compilation of the inventory of FLID farmers as part of the validation process of the irrigation data collected during the farmer registration.
    - Evaluate existing FLID investments with respect to previous completion of works, suitability of design, lining, fencing and utilization with a view to rehabilitation, expansion etc.
    - Map out the potential FLID hotspots, characterize the farmer needs and match the identified needs with potential service providers.
    - Establish county specific Irrigation Accelerator Platforms (IAPs) for all actors/stakeholders in the irrigation sector

For project specific investments, the team will undertake:

    - Initial screening of proposed investments to align to available budget, regional balance/distribution in the county and ESS issues that are applicable;
    - Design review of existing investments for rehabilitation or expansion/upgrading;
    - Feasibility studies (pre-feasibility studies, land take issues, environmental issues etc.);
    - Preparation of preliminary design report (designs, drawings, BoQ and engineers estimate);
    - Preparation of draft project proposals;
    - Preparation of Farm Pond/Shallow Wells Agreement Forms **(Annex 8)**
- The draft project proposal will be submitted to a 'boot camp' organized by NPCU for review and concurrence.
- The CPCU will submit the reviewed project proposal to CTAC and CPSC for approvals and recommendations; for adoption by NTAC and NPSC for final approval.

2.4.1.3 Financing Mechanism

- Investments will be considered per county and will be funded as per the FSRP Financial agreement.
- County level FLID investments include: -
    - Smallholder irrigation schemes (New and rehabilitation of the existing schemes), water pans, earth dams and sand dams will involve co-financing with a minimum contribution of 10% in cash from the County depending on the cost of the investment.
    - Farm level FLID investments (including farm ponds/shallow wells for demonstration; 2 demos per ward) will involve interventions in a watershed/landscape to protect a critical water infrastructure where the beneficiary shall contribute in kind. For the funding of modernization and upgrading of irrigation schemes/farms/ farmers/IWUAs/WUAs, will be encouraged to access affordable credit from SACCOs.

2.4.1.4 Financing Models

For farm pond/shallow wells investments, two financing models are proposed:

- Model 1: Farm ponds/shallow wells are household investments and all costs will be met by the County/ Project and the package will include excavation, dam liner and solar powered irrigation kit. Fencing and shading to be undertaken by the beneficiary
- Model 2: The County Government will meet the expenses of constructing the silt trap, spillway, and installing the dam liner for farm ponds. Cost of excavation for both to be covered by the Project, whereas the beneficiary will provide fencing, shading, extraction, and irrigation kit.

- Prior to excavation, the beneficiary community member is expected to have acquired an extraction mechanism (pump) and committed to fence off the farm pond, including use of locally available material.
- The project will support the establishment of ponds with a capacity of $100m^3$ to $500m^3$, depending on technical assessment by CIDUs.
- Private firms with requisite expertise and capacity to excavate and shape farm ponds will be prequalified and contracted to mobilize machinery and equipment to excavate at least 20 farm ponds in a given ward.
- Financing options for farm ponds/shallow wells will include: -
    - Value chain financing through forward contracting with off-takers / aggregators as collateral for accessing financing from commercial banks/SACCOs. This would be used to finance the entire investment, including excavation, or part of the investment;
    - Irrigation technology suppliers driven financing mechanism (PAYGO) and distributor short term credit (e.g. by Sunculture, Davis & S, Amiran, Elgon Kenya etc. already piloting). This would be used to finance the supply and installation of the dam liner and/or the solar irrigation kit;
    - SACCO financing for members practicing FLID. This would apply for those who are members of Saccos and funding will be used to finance the supply and installation of the dam liner and/or solar irrigation kit; and
    - Dedicated affordable irrigation equipment credit facility for irrigation equipment targeting micro and small irrigation enterprises. This would be used to finance the entire investment, including excavation or part of the investment.
- The CPCs and the CIDUs to develop and customize a financing model elaborated along the above mechanisms

2.4.1.5 Procurement and Implementation Process

- The CPCU procurement officer and the infrastructure development officer will implement the procurement process for the investment as per the project procurement manual and in accordance with the PPADA 2015
- The CPCU will identify a PM as per qualifications and requirements in **(Annex 10)** and in concurrence with NPCU for appointment by the responsible county CO.
- The CO will appoint a PIC as guided by the procurement manual, which will provide oversight of the project implementation
- The PMC will play a vital role in ensuring the success of the project by interacting with the project implementation supervision as outlined in **(Annex 10)**
- Contract management will be as described in **chapter 3**

2.4.1.6 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the PMC upon issuance of the certificate of practical completion to the contractor.
- The CPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects after expiry of DLP.
- Commissioning will be a public event involving all relevant stakeholders and officiated by the County Government in collaboration with the National Government.

2.4.1.7 Statement of Final Account

After issuance of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM, and the National/County Government

2.4.1.8 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor and CTDs undertake capacity building of the PMC/IWUA and relevant CTDs on the O&M of the investment.
- The PMC/IWUA will operate and maintain the investment as provided for in the proposal and O&M manual.
- CTD will make routine follow-ups to address any O&M matters that may arise.

2.4.2 Sustainable Land Management (SLM)

2.4.2.1 Investment Identification and Prioritization

The CPCUs assisted by SCTT will review CDP, MCAP and CIDP reports and in conjunction with the inventory of SLM investments, identify potential and most impactful County level SLM investments.

2.4.2.2 Investment Application Procedure and Requirements

- The CPCU in concurrence with NPCU will constitute a technical team comprising of relevant professionals and stakeholders headed by the County Agriculture Infrastructure Officer (CAIO)
- The team will be tasked with the responsibility of identifying existing and potential SLM investments and interventions, supporting them in preparation/development of SLM proposals, linking them to the service providers and providing continuous technical extension support. More specifically, the team will carry out the following activities:
    - Compilation of the inventory of SLM investments and interventions as part of the validation process of the data collected during the farmer registration.

- Map out the potential SLM hotspots, characterize the farmer needs and match the identified needs with potential service providers.

For project specific investments, the team will undertake

- Initial screening of proposed investments/interventions to align to available budget, regional balance/distribution in the county, and ESS issues applicable
- Feasibility studies (pre-feasibility studies, land take issues, environmental issues, etc.)
- Preparation of preliminary design report (design drawings, BoQ and engineers estimate).
- Preparation of draft project proposals
- Preparation of Agricultural Land Management Plans (ALMPs) **(Annex 9)**

- The draft project proposal will be submitted to a 'boot camp' organized by CPCU for review and concurrence.
- The CPCU will submit the reviewed project proposal to CTAC and CPSC to make approvals and recommendations, for adoption to NTAC and NPSC for final approval.

2.4.2.3 Financing Mechanism

- Investments will be considered per county and will be funded as per the FSRP Financial Agreement.
- County level SLM Investments in this category will include but not limited to; where appropriate & applicable:

i. In cases of flooding and over supply of water
   a) Dykes
   b) Cut off drains (COD)
   c) Land reclamation technologies (Flooded land reclamation, farming in marshy/swampy fields)
   d) Gabions

ii. In cases of under supply of water
   e) Retention ditches
   f) Terraces (fanya juu, fanya chini)
   g) Ripping to break hardpan
   h) *In situ* water harvesting techniques (Negarims, half-moon bunds, Zai pits, trapezoidal bunds)

iii. Agro forestry (high value fodder/fruit trees and pasture, re-seeding, establishment of tree nursery, improved pastures and legumes) and Conservation Agriculture

2.4.2.4 Financing Models

For SLM investment/interventions the following financing models are proposed:

1) Model 1: Cost of laying and development of ALMPs is packaged by the County/Project while excavation of structural interventions is covered by the beneficiary with at least 100 m Length per farmer per watershed
2) Model 2: Cost of mobilization of excavating and/or ripping equipment is covered by the County/Project and the cost of excavating/ripping is shared at 90/10 between the County/Project and the beneficiary
3) Model 3: In cases of Dykes the County/Project will cover the entire cost of investment/intervention
4) Model 4: In demonstration farms and/or pilot watersheds, all costs to be covered by the County/Project
5) Model 5: Cost of agroforestry interventions/investments to be catered by the project and used as an incentive for undertaking the structural interventions within the watershed/wards i.e. 10 fodder/high value fruit trees per beneficiary.

- Financing option for SLM will include: -
    - Value chain financing through forward contracting with off-takers/aggregator as collateral for accessing financing from commercial banks/SACCOs. This would be used to finance the entire investment, including excavation, or part of the investment;
- The CPCUs, CTDs and CIDUs to develop and customize a financing model elaborated along the above mechanisms
- For soil and water management structures in the watershed, the project will use the FSRP Watershed Conservation Approach Model

2.4.2.5 Procurement and Implementation Process

- The CPCU procurement officer and the infrastructure development officer will implement the procurement process for the investment as per the project procurement manual and PPADA 2015
- The CPCU will identify a PM as per qualifications and requirements in (**Annex 10**) and in concurrence with NPCU for appointment by the responsible county CO
- The CO will appoint a PIC as guided by the procurement manual, which will provide oversight of the project implementation
- The PMC will play a vital role in ensuring the success of the project by interacting with the project during implementation supervision as outlined in (**Annex 10**)
- Contract management will be as described in **chapter 3**

2.4.2.6 Handing Over and Commissioning

- The CIAO/PM will ensure the investment is handed over to the PMC upon issuance of the certificate of practical completion to the contractor.
- The CPCU will ensure the investment is commissioned
- Commissioning will be a public event involving all relevant stakeholders and officiated by County Government in collaboration with National Government.

2.4.2.7 Statement of Final Account

Where applicable, after issuance of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the National/County Government.

2.4.2.8 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the PMC/WMC/WUA/ and relevant CTD on the O&M of the investment.
- The PMC/IWUA will operate and maintain the investment as provided for in the proposal and O&M manual.
- CTD will make routine follow-ups to address any O&M matters that may arise.

2.4.3 Market Infrastructure Development

2.4.3.1 Investment identification and prioritization

The PMC and CPCU will review CIDP, EDP, and existing FPO concepts & proposals to identify potential MSD investments.

2.4.3.2 Investment Application Procedure and Requirements

The CPCU in concurrence with NPCU will constitute a technical team comprising of relevant professionals/experts and stakeholders to: -

- Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable.
- Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (design drawings, BoQs and engineers' estimate)
- Preparation of draft project proposals

The CPCU will submit the reviewed project proposal to CTAC and CPSC to make recommendations and approvals, and to NTAC and NPSC for adoption and final approval.

2.4.3.3 Financing Mechanisms

County level Market Infrastructure investments in this category will include but not limited to;

i. Agricultural commodity market structures
ii. Investments into cold chain infrastructure for livestock produce
iii. Grading, sorting and processing facilities for crop produce
iv. Improved storage infrastructure to reduce post-harvest losses
v. Animal sales yards, Food and feeds storage stores, strategic livestock reserves, feedlots, animal holding grounds
vi. Slaughter slabs, abattoirs

NOTE: Logistics relating to the above investments that improve access to the infrastructures, e.g. spot repairs will be included in the costings.

2.4.3.4 Procurement and Implementation Process

- The CPCU procurement officer and the County Agriculture infrastructure officer (CAIO) will implement the procurement process as per the project procurement manual.
- The CPCU will identify a PM as per the qualifications and requirements in (**Annex 10**) and in concurrence with NPCU for appointment by the responsible county CO
- The CO will appoint a PIC as guided by the procurement manual, which will provide oversight of the project implementation
- The PMC will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in (**Annex 10**)
- Contract management will be as described in **chapter 3**

2.4.3.5 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the users upon issuance of the certificate of practical completion to the contractor.
- The CPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects, after expiry of the DLP
- Commissioning will be a public event involving all relevant stakeholders and officiated by County Government in collaboration with National Government.

2.4.3.6 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the National/County Government.

2.4.3.7 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the PMC and relevant CTD on the O&M of the investment.
- The PMC/Market Management Committee (MMC) will operate and maintain the investment as provided for in the proposal and O&M manual.
- CTD will make routine follow-ups to address any O&M matters that may arise.

2.5 Regional (Cross-County) Level Investments

Regional investments will be market infrastructure based. This will include new or improved physical markets, veterinary Labs, Hay stores, Soil and Water Analysis (Chemical and Physics) laboratories, value addition/processing facilities for value chains typical across more than one county, producer-to-consumer markets, and may include access to facilities improvement. The investments will be identified from CIDPs by considering VCs that are common across counties.

2.5.1 Investment Identification, Prioritization and Approval

- Identification will be community driven and as per the FSRP Value Chain Development Manual for VCs common across counties
- For the proposed regional investments, NPCU will convene a meeting of the respective Value Chain Stakeholders' Committee to form an *ad-hoc* Regional Forum to validate the investments and agree on the proposed site for each investment
- The NPCU, in liaison with involved CPCUs, will constitute a project team comprising relevant professionals/experts and stakeholders to: -
  - Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable
  - Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues, among others), and prepare design reports (design drawings, BoQs and engineers’ estimate).
  - Prepare draft project proposals
- The project proposal will be submitted for review to NPCU.
- The NPCU will submit the reviewed project proposal with certified designs and drawings to NTAC for approval.

2.5.2 Financing Mechanism

Financing of the investments will be done consultatively between the affected Counties and the National government.

2.5.3 Procurement and Implementation Process

- Procurement process will be undertaken by the NPCU.
- The National Project Procurement Lead and National Infrastructure Lead will implement the procurement process as per the procurement manual, PPADA 2015 and World Bank regulations.
- The NPCU with the involved CPCU will identify the PM as per qualifications and requirements in (**Annex 10**) for appointment by the PS – State Department for Agriculture.
- The PS will appoint a PIC comprising of National Government and involved County Government officers.
- The users drawn from participating/beneficiary Counties will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in (**Annex 10)**
- Contract management will be as described in **chapter 3**

2.5.4 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the users upon issuance of the certificate of practical completion to the contractor
- The NPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects, after the expiry of the DLP
- Commissioning will be a public event involving the relevant counties and officiated by National Government.

2.5.5 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the Ministry of Agriculture and Livestock Development.

2.5.6 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the PMC/MMC and relevant CTD on the O&M of the investment.
- The users will operate and maintain the investment as provided for in the proposal and other relevant O&M manuals.
- The relevant CTD will make routine follow-ups to address any O&M matters that may arise.

2.6 National Investments

National investments will be water and livestock infrastructure based. This will include physical small dams, water pans, Feedlots, Slaughterhouses/ Abattoir facilities for value chains typical across more than one county. The investments will be identified by NPCU in consultation with the Ministry and the County governments.

2.6.1 Small Earth Dams / Water Pans/ Irrigation Canals

This entails the construction and/or rehabilitation of water harvesting infrastructure including irrigation canals and colonial dams, for crop and pastoral activities.

2.6.1.1 Identification, Prioritization and Approval

- Identification will be community driven and as per the Value Chain Development Manual for VCs common across counties.
- For the proposed regional investments, NPCU will convene a meeting of the respective Value Chain Stakeholders' Committee to form an *ad-hoc* Regional Forum to validate the investments and agree on the proposed site for each investment.
- The NPCU, in liaison with involved CPCUs, will constitute a project team comprising relevant professionals/experts and stakeholders to: -
- Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county, and ESS issues triggered.
- Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (designs, drawings, BoQs and engineers' estimate).
- Preparation of draft project proposals
- The project proposal will be submitted for review to NPCU.
- The NPCU will submit the reviewed project proposal with certified designs and drawings to NTAC for approval.

2.6.1.2 Financing Mechanisms

- The small earth dam projects will be fully funded from the National Level.

2.6.1.3 Procurement and Implementation Process

- Procurement process will be undertaken by the NPCU.
- The national procurement lead and national infrastructure lead will implement the procurement process as per the procurement manual and World Bank regulations.
- The NPCU with the involved CPCU will identify the PM as per qualifications and requirements in (**Annex 10**) for appointment by the PS – State Department for Agriculture.

- The PS will appoint a PIC comprising National Government and involved County Government officers.
- The users drawn from participating/beneficiary Counties will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in **(Annex 10)**
- Contract management will be as described in **chapter 3**

2.6.1.4 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the users upon issuance of the certificate of practical completion to the contractor
- The NPCU will ensure the investment is commissioned after the issuance of the certificate of completion, after making good defects during DLP
- Commissioning will be a public event involving the relevant counties and officiated by National Government.

2.6.1.5 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the Ministry of Agriculture and Livestock Development.

2.6.1.6 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the PMC/MMC and relevant CTD on the O&M of the investment.
- The community PMC will operate and maintain the investment as provided for in the proposal and O&M manual.
- The relevant CTD will make routine follow-ups to address any O&M matters that may arise.

2.6.2 Feed-Lots

These are livestock fattening infrastructure, with a capacity of 1000 cattle heads per period, i.e. 4 months, for particular weight gains to the market. They entail pre-quarantine areas, quarantine area, feed storage structures, fencing, animal control and watering structures, feeds conservation, pasture development under rain and irrigation, with a water source and sanitation facilities.

2.6.2.1 Investment Identification and Prioritization

- Identification will be community driven and as per the Value Chain Development Manual for VCs common across counties.
- For the proposed regional investments, NPCU will convene a meeting of the respective Value Chain Stakeholders' Committee to form an *ad-hoc* Regional Forum to validate the investments and agree on the proposed site for each investment.
- The NPCU, in liaison with involved CPCUs, will constitute a project team comprising relevant professionals/experts and stakeholders to: -
    - Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable.
    - Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (design drawings, BoQs and engineers' estimate).
    - Preparation of draft project proposals
- The project proposal will be submitted for review to a 'boot camp' organized by NPCU.
- The NPCU will submit the reviewed project proposal with certified designs and drawings to NTAC for approval.

2.6.2.2 Financing Mechanisms

- The project will be fully funded from the National Level.

Financing model

Investment will be financed as per the FSRP Financing Agreement.

2.6.2.3 Procurement and Implementation Process

- Procurement process will be undertaken by the NPCU.
- The national procurement lead and national infrastructure lead will implement the procurement process as per the procurement manual.
- The NPCU with the involved CPCU will identify the PM as per qualifications and requirements in (**Annex 10**) for appointment by the PS – State Department for Agriculture.
- The PS will appoint a PIC comprising of National Government and involved County Government officers.
- The LMC drawn from participating /beneficiary Counties will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in (**Annex 10**)
- Contract management will be as described in **chapter 3**

2.6.2.4 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the users upon issuance of the certificate of practical completion to the contractor
- The NPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects, after the expiry of the DLP
- Commissioning will be a public event involving the relevant counties and officiated by National Government.

2.6.2.5 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the Ministry of Agriculture and Livestock Development.

2.6.2.6 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the LMC and relevant CTD on the O&M of the investment
- The LMC will operate and maintain the investment as provided for in the proposal and O&M manual
- The relevant CTD will make routine follow-ups to address any O&M matters that may arise

2.6.3 Abattoir

These are livestock slaughter and processing facilities.

2.6.3.1 Investment identification and prioritization

- Identification will be community driven and as per the Value Chain Development Manual for VCs common across counties.
- For the proposed National investments, NPCU will convene a meeting of the respective Value Chain Stakeholders' Committee to form an *ad-hoc* National Forum to validate the investments and agree on the proposed site for each investment.
- The NPCU, in liaison with CPCUs and line Ministries, will constitute a project team comprising relevant professionals/experts and stakeholders to: -
    - Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable.

    - Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (design drawings, BoQs and engineers' estimate).
    - Prepare draft project proposals
- The NPCU will submit the reviewed project proposal with certified designs and drawings to NTAC for approval.

2.6.3.2 Financing Mechanisms

The project will be fully funded from the National level.

2.6.3.3 Procurement and Implementation Process

- Procurement process will be undertaken by the NPCU
- The national procurement lead and national infrastructure lead will implement the procurement process as per the procurement manual
- The NPCU with the involved CPCU will identify the PM as per qualifications and requirements in (**Annex 10**) for appointment by the PS – State Department for Agriculture
- The PS will appoint a PIC comprising of National Government and involved County Government officers.
- The users drawn from participating/beneficiary Counties will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in (**Annex 10**)
- Contract management will be as described in **chapter 3**

2.6.3.4 Handing Over and Commissioning

- The PM will ensure the investment is handed over to the County Governments upon issuance of the certificate of practical completion to the contractor
- The NPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects, after the expiry of the DLP
- Commissioning will be a public event involving the relevant counties and officiated by National Government.

2.6.3.5 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the National/County Government.

2.6.3.6 Operation and Maintenance

- The PM will ensure the Contractor submits the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the users and relevant CTD on the O&M of the investment.
- The users will operate and maintain the investment as provided for in the proposal and O&M manual.
- CTD will make routine follow-ups to address any O&M matters that may arise.

2.6.4 National Market Development

2.6.4.1 Investment Identification and Prioritization

- Identification will be community driven and as per the Value Chain Development Manual for VCs common across counties.
- For the proposed National investments, NPCU will convene a meeting of the respective Value Chain Stakeholders' Committee to form an *ad-hoc* National Forum to validate the investments and agree on the proposed site for each investment.
- The NPCU, in liaison with involved CPCUs and line Ministries, will constitute a project team comprising relevant professionals/experts and stakeholders to: -
    - Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable.
    - Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (design drawings, BoQs and engineers' estimate).
    - Prepare draft project proposals
- The NPCU will submit the reviewed project proposal with certified designs and drawings to NTAC for approval.

2.6.4.2 Investment Requirements Proposal Preparation and Submission

- NPCU in consultation with respective county authorities will constitute a technical team to: -
    - Undertake initial screening of proposed investments and align to available budget, ensure regional balance/distribution in the county and ESS issues applicable.
    - Carry out feasibility studies, ensure ESS compliance requirements (land take documents, environmental and social safeguard issues), and prepare design reports (design drawings, BoQs and engineers' estimate).
    - Prepare draft project proposals
- NPCU will submit the final investment proposals to NTAC for approval

2.6.4.3 Financing Mechanism

The project will be fully funded from the National level

2.6.4.4 Procurement and Implementation Process

- Procurement process will be undertaken by the NPCU.
- The national procurement lead and national infrastructure lead will implement the procurement process as per the procurement manual.
- The NPCU with the involved CPCU will identify the PM as per qualifications and requirements in (**Annex 10**) for appointment by the PS – State Department for Agriculture.
- The PS will appoint a PIC comprising of National Government and involved County Government officers.
- The PMC/MMC drawn from participating/beneficiary Counties will play a vital role in ensuring the success of the project by interacting with the project during implementation/supervision as outlined in (**Annex 10**)
- Contract management will be as described in **chapter 3**

2.6.4.5 Handing over and Commissioning

- Before handing over, the County Government will have established a market management committee (MMC)
- The PM will ensure the investment is handed over to the MMC upon issuance of the certificate of practical completion to the contractor.
- The NPCU will ensure the investment is commissioned after the issuance of the certificate of making good defects after the expiry of the DLP.
- Commissioning will be a public event involving all relevant stakeholders and officiated by the National Government in collaboration with the County Government.

2.6.4.6 Statement of Final Account

After the issue of the Defects Liability Certificate pursuant to the relevant Clause of Contract, the Contractor shall submit to the PM for consideration, a draft final statement with supporting documents in the format approved by the PM. The final statement of account shall be agreed upon by the Contractor, the PM and the Ministry of Agriculture.

2.6.4.7 Operation and Maintenance

- The PM will ensure the Contractor prepares the O&M manual and as-built drawings for the investment
- The PM will ensure that the Contractor undertakes capacity building of the MMC and relevant CTD on the operation and maintenance of the investment

- The MMC supported by CTD will operate and maintain the investment as provided in the proposal to guarantee sustainability.

CHAPTER 3: CONTRACT MANAGEMENT

FSRP infrastructure investments, as defined in this manual, shall be executed through contracts. The procurement process for sourcing of contractors will be as provided in the Project Procurement Manual, World Bank's regulations, and Public Procurement and Asset Disposal Act (PPADA)2015. World Bank Bid, 2023, for small works

The contract will be administered by applying the PPADA 2015 along with the World Bank regulations. The Standard Bidding Document for Procurement of Small Works will be used as provided by the World Bank for admeasurement (unit prices or unit rates in a bill of quantities) and lumpsum types of contracts or as directed by the Financing Agreement.

The aim of contract management is to ensure that all parties meet their obligations.

Contracts shall be actively managed by the NPCU, CPCU and the PMC throughout their life to ensure that contractor performance is satisfactory, County Governments and appropriate stakeholders are informed and all contract requirements are met.

Effective contract management will ensure successful execution of the contract while meeting deliverables as agreed in the contract, hence achieving the value for money.

Essentials for the formation of a Contract include:

- Offer and acceptance by the parties involved.
- Intention to create legal relations.
- Time period for carrying out the works.
- The contract price.
- Any other essential requirements.

3.1 Objective of Contract Management

The key objectives of Contract management are to ensure that the Contract is:

- To ensure that all delivery or performance obligations are met or appropriate action taken.
- To ensure that risks are managed or mitigated before they materialize.
- Ensure contract variations are properly justified
- Ensure the outcome of the contract meets the intended objectives
- Implementation is done in accordance with and to the required specifications/Bill of quantities and standards
- Ensure contract is completed on time within budget

Contract management shall effectively run throughout the life of the Contract, i.e. the Contract implementation period and the Defects Liability Period (DLP).

3.2 Contract Contents

A contract shall specify the scope of works, location/site, quality and specification, contract sum, time period within which the relevant works are to be carried out and the relevant payment terms.

Contracts shall, among others, specify:

- The parties involved.
- How risks are shared between the Employer and the Contractor.
- Programs of work, dates for completion and provision for extensions.
- Insurance arrangements.
- Terms of payment (limits and frequency of payment).
- Quality control.
- Meeting schedules.
- Penalties to employer and contractor.
- Variations to the works to be carried out.
- Grounds for termination of the Contract by either of the parties.
- Settlement of disputes.
- Ensure the appropriate contract type and contract terms taking into account the nature, risk, and complexity of the activity, fit for purpose considerations, optimal allocation of risk and liabilities, and the roles and responsibilities of the contracting parties.

3.3 Contract Documents

The documents forming the Contract shall be:

i. Contract agreement form
ii. The letter of offer
iii. The Letter of Acceptance
iv. Negotiations meeting minutes (where applicable)
v. The Letter of Bid/form of tender
vi. A copy of a performance bond
vii. The Addenda Nos. (if any)
viii. Special/particular Conditions of Contract
ix. General Conditions of Contract
x. The Specification (including Schedule of Requirements and Technical Specifications)
xi. Contract data sheet
xii. Bill of quantities
xiii. The completed Schedules (including Price Schedules)
xiv. Any other documents forming part of the Contract

If an ambiguity or discrepancy is found in the documents, the PM in concurrence with CPCU and NPCU shall issue necessary written clarifications or instructions.

3.4 Roles and Responsibilities

i) Employer

Roles and responsibilities for the Employer will be as defined in the General Conditions of Contract (GCC).

Specifically;

- The employer shall appoint the PM and avail copies of all the Contract Documents for the PM to concur with in relation to the site before the site handing over of the project.
- The PM shall convene management and site meetings as and when required or scheduled. The PM shall prepare notices, minutes, and reports of such meetings and copies given to the concerned parties not later than seven days after the meeting.
- The PM shall ensure the Contract is carried out with due consideration for time, cost, and quality control as specified in the Agreement. In this respect, the PM shall convene a management meeting with the Contractor and the Employer at the onset of the project to discuss how these issues shall be adhered to.
- Where it is found that one or more of the issues are likely to be affected within the project period, they shall put in place early mitigation measures to ensure they are within the specified scope. The rest should be handled as set in the Agreement.
- All communications regarding the project by the PM shall be in writing
- The PM reimbursement/remuneration shall not be domiciled in the Contract sum but shall be catered for by the NPCU/CPCU

ii) Contractor

The contractor will deliver the contract with reference to the terms of engagement/contract agreement.

Obligations/Roles of both Parties

a. Provide the names and contact details of the key contacts for each party;
b. ensuring that each party has established the necessary authorizations and delegations for its personnel at the beginning of the contract is an important prerequisite to ensuring that all contracting decisions are valid and enforceable;
c. Have clear communication and reporting procedures;
d. Adhere to contractual terms and conditions;
e. contractual milestones, including critical path (identified to ensure early detection and mitigation of issues), and payment procedures consistent with contractual provisions;

f. Key contract deliverables, identified and properly described, and updated to account for

change orders during the execution of the contract;

g. Strictly adopt the KPIs and a description of the measurement process (if required);
h. contract variation/change control mechanisms; and record keeping requirements are well specified.

iii) Roles of PMC

The roles of the PMC in the management of the contract will be as outlined in **(Annex 15)**

3.5 Disclosure Information

The Contractor shall keep updated contract data on-site and display a summary of the same on the signboard as per NCA requirements and as directed by the PM.

The data shall include the following:

(Where applicable):

- Location of the construction works
- Contract period
- Contract commencement date
- Contract completion date
- Contract amount
- Name of Employer
- Supervising entity
- Name of contractor
- Description of works

At the construction site, the PM shall make sure the following are observed:

- Mandatory key staff shall include the site agent, office administrator, clerk of works, environment & social safeguards compliance personnel, among others, to be on-site full-time.
- Necessary records that include the schedule of work, engineering drawings, BoQ, labour records, instructions book, weather record, visitor book, material record and test results and plant and equipment record, among others, are to be maintained.
- Necessary reports that include minutes of site meetings, progress reports, and incident reports, among others, must be produced and accessible.

i. Work Schedule

The work schedule is prepared by the contractor and approved by the PM to facilitate smooth, sequential and logical execution of works, and linked to cash projection for proper planning by the employer. The approved work schedule should be submitted at the time of contract signing or as specified in the contract. The work schedule should be updated and approved as provided in the contract.

ii. Records

Labour, machinery, and weather details shall be recorded daily. Details for labour shall include the person's name, and contact details, whether skilled or unskilled; for machinery, the name/type, specification, number, the purpose of use, and remarks (number of hours worked, working or not, grounded, grievances, incidents and accidents etc.). Weather details include whether it has rained, how long, and how work has been affected.

iii. Quality Control

The quality control will cover the quality of materials and works undertaken. This must be performed to ensure the quality of the works meets the standards as outlined in the technical specifications. All test results must be approved by the PM and relevant PIC professionals and appropriately kept. The certification for all quality controls will be well documented and filed by the PM. Photos should be used to show the progress of parts of the works at all stages, especially for the works that may be concealed after completion. They should be taken from a fixed location at a fixed angle for purposes of comparing photos at different construction stages. They should be kept in a digital photo album by type of work and drawings.

iv. Reports Period

Reports that include photos must be kept for all aspects of the work. The PM should prepare weekly and monthly reports to the NPCU/CPCU. The CPCU should forward the monthly reports to the NPCU.

CHAPTER 4: ENVIRONMENTAL AND SOCIAL RISKS/IMPACTS

The project will be implemented under the World Bank Environmental Social Framework (ESF). The overall environmental and social risk rating for the FSRP project is Substantial. The project presents substantial environmental risks, such as those related to construction, Occupational Health and Safety (OHS) in areas that will see infrastructure developments, dam safety, community and health safety. There are also risks to natural habitats and biodiversity and cultural heritage. In addition, agricultural production and processing may result in solid and liquid waste generation with the attendant impacts on soil and water pollution, while digital interventions may result in e-waste from digital activities. Other environmental risks include soil erosion, siltation, flooding emanating from irrigation designs, water and soil salinity, water-related vector-borne diseases if irrigation systems are not properly maintained, and hydrological flow impacts of irrigation schemes' operation. Even though some of the implementing institutions have some capacity to address some of the risks, the scope of the project warrants an environmental risk rating of 'Substantial as exhibited in ***Table 2***.

Table 2 Risk rating for FSRP project

Risk Category	Rating
1. Political and Governance	●●●●● Substantial
2. Macroeconomic	●●●●● Substantial
3. Sector Strategies and Policies	●●●●● Substantial
4. Technical Design of Project or Program	●●●●● Moderate
5. Institutional Capacity for Implementation and Sustainability	●●●●● Substantial
6. Fiduciary	●●●●● Substantial
7. Environment and Social	●●●●● Substantial
8. Stakeholders	●●●●● Substantial
9. Other	●●●●
10. Overall	●●●●● Substantial
Overall FSRP Risk Rating	●●●●● Substantial

Environmental and Social (E&S) issues are crosscutting and shall be evaluated in all the FSRP project supported interventions as per the guidelines provided in the various instruments and summarized in the E&S operational guidelines. The FSRP has an Environmental and Social Commitment Plan (ESCP) that commits the Government of Kenya to ensure that environmental and social sustainability are put in place. To achieve this, the project developed and disclosed several E&S plans and frameworks listed below and disclosed in the ministry and FSRP project website:

1. Environmental and Social Commitment Plan (ESCP)
2. Environmental and Social Management Plan (ESMP)
3. Stakeholder Engagement Plan (SEP)
4. Labor Management Plan (LMP)
5. Security Management Plan (SMP)
6. Resettlement Policy Framework (RPF)
7. Vulnerable and Marginalized Groups Framework (VMGF)
8. Integrated Pest Management Plan (IPMP)
9. Sexual Exploitation Abuse and Harassment (SEA/SH)

The E&S interventions will be guided, supervised, and monitored at NPCU by the NPC and the Environmental safeguards Lead and the Social Safeguards Lead, while at the county level, the environmental and social compliance officers will oversee implementation and provide any E&S information as required with guidance from NPCU. A separate ESS operational guidelines manual has been prepared to guide on the key action points of ESS issues, namely:

4.1 Environmental and Social Screening

ESMF lays out screening processes and tools to be used by the FSRP interventions to assess risks and impacts per investment. Using the Environmental and social screening checklist contained in the project ESMF **(Annex 2),** screening is undertaken for all investments planned (at community, county, and national level) to guide the preparation of specific E&S instruments for the identified investment. Screening of the proposed investments for environmental and social impacts by the Environmental and Social Safeguards teams at the County Project Coordination Units (CPCUs) will be conducted using the Environmental and Social screening checklist**.** The screening exercise will be undertaken by the technical team, such as the NEMA office, Engineers, Livestock, Crop, Environmental & Social, and Gender officers. Community members, among other interested parties, will also be involved. Invitation of the community members will be conducted through notices, messages, and phone calls.

4.2 Stakeholder Engagement

A key step that refers to the disclosed FSRP Stakeholder Engagement Plan (SEP) which defines Project stakeholders as individuals, informal, registered groups and organizations, and/or governmental entities whose interests or rights will be affected, directly or indirectly by the project, both positively and negatively, who may have an interest, and who have the potential to influence the project outcomes in any way.

The overall purpose of Stakeholder Engagement as stated in the Kenya Constitution 2010, EMCA Act 1999, and World Bank ESS-10 is to ensure open and transparent engagement between the borrower and project stakeholders. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make significant contributions to successful project design and implementation.

The main stakeholder remains the beneficiaries who need to be engaged in a format acceptable to them. Table 3 below is a sample community engagement minutes guide.

Table 3 Community Engagement Minutes Guide

Meeting Title:	
Village/Ward/Subcounty/County	
Proposed Investment project/activities	
Location Coordinates	
Date of meeting:	Meeting venue:
Facilitated by:	
Number of men:	
Number of women:	
Number of disadvantaged: minority groups, IDPs, nomads, PWDs (describe groups) by gender	
Purpose/Agenda of meeting:	
Beneficiaries, land issues, SEAH/SGV	
Key issues discussed	
Concerns raised by the community on the project design	
Mitigation measures proposed/agreed	
Follow up on action needed	
Selection of committees, GM committee, PMC, land donation signatories (community land)	
Other observations: low participation, key guests, disagreements or domination by one person/group, key lessons learnt or suggestions from facilitators	

Meeting Title:	
Participants' list and photos attached – Any other explanation	

Other FSRP Stakeholders in the 13 FSRP counties

The FSRP Project has multiple stakeholders from government, private sector, civil society and the general public. FSRP stakeholders will mainly include all actors engaged in the different resilience food systems and value chains targeted from production, marketing, and processing of crop and livestock products and services. ***Table 4*** below summarizes some of the stakeholders that are relevant to the project, although this list is not exhaustive, it provides a guide on what type of stakeholders supported interventions should target.

Table 4 Stakeholder mapping for the FSRP investments

Organization/Agency	Role	Specific functions list	Needs
Community Level			
Farmers and pastoralists	Implementers and Beneficiaries	Participate in all phases of the project cycle and the Adoption of technologies	Project information (roles and obligations in project implementation)
Indigenous peoples, marginalized communities, including pastoralists and hunter-gatherer communities	Implementers and Beneficiaries	Participate in all phases of the project cycle and the Adoption of technologies	Project information (roles and obligations in project implementation)
Farmer/Pastoral based Groups (CIGs, POs, CBOs, PFS & FFS)	As platforms to disseminate information	Mobilization of beneficiaries for Implementation	Project information (roles and obligations in project implementation)
Farmer/Pastoral leadership structures	Steer development in project areas	Leadership at the community level	Project information (roles and obligations in project implementation)

Organization/Agency	Role	Specific functions list	Needs
Vulnerable people, including People living with Disabilities, HIV infected, elderly, IPs)	Involvement for participation in project activities	Towards the social inclusivity element	Project information (roles and obligations in project implementation)
Local NGOs (such as Northern Rangelands Trust, FAIDA, etc)	Mobilization and preparation of communities in readiness for implementation	Ensure inclusivity and development	Project information (roles and obligations in project implementation), Project documents
Religious and public based institutions (churches, mosques, schools [4-K Clubs], provincial administration)	Meeting venues and avenues for notifying communities of planned activities	Good will	Project information (roles and obligations in project implementation) Project Documents
Clan elders	Provide guidance on clan matters	Entry points to the community mobilization, Channels of information dissemination, Conflict resolutions	Project information (roles and obligations in project implementation)
‘Nyumba Kumi’ leaders	Maintenance of peace and security	Entry points to the community mobilization	Project information (roles and

Organization/Agency	Role	Specific functions list	Needs
			obligations in project implementation)
Stakeholder dealing with GBV, Child labour, SEAH, OSH	Development of referral pathway and community sensitization	Provide referral contacts and information dissemination	Project information (roles and obligations in project implementation)
County Level			
CGDs (Agricultural, Livestock Environment, Social services, Cooperatives, Forests, Treasury)	sensitization and provision of technical staff	Capacity building and coordination of project activities, Mobilization of communities, Maintenance of security -OP	
Associations and organizations, e.g. WUA,	Local Resources	Prudent utilization and management of NR Good governance	
Regulatory (CEC, WRA, KDB, LCB, PCPB, NEMA), NGEC,	licensing	Regulatory; WRA & NEMA to Ensure quality and safety of water, KDB --milk; LCB--land matters, PCPB - pesticides	
CBO, MOH, CBOs or community safe places for victims of GBV, Probation officers (Child labour, SEAH, OSH)	To provide a safe place to house victims of GBV and sometimes FGM	Provide counseling to victims. Ensure victim's individual privacy. Assist in maintaining evidence resulting from SGBV, Investigate cases of SEA	
Ministry of Lands (county) CEC.CO, National land commission, and trusted key elders from VMGs meeting ESS7 criteria	Mobilization and guidance on land acquisitions and provision in the RPF	Provide guidelines to the process of land acquisition of community and public land, Part development planning, Engage NGAO on issues of ownership and historical conflict and tensions	
National Government			
Director of Veterinary Services	Livestock health services	Disease Surveillance,	

Organization/Agency	**Role**	**Specific functions list**	**Needs**
		Vaccination and treatment protocols, Movement of animals, animal welfare	
Director of Livestock Production at national level	Livestock production services	County Level Engagements, Feed level Situation assessment, Policy guidelines on value chains	
Director of Crop Development	Crop production services	Disease and pest control measures, Policy guidelines on value chains, Food situation assessment	
Pest Control Products Board (PCPB)	Regulates the importation, exportation, manufacture, Distribution, Transportation, sale, disposal, and use of products used for the control of pests and mitigate potential harmful effects to the environment.	Enhances compliance of pest control products to set standards and facilitate trade. Ensure safe, quality, and efficacious pest control products are available to users Enhance responsible use of pest control products and food safety	
KEPHIS	Assures the quality of Agricultural inputs and produce.	Support compliance to market requirements Certification of the quality of seeds and fertilizers Testing and monitoring the presence of harmful residual agro-chemicals on agricultural produce, soils and water systems Preventing introduction into the country of harmful foreign weeds, Pests and diseases are controlled through adherence to strict quarantine regulations and procedures Inspecting and grading agricultural produce for import and export	

Organization/Agency	Role	Specific functions list	Needs
		Implementing the national policy on the introduction and use of genetically modified	
KALRO	Release of TIMPs, especially CSA technologies for producer organizations, Research liaison, Data management	Farmer data management Efficacy trials of CSA for field crops and fertilizers	
Ministry of Interior and Coordination of National Government (NGAO), County commissioners, chiefs and sub chiefs	Community mobilization, Lead in peace initiatives in the communities, Community safety chain of command.	Chiefs work closely with the communities, justice system and police to tackle violence against women and children within their jurisdictions. In other cases, the chief is the entry point and the GM register point with a committee of elders for resolution of grievances. Act as reporting centers for GBV issues in some communities and help educate the community on such issues Police are a response system Form part of the national security structure and provide security risks and data, and the fluidity of security in particular areas in a county Community tensions and historical conflict data, and interclan agreements within the custody of NGAOs to be provided. Provide nonpolitical or nonpartisan community mobilization, logistics mobilization, and provision of Transport and security to control teams.	

Organization/Agency	Role	Specific functions list	Needs
Ministry of Public Service, Youth and Gender	Youth involvement in agricultural technological innovations, training, youth mobilization for community investment project support, internships	Enhancing the Code of Conduct Implementation of the Act towards ensuring prevention and protection against SEA /SH	
Ministry of Cooperatives and SMEs	Producer organization facilitators, training on credit management, agricultural investment products	Regulators Guidelines on cooperatives formation	
Ministry of regional development, EAC and ASALs	Assessment of drought situation	Assessment of vulnerable communities	
Ministry of Lands at national level	Provide guidelines and structures already developed in relation to the Community land Bill 2016, provide land ownership guidelines	Provide overall provisions that are legal to the acquisition of community land for infrastructure anticipated in Comp 2 and 3 Provide original ground maps in case of conflict.	
NEMA	Enforcement and compliance for management and rational utilization of environmental resources. Advise on implementation of relevant international conventions, treaties and agreements.	Focal point in the implementation of the Stockholm Convention on Persistent organic pollutants (POPs); Chemical management through enforcement of Environmental Impact Assessments and audits where all the impacts to the environment are anticipated by the Use of chemicals listed in the second schedule of the Act	
Meteorological department	Information on the weather forecast	Provision of weather forecasts, early warning systems, appropriate measures to undertake in the event	

Organization/Agency	Role	Specific functions list	Needs
		of floods, drought, pests and disease incidences in both crops and livestock production systems	
Directorate of Occupational Safety and Health Services (DOSHS)	Ensures safety, health and welfare of workers predisposed to pesticides.	Ensures safety, health and welfare of workers predisposed to pesticides. Ensure that may affect the safety and health of employed persons, and the general environment.	
Kenya Bureau of Standard (KEBS)	Prepare standards relating to pesticides and their promotion at all levels	Develop product standards and certification of products	
Export Processing Zones Authority (EPZA)	Promote and facilitate export-oriented investments and develop an enabling environment for such investments	Incentivize export-oriented investors dealing in livestock and products	
Public Works department	Design and authority in all public works	Design of project structures, Supervision of the construction and maintenance of facilities	

Other stakeholders, which are not exhaustive but may be consulted, include

1. Department of Health and Safety (DOSH)
2. Kenya Wild Services (KWS)
3. Water Resources Authority (WRA)
4. Kenya Forest Services (KFS)
5. National Farmers Information Service - http://www.nafis.go.ke/
6. Relevant state and non-state -International NGOs
7. Kenya National Human Rights
8. Various labor-related institutes

4.3 Indigenous People (IP/SSAHUTLC) and other Vulnerable Groups (VGs)

Broadly, ESS 7 requires that proposed projects aim at reducing poverty through a sustainable development stemming from enhanced opportunities for Vulnerable and Marginalized Groups (VMGs) to participate in, and benefit from, the development process in ways that do not threaten their unique cultural identities and well-being. According to Article 260 of the Constitution of Kenya, 2010, the definition of "Marginalized Community" is: (a) a community that, because of its relatively small population or for any other reason, has been unable to fully participate in the integrated social and economic life of Kenya as a whole; (b) a traditional community that, out of a need or desire to preserve its unique culture and identity from assimilation, has remained outside the integrated social and economic life of Kenya as a whole;(c) an indigenous community that has retained and maintained a traditional lifestyle and livelihood based on a hunter or gatherer economy; or(d) pastoral persons and communities, whether they are (i) nomadic; or (ii) a settled community that, because of its relative geographic isolation, has experienced only marginal participation in the integrated social and economic life of Kenya as a whole. Article 56 of the Constitution of Kenya has lots of reference to the minority and vulnerable communities.

The ESS operational guidelines manual gives guidance for communication with indigenous groups and guides activities that will be implemented for Indigenous Peoples bearing in mind the issues and characteristics as set out under ESS7. The communities listed in ***Table 5*** below are some of the IP/SSAHUTLC in the 13 FSRP counties. This manual recognizes that there may be further marginalization due to county leadership structure, and therefore the county teams are required to be deliberate in the targeting and spread with digital tools (GEMS).

Table 5 The IP/SSAHUTLC in the FSRP Counties

No	County	IP Community(ies)	Livelihood	Estimated population as per 2019 Kenya Pop and Household Census
1.	Mandera	Somali: Garre, Degodia, Murule, Waata	Pastoralists: cattle, camels	
2.	Wajir	Somali : Ajuran, Degodia, Garre, Ogaden, Sanye	Pastoralists: cattle, camels	
3.	Marsabit	Gabbra, Turkana, Burji, Daasanach, Rendille, Borana	Pastoralists: cattle, camels	Merille 19,337; Burji36,938; El Molo
4.	Garissa	Jareer, Gosha, and Munyoyaya,	Pastoralists: cattle, camels	Gosha - 685; Dahalo - 596;

No	County	IP Community(ies)	Livelihood	Estimated population as per 2019 Kenya Pop and Household Census
		Sanye, Boni, Malakote		
5.	Samburu	Samburu, Ilkonono, Dorobo, Rendille	Pastoralists: cattle, camels	Samburu 237,179
6.	Isiolo	Somali, Sakuye	Pastoralists: cattle, camels	
7.	Baringo	Endorois, Ilchamus, Dorobo	Fishing, pastoralists, cattle bee keeping	Ilchamus 2,300
8.	Turkana	Turkana, El molo	Goats, hunting and gathering, fishing	El molo 1,104; Turkana 1,016, 174
9.	West Pokot	Sengwer (Cherangany)	Cattle keeping	3000
10.	Laikipia	Yaaku, Ilkunono,	Hunters and gatherers,	
11.	Tana River	Munyoyaya, Malakote, Wardei	Pastoralists and Hunters and gatherers	
12.	Lamu	Sanye, Boni, Bajuni	Fishing and pastoralists	
13.	Elgeyo Marakwet	Sengwer	Cattle keeping, bee keeping, potato growing	

Though the major risks of exclusion have been highly reduced in the design by universalization, value chain neutral SACCOs and FPOs, of the project in some cases, protocols and strategies that go beyond FPIC and grievance mechanism that follow the respected elders within the communities is also proposed.

Protocols for respecting IP and VMGs rights in accessing FSRP benefits;

1. Deliberate targeting of investment projects to include VMGs
2. Ensure all the communications to the VMGs are culturally appropriate, for example, the use of respected elders and religious leaders
3. Establish a culturally appropriate grievance mechanism that is acceptable to the VMGs) Ensure deliberate, meaningful, and inclusive consultations, for example, share on the

specific date, time, and venue in advance to promote attendance and proper engagement

4. Ensure that there is evidence of minutes, photos, participant lists, and minutes indicating input or proposals of the VMGs
5. Report participation of VMGs in the PICD process and ensure their concerns are identified and addressed
6. Make a deliberate move to ensure that VMGs are included in leadership, for example in PMCs,
7. Conduct culturally appropriate sensitization/awareness activities, Inclusion of VMGs in capacity strengthening and participation activities, Inclusion of VMGs in GBV champions committees
8. Ensure an increased number of VMGs joining community institutions, for example SACCOs, CDDCs, FPO
9. Ensure the grievance mechanism of the VMGs recognizes the use of locally respected elders and culturally appropriate grievance resolution mechanism

4.4 Labor Management

This section acts as a guide for labor related risks in the Food Systems Resilience Project (FSRP). The guidelines outlined here are derived from World Bank Environmental and Social Standards and Kenyan legal framework, Employment Act 2007 and CoK 2010 to ensure compliance. Understanding and mitigating labour risks is essential to safeguarding the well-being of all workers involved. Possible labour risks include: i) Child Labor Risks, ii) Labor Disputes, iii) Labor Influx Risks, iv) Discrimination and Exclusion of Vulnerable Groups, v) Security Risks, vi) Occupational Safety and Health (OSH) Risks, vii) HIV/AIDS and Communicable Diseases, viii) Gender-Based Violence (GBV) and SEAH Risks.

Child Labor

Child labor may arise due to the economic vulnerability of families in project areas. However, child labor is not expected among direct workers or contractors providing consulting or facilitation services.

Some of the mitigation measures include; Clearly stating in all job advertisements that child labor is prohibited and that the minimum employment age is 18 years, as mandated by the Employment Act (2007 and CoK 2010), Require proof of age during recruitment (e.g., National Identification Card, Birth Certificate, or affidavit), Contractors must ensure that any underage workers identified are promptly removed from the project.

Labor disputes

Labor disputes could occur due to limited employment opportunities, wage disagreements, payment delays, disputes over working conditions (e.g., overtime, rest breaks), and Safety and Health concerns. Some of the Mitigation Measures include; Ensure that all employment agreements are in writing with clearly defined terms and conditions, avoiding verbal agreements, facilitate inclusive labor selection processes, allowing community participation in identifying workers, promptly address worker grievances related to payment, working conditions, and safety through a transparent grievance mechanism.

Labor Influx

The FSRP investment projects will engage the following types of workers:

i)Direct workers: these are directly employed by national and county governments. They support in the implementation of FSRP interventions; ii) Contracted workers; these are contracted and paid by the contractor; iii) Primary supply workers: are workers engaged by a primary supplier to supply local materials to the FSRP Project. Procurement through primary supply workers will be undertaken for acquisition of various goods and materials directly to the FSRP sub-project on an ongoing basis to support the overall objectives of sub-projects in the respective counties; iv) Community workers: are contracted labor from the community within the sub-project sites and will also be engaged in the FSRP project to support the contracted workers during the actual construction activities.

An influx of non-local labor may create social tensions or other community issues. To mitigate and guard against labor influx The FSRP CPCU should i) Involve local leaders and opinion leaders in the recruitment process and allocation ratio for contracted labor to ensure transparency and community buy-in during the initial community engagement; ii) an allocation ratio of Contracted labor be agreed upon between the community and the contractor during site handover; iii) Contractually require contractors to prioritize hiring local labor from nearby communities. The CPCU will ensure the above recommendations are followed throughout the FSRP sub-project implementation cycle.

Exclusion

Vulnerable groups (e.g., women, youth, persons with disabilities, and indigenous communities) may be excluded from employment opportunities due to inadequate consultations or inappropriate recruitment processes.

Mitigation Measures:

- Ensure contractors comply with the Kenyan Employment Act (2007) and promote inclusion, especially for vulnerable groups in project areas, in line with ESS7.
- Conduct culturally appropriate sensitization activities to inform local communities, including women, youth, and persons with disabilities, about available job opportunities.
- Provide a safe and accessible work environment for all workers, including those from vulnerable groups.

4.5 Occupation Health and Safety

The objective of these notes is to ensure the safety, health, and welfare of all workers and persons lawfully present at project workplaces by minimizing exposure to hazards, promoting safety culture, and ensuring compliance with national and international OSH standards.

Occupational Safety and Health (OSH) Protocols

- **OSH Policy:**
  Establish an OSH policy that secures the safety and health of workers by minimizing exposure to workplace hazards, encouraging reporting of incidents, and fostering a safety culture through ongoing education and training.
- **OSH Plans:**
  Develop comprehensive OSH plans that:
  - Identify project and task-specific hazards.
  - Determine necessary safety measures.
  - Address identified hazards with specific mitigation strategies.
  - Anticipate and allocate resources for emergencies.
  - Include a training plan for all workers.
  - Develop a communication and records management system to track Safety and Health data.
  - Safety and Health Training:

Provide mandatory training on Safety and Health measures to all workers, including specialized sessions for high-risk areas such as construction sites. Ensure that supervisors and managers are experienced and capable of enforcing OSH protocols.

OSH Risk Assessment and Mitigation

- **Risk Assessment:**
  Conduct initial and regular risk assessments to identify potential hazards in project activities, including construction, machinery operation, and chemical exposure.
- Potential safety impacts associated with the proposed project include.
  - Fire hazards
  - Excavation hazards
  - Lifting operations hazards
  - Exposure to Hazardous materials, i.e. paints
  - Exposure to excess noise
  - Physical injuries
  - Working at height hazards
- **Labor Risk Evaluation:**
  Assess labor risks such as work-related discrimination, GBV/SEA, and OSH risks, and address them accordingly. Provide protection measures and ensure appropriate use of

protective equipment. Maintain a register of work-related accidents and report incidents that result in incapacity.

4.6 SEA/H

SEA/GBV is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Sexual harassment includes unwelcome sexual advances, requests for sexual favours, and other verbal or physical conduct of a sexual nature. FSRP GM for SEA approach will undertake;

Screening for SEAH Risks

To ensure the safety of vulnerable populations, screening for SEAH risks is crucial, as these risks vary by region due to differences in social norms, economic conditions, and power dynamics. Factors such as poverty, gender inequality, and labor influx heighten vulnerabilities, necessitating targeted screening to protect at-risk individuals. Due to the dynamics in the counties of implementation, where cultures are different, each area of implementation will require a unique approach. Early identification and intervention allow for tailored responses that foster safer, more equitable communities.

- Key Actions and Responsibilities

To adhere to national mandates and ensure SEAH prevention and response in the Food Systems Resilience Project (FSRP), implementers must establish a robust SEAH prevention and response plan. This plan should include:

- Coordination, Networking, and Partnerships:
  - Map out SEAH prevention and response services in the project areas.
  - Engage service providers at national and local levels, such as the Kenya Police, Kenya Red Cross Society, NGOs, and the Ministry of Health.
  - Establish MOUs with service providers to formalize partnerships and create referral pathways for survivors.
- Capacity Building:
  - Train all project staff, contractors, and service providers on SEAH prevention, the Code of Conduct, and survivor-centered approaches.
  - Integrate SEAH awareness into broader project training programs.
- Prevention and Awareness:
  - Develop and disseminate Information, Education, and Communication (IEC) materials to declare project areas as SEAH-free zones.
  - Regularly communicate SEAH policies to all stakeholders.
- SEAH reporting pathway
  - Establish accessible, confidential channels for reporting SEAH incidents, including separate reporting mechanisms tailored to each county.

   - Provide survivors with access to health, social welfare, legal, and psychological support services.
   - Develop culturally appropriate referral pathways that ensure a survivor-centered response.
- Grievance Management for SEAH Reporting:
   - Implement a Grievance Mechanism (GM) that upholds confidentiality, respect, safety, and non-discrimination.
   - Ensure the GM facilitates SEAH-related complaint resolution through a survivor-centered approach. ESIRT reporting system with a Root Cause Analysis (RCA)
- Monitoring and Evaluation:
   - Monitor SEAH prevention and response efforts to ensure compliance with legal and project-specific standards.
   - Report SEAH incidents to the Project Coordinating Unit (PCU) and relevant authorities within 48 hours.

Priority Actions During Project Implementation

1. Establish SEAH Requirements:
   - Define SEAH expectations in contractual obligations and regularly reinforce the Code of Conduct among the project workforce.
2. Appoint a GBV Specialist:
   - Ensure a GBV specialist is engaged to support SEAH risk management and provide guidance on prevention measures.
3. Engage Service Providers:
   - Identify and collaborate with trusted service providers for SEAH prevention and survivor support services, and integrate these into the project's referral system.
4. Zero Tolerance Policy:
   - Enforce a zero-tolerance policy for SEAH within the project, ensuring all staff understand that no sexual favors can be requested in exchange for services.
5. Survivor-Centered Response:
   - Implement a survivor-centered approach in all SEAH-related interventions, ensuring that survivors receive timely, appropriate, and confidential support.

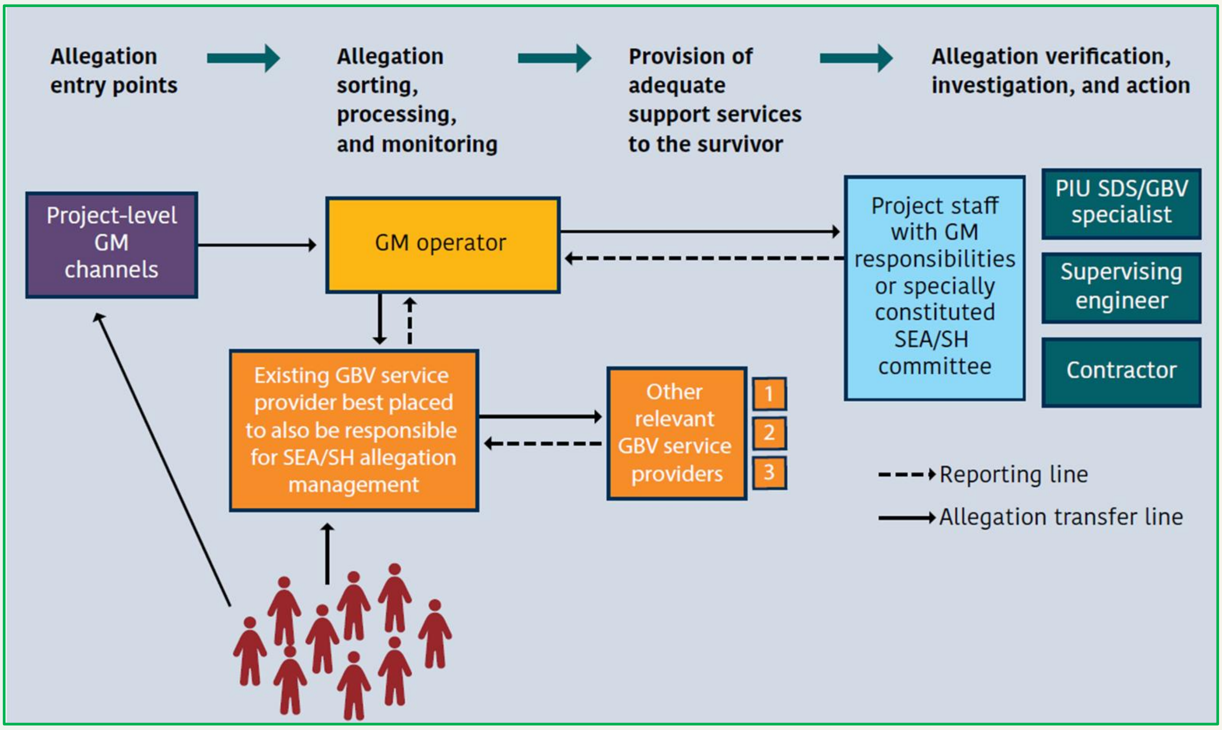


Figure 3 Sample referral pathway guide for SEA/SH issues

4.7 Gender Mainstreaming

Gender Mainstreaming is to ensure that representation is not by numbers but by voice. Use gender analysis frameworks/tools to conduct a gender gap analysis to align the project to gender needs that have been identified. The gender needs identified will need to be prepared as activities to enable addressing the gender gaps. A Gender action plan should be prepared to ensure the identified gender gaps are addressed during the project period. The gender issues that require mainstreaming will include the status of access to agricultural inputs (land, finance, seeds, technologies, training), participation in leadership roles, community interest groups (CIGs), SACCOs, etc. Inclusion in membership of SACCOs, CIGs. Control of assets and benefits from production inputs (Indicators should be derived that will ensure the gaps are minimized and included in the M&E framework.

The National Social Development & Safeguards Lead (NSSL) should work in liaison with the National Monitoring and Evaluation Lead (NM&EL) to ensure gender mainstreaming indicators are included in the M&E framework and tracked throughout the project. At the county level, the County Social Development and Safeguards (CSS&GMO) is responsible for gender mainstreaming.

The project will abide by the National policy on gender, The National Gender Policy 2011, that seeks to have a society where women, men, children, and persons with disabilities enjoy equal rights, opportunities, and a high quality of life.

To ensure gender mainstreaming in project activities, the social safeguards lead and the National Monitoring & Evaluation Lead will work together to refine the project indicators to address gender mainstreaming.

Risks associated with gender mainstreaming may include and are not limited to; Misrepresentation -inequalities in representation of both men and women, Inequitable access to resources, Lack of incorporation of women's needs and concerns, and Cultural barriers.

The following should be considered to ensure gender mainstreaming; having women facilitators during meetings to ensure women are involved in decision making, Carefully selecting the time of the day to avoid times when women are presumed to be busy, Having a small budget for child care, In project identification women opinions must be factored in because of sites that are not secure for women and girls, Where women can be able to facilitate, they can offer catering services to contractor workers and also be selected as contracted workers, Asses risks associated with each gender, Infrastructure design factors in the women and youth opinions, All county stakeholder engagement meetings (FLID) must include women in a percentage recommended by the government, Gender-sensitive monitoring (Ensure the collection of gender-disaggregated data to capture the specific impacts on women, men, and vulnerable groups), Implement comprehensive guidelines to address sexual exploitation and harassment risks, including sensitization and establishment of grievance mechanisms for reporting and addressing issues, Develop and implement safeguards, such as the Stakeholder Engagement Plan (SEP).

Sample FSRP Gender Mainstreaming checklist

These questions will be asked by the Gender Mainstreaming specialist before proceeding to the different phases of project activities.

Table 6 Gender mainstreaming checklist

Site selection	a. Were the women and girls engaged during site selection? b. Were the women and girls' opinions factored in because of sites that are not secure for them? c. Where women can be able to facilitate by offering catering services to contractor workers, were they engaged? d. Can the women be selected as contracted workers?
Design – include in the site eligibility	e. What technical specifications did women have, and have these been included in the design? - Did the women agree with the design? f. Are there tools and equipment easy to operate for women and girls? g. Do women and girls have other concerns linked to their safety and security?
Construction – in the EHS	h. Have all the contractor's workers been oriented on the zero tolerance to GBV/SEAH on FSRP and other Gender Mainstreaming conditions as agreed.

monitoring form	Have all workers signed a code of conduct and made aware of clear consequences if they do. i. Are there separate and secure washrooms on site for female workers?
Construction: General monitoring form	j. Are there accessible survivor centric health, psycho-social and legal services available for GBV survivors? k. Have available services been communicated to the VDC, contractor and community? l. Is there a trusted female GBV focal point identified as part of the CDDC to receive SEAH complaints and support SEAH survivors? m. Have these GBV focal points been trained in SEAH complaints handling?
Operation and Maintenance – monitoring form	n. Are there 30% of either gender in CDDC to represent the interests of special groups in the project, e.g. minority women, IDPs, refugees and particularly poor women? o. Are they able to collect and raise concerns of women and get them resolved?

4.8 Community Health and Safety

This section targets risks associated with health, safety, and security and any negative impacts on project-affected communities. Some of the anticipated community health and Safety issues include:

- Exposure to excess Noise, especially from construction activities
- Exposure to dust during construction phase
- Communicable diseases due to labor upsurge
- Over-exploitation of natural resources at the expense of other community members using the same resource, such as obstruction of water

The project shall ensure that Contractors must develop and monitor the implementation of a Community Safety and Health, which includes:

- Housing workers in designated accommodation camps.
- Pre-employment and regular health screenings, including for STDs.
- Health education on communicable diseases and STDs.
- Ensuring work sites are fenced and clearly marked to prevent unauthorized access.
- Engaging with local communities to educate them on the risks of trespassing.
- Ensure the workers have signed a Code of Ethical Conduct (CoC).

Emergency Response Preparedness:

Develop and implement emergency response plans for accidents, fires, or other incidents. Ensure that first aid kits and trained personnel are available on-site at all times. Determine the proximity to a health facility for cases beyond first aid, if the health facility is more than 5 km, consider having an emergency vehicle.

Impacts on community Safety and Health: -

The construction of the proposed investment project could potentially lead to the following Safety and Health issues to the workers and the community.

- Exposure to excess Noise leading to noise-induced hearing loss.
- Exposure to dust from cement and excavation works
- Exposure to open trenches
- Injuries from use of hand tools
- Water pollution
- Inadequate toilets will lead to surface water pollution

Mitigation measures:

- Provided with personal protective devices to minimize exposure to high noise levels, dust, and to prevent hand injuries.
- Suppressing the dust by watering.
- Covering trenches using physical protection, display signages, or warning signs.
- Ensure proper handling of hazardous materials.
- Provide adequate toilets.
- HIV/AIDS and Communicable Diseases: Follow/engage the Ministry of Health for guidelines.

Incident Reporting and Monitoring

- **Incident Reporting:**
  There should be project leads who are responsible for promptly reporting any incidents, including serious accidents and dangerous occurrences. All incidents should be documented, and a root cause analysis (RCA) should be conducted to prevent recurrence.

Fatal accidents must be reported to the Occupational Safety and Health Office within 24 hours, with a written notice submitted within seven days.

- **Reporting to the World Bank:**
  Incidents, especially serious ones, must be reported to the World Bank in the prescribed format in the Environmental and Social Incident Response Toolkit (ESIRT). The RCA and measures to prevent recurrence should be provided within 14 days.
- Regular Audits:

Conduct regular audits of labor practices and OSH compliance. Implement corrective measures for any identified gaps or non-compliance.

Some of the risks from exposure, spills or misuse of pesticides to the public or workers include:

- Skin irritation
- Headache
- Fever
- Risk of cancer cases on the long-term exposure
- Pollution of surface water

Mitigation measures:

- Provide appropriate PPEs to eliminate exposure to pesticides fumes and gases
- Ensure the workers are taken for a pre-employment, regular, and post-placement medical examination
- Ensure empty containers are stored in a secure storage area and are collected by a NEMA registered company for disposal
- Ensure adequate signage for hazard areas and appropriate waste disposal sites

4.9 Efficient Resource Utilization

All the farmer-led irrigation developments, construction of small dams, and value addition or processing activities as defined in the PAD will require the use of natural resources such as water, energy, and raw materials. In such investments, CPCU, the contractor, and PMCs will put measures in place to ensure efficiency in utilization of natural resources to guard against waste generation and environmental pollution.

Suggested measures for efficiency

- Leveraging on renewable energy sources
- Adoption of sustainable land management practices
- Water use efficient methods of irrigation
- Follow guidelines on extraction and use of water
- Working with the local institutions like water resource users' associations, irrigation water Users Associations, community forest associations on conservation
- Training and capacity building

4.10 Pollution and Waste Management

FSRP Supported investments are likely to cause water, air, and environmental pollution through the generation of waste to the environment.

Anticipated waste could either be hazardous or non-hazardous. To manage solid and liquid wastes generated throughout the implementation cycle of FSRP investment projects, the FSRP implementation team will adopt the principles of circular economy, which is a transformative concept that redefines our understanding of production and consumption. In stark contrast to the traditional linear economy, which follows a 'take, make, dispose' model, the circular economy champions a sustainable approach. It is founded on the idea that resources can be utilized more efficiently and sustainably through the principles of reduce, reuse, and recycle.

A good example would be revolutionizing packaging. Loop offers products in reusable containers that can be returned, cleaned, and refilled. This system significantly reduces packaging waste and promotes a shift from single-use to reusable packaging. The following are some of the wastes and pollution likely to be generated in the FSRP intervention.

Table 7 Waste generated from FSRP interventions

FLID WASTES	CROP BASED VALUE CHAIN WASTES	LIVESTOCK BASED VALUE CHAINS WASTES
Vegetable wastes Demolition wastes Soil and debris Plastic wastes Sediments Concrete and cement wastes Packages e.g., for cement Oil and grease Fuel containers Broken and defective parts Domestic waste Sanitary waste Worn out tools and equipment	Agrochemicals containers (plastic and aluminum tins, boxes, glass bottles, bags, etc.) Fertilizer packaging materials Broken down application equipment Chemical spills Rinsates Post-harvest crop residues- maize combs and stalks, pulses, etc. Vegetable leaves, fruits, seeds, etc. Obsolete chemicals Expired chemicals Destroyed PPEs	Used syringes Use needles Carcasses Condemned animal parts Hides and skins Slurry Cow dung/manure Condemned milk Feathers Empty drug containers Expired drugs Empty vaccine containers Discarded vaccines Torn gloves Expired pesticides Air pollution from poorly managed wastes from slaughterhouses/processing plants Construction materials (solid wastes e.g. broken metallic equipment, packaging bags, unused iron metal sheet, nails, binders, timber and poles; liquid wastes water, oils spills) Destroyed PPEs

Paint Chemical spills Rock fragments Unused materials Defective materials Dust Noise Excess materials		

Recommended Waste disposal/management measures

For FSRP investment projects, the CPCU, CESCO, and contractor to develop a special Waste management plan that adopts the circular economy principles of prevent, reduce, reuse, and recycle. such as waste water treatment from abattoirs and other processing plants, before reusing, establishing rendering facilities, and sanitary landfills with a proper record of the wastes buried.

The CPCU and CDVS to ensure provision of the appropriate waste packaging material/bags for biohazardous and sharp wastes, e.g. needles and syringes, for segregating the waste generated at the field during vaccination exercises

The CAEO to sensitize the respective CIGs/FPOs to Compost non-hazardous biodegradable wastes such as vegetables wastes, Post-harvest crop residues-maize combs and stalks, pulses, Vegetable leaves, fruits, seeds, slurry from biogas plant etc. To provide for alternative organic manure

The CPCU and the Technical team to engage the services of the Public Health Officer to oversee the collection and disposal of waste for incineration

The CAEO to sensitize the CIGs/FPOs/SACCOs to adopt reduction of GHGs especially from FSRP investment projects targeting livestock production by converting the slurry to produce Biogas Production as a renewable energy source.

Use of crop residues as alternative sources of energy, e.g., maize cobs, stovers, and reducing wastes

Disposal of hazardous waste: The CPCU and County technical departments to engage a licensed incinerator to incinerate biohazardous materials such as sharps (used syringes, needles, empty vaccine/pesticides bottles, torn gloves, polythene packaging materials)

4.11 Land acquisition

All projects under FSRP will be implemented on, and require, land. In Kenya, there are three distinct land categories; public, community, and private. While the management and administration of public and private land is governed by the Land Act 2012 and the attendant rules, community land is governed by the Community Land Act (CLA) 2016 and the subsidiary legislations/rules. As a fundamental step to accessing land, a screening must be conducted to establish:

(i) Land availability and suitability
(ii) Tenure security and category
(iii) Availability or otherwise of land documents,
(iv) Nature and scale of disputes, restrictions on land etc.;
(v) If there will be physical relocation/resettlement of households, families, individuals or communities; and if
(vi) There will be adverse impacts of the project on land and key natural resources as well as cultural heritage

The initial project screening using the screening checklist as provided under (**Annex 2**) of this manual, provides the guidance in terms of requisite information including land requirements and standards for purposes of exclusionary and inclusionary criteria; that guarantees project success and sustainability, and therefore approval. Critical determinations must be made at the onset (via screening) before proceeding with the project under FSRP.

In this regard, this simple step-by-step approach to accessing land under the FSRP, not only provides a simplified step of the how to/manual but also empowers officers, communities, and the Governments at either level in making decisions about land and access to land, particularly for projects under the FSRP. The manual therefore breaks down the technical jargon and legalese in land and makes the process of accessing land more user-friendly and palatable for a variety of users/ target audiences. Consequently, the manual has provided relevant access guidelines aligned to accessing 1) private land, 2) public land, 3) registered community land, 4) unregistered community land. The relevant forms and evidence required based on the existing Policies, Constitutional and legislative frameworks for land management and administration in Kenya are provided in the ESS operational guidelines manual. Further, alignment to World Bank safeguards, and in particular, Environmental and Social Standards (ESS) Number 5 regarding land acquisition and voluntary resettlement, has been made.

While it is acknowledged that the targeted counties under FSRP have largely community land tenure, both private and public lands also exist in these areas. Therefore, there is a need to refer to the FSRP ESS operational guidelines manual or the Land Acquisition guidelines and the Annexed requisite in the ESS operational guidelines manual.

4.12 Conflict sensitivity, resolution and peace building in FSRP activities

FSRP will integrate a 'Do No Harm' or conflict sensitive approach to participatory community consultations to develop an innovative land acquisition technique and natural resource sharing. This process entails bringing together targeted communities and FSRP implementors at county and local levels to identify land and resource sites suitable for interventions and managing potential conflicts and their resolution mechanisms. The FSRP implementing teams will be further trained on conflict sensitivity and peacebuilding approaches.

4.13 Biodiversity

FSRP intervention activities have the potential to generate a wide range of environmental impacts on ecologically valuable receptors including designated sites, sensitive habitats and protected species. There is a need to mitigate such impacts based on the mitigation hierarchy of avoid, minimize, and offset impacts on biodiversity. Reference can be made to the ESS operational guidelines manual on the protocols of Biodiversity protection.

4.14 Cultural Heritage

The National Museums and Heritage Act 2006 is an act of Parliament that consolidates the law relating to national museums and heritage; to provide for the establishment control, management and development of national museums and the identification, protection, conservation and transmission of the cultural and natural heritage of Kenya; to repeal the Antiquities and Monuments Act and the National Museums Act.

Cultural heritage is an economic and social asset for development, and as an integral part of people's cultural identity and practice. Cultural heritage - encompasses tangible and intangible heritage, which may be recognized and valued at a local, regional, national or global level,

For investments that are likely to have risks or impacts on cultural heritage. This will include a project which:

(a) Involves excavations, demolition, movement of earth, flooding or other changes in the physical environment; that may result in a chance find

(b) Is located within a legally protected area or a legally defined buffer zone;

(c) Is located in, or in the vicinity of, a recognized cultural heritage site; or

(d) Is specifically designed to support the conservation, management and use of cultural heritage

Mitigation measures

a) Relocating or modifying the physical footprint of the project
b) Conservation and rehabilitation *in situ*; relocation of cultural heritage
c) strengthening the capacity of national and sub-national institutions responsible for managing cultural heritage affected by the project
d) establishment of a monitoring system to track the progress and efficacy of these activities;
e) establishment of an implementation schedule and required budget for the identified mitigation measures; and cataloging of finds

Recommendations;

1) Ensure proposed programmes and projects do not impact cultural heritage;
2) Map all cultural heritage sites before implementation of projects;
3) Ensure sound measures are put in place to protect cultural heritage;
4) Train target community on the effect of harmful cultural practices; and
5) Training targets the community on measures to conserve cultural heritage.

4.15 Security

Security arrangements, to the extent possible and appropriate, are transparent, and include disclosure to and consultation with the local communities. Security management is anchored on World Bank Environmental and Social Standard 4 (ESS4) that covers Community Health and Safety on sub section (b) Personnel Security in line with the World Bank Good Practice Note on Assessing and Managing Risks and Impacts of the Use of Security and the Guidelines for Implementation of the UN Basic Principles on the Use of Force and Firearms by law Enforcement Officials.

Security Risks arise due to (i) insufficient community and other stakeholder engagement (including the potential exclusion of vulnerable individuals or groups); (ii) elite capture of project benefits; (iii) the exclusion of vulnerable groups or individuals from project benefits due to poorly designed, disseminated, or non-transparent beneficiary selection processes or eligibility criteria; (iv) social tension and conflict induced by competition over agricultural resources including irrigation water, and by ongoing contextual security risks in conflict-affected areas; (v) labor influx and associated risks including community health and safety, transmission of diseases; (vi) sexual exploitation and abuse and sexual harassment (SEA/SH), and other forms of GBV either as a result of labor influx or changes in power dynamics in homes among men and women; (vii) failure to comply with labor standards, including due to the use of child labor (a known risk in the agricultural sector); (viii) operational concerns due to remoteness and insecurity, namely in relation to the monitoring and supervision of social risks and grievance management; and (ix) weak implementation capacity, especially at the grassroots level characterized by limited functional structures and trained manpower. The project's grievance redress mechanism is an important tool for reducing potential security risks. The FSRP project is being implemented in an area classified as fragile, conflict-prone and underserved. Refer to the ESS operational guidelines manual, FSRP Security management Plan, and specifically the county specific security management plan.

4.16 Procurement

ESS Issues in Procurement

- Under the Legal Agreement (Financing Agreement), FSRP is accountable for complying with the ESSs (regardless of procurement approach i.e. RFB, RFP, RFQ)
- FSRP will involve procurement of Contractors, Suppliers or Consultants. In most cases, they will need to manage at least some (if not most) of the project's E&S risks by fulfilling the contractual obligations through Site Engineer (appointed by the project), PMC and the Contractor.
- There needs to be a great deal of coordination between FSRP, Contractors, Suppliers and Consultants to manage E&S risks.

Procurement Documentation

- E&S issues obligations in contract documents.
- Relevant ESMP document attached to the contract

4.17 E&S implementation guidelines for investments (National, County, Community Levels)

After Initial screening is carried out and the E&S risks and impacts established, the proponent (National, County or Community) will prepare a site-specific instrument as guided by the World Bank ESF and Kenya Regulations (EMCA 1999) depending on the risk rating.

High risk investment projects are excluded from funding by the project according to the ESCP.

Screening should be done with due diligence and extensive community consultation and evidence of the same provided.

The site-specific documents will be developed as per World Bank guidelines and Kenyan guidelines and cleared by the WB and NPCU safeguards team after which they will be submitted in order to acquire the necessary permits and approvals.

All the site-specific documents MUST have an actionable ESMP which will form part of the contractor tender documents.

NB: implementation of any investment without E&S clearance (WB and NPCU) is against the **ESCP and Financial Agreement.**

4.18 Grievance Management

The grievance management (GM) will serve as an effective tool for the early identification, assessment, and resolution of grievances, thus strengthening accountability and integrity among the project actors. Grievances are anticipated and will be handled following the guidelines provided in SEP and ESMF. A clear guideline is provided in a separate grievance mechanism manual.

1. The purpose of this Grievance Redress Mechanism is to:

   a) Facilitate the reporting and resolution of grievances related to World Bank-funded projects.
   b) Ensure transparency, fairness, and accountability in project implementation.
   c) Promote meaningful engagement with affected communities and stakeholders.

2. Key Stakeholders whose complaints can be allowed

   a) Project Beneficiaries (Community members, end-users)
   b) Local Government Authorities (county government, technical departments,)
   c) Non-Governmental Organizations (NGOs) and other relevant stakeholders
   d) Contractors and Suppliers
   e) World Bank representatives, NPCU.
   f) Any other relevant stakeholders

3. Reporting Grievances

Grievances can be reported through the following channels:

   a) Toll-free helpline: A dedicated telephone number for reporting grievances will be made available to the communities that was availed by the World Bank (an SMS 23771 FREE of charge).
   b) In-person: A physical office or contact person for grievance submission will be designated in project areas. (Walk in to the CDDCs offices through the SAIC chairperson, FSRP offices at the county level or the NPCU office in Nairobi.
   c) Written submissions: Grievances can be submitted in writing via email or postal mail through the provided email addresses
   d) Community meetings: Periodic meetings will be held to allow community members to voice their concerns in the community barazas

4. Grievance Handling Process

a) Acknowledgment: Upon receiving a grievance, an acknowledgment will be sent to the complainant within seven days.
b) Investigation: An investigation will be initiated to assess the validity and seriousness of the grievance. The relevant project team will conduct an initial inquiry.
c) Resolution: The grievance will be addressed by the project team, taking appropriate actions to resolve the issue. If necessary, consultations may be held with the complainant and other stakeholders.
d) Escalation: If the grievance remains unresolved at the project level, it will be escalated to the Grievance Redress Committee at the county level.
e) Grievance Redress Committee: This committee, composed of representatives from the community, local government, NGOs, and project implementers, will review unresolved grievances and make recommendations for resolution. The committee will meet regularly and include the World Bank representatives as observers.
f) Decision and Communication: The Grievance Redress Committee's decisions and recommendations will be communicated to the complainant and other relevant stakeholders within 30 days.

5. Appeals

If the complainant is not satisfied with the resolution, they have the right to appeal to the World Bank for further review and intervention. The World Bank's decision will be final.

6. Confidentiality

All information provided in the grievance process will be treated with the utmost confidentiality. The identity of the complainant will be protected, except when consent for disclosure is given.

7. Documentation

All grievance reports, investigation findings, resolutions, and committee decisions will be documented and retained for future reference.

8. Capacity Building and Awareness

Capacity-building programs and awareness campaigns will be conducted among project stakeholders to educate them about their rights, the grievance redress mechanism, and the importance of transparent and accountable project implementation.

9. Reporting and Transparency

Regular reports on grievance status and resolutions will be made publicly available to ensure transparency.

10. Review and Improvement

The grievance redress mechanism will be reviewed periodically to identify areas for improvement and ensure its effectiveness.

All measures will be undertaken to ensure that the grievance is solved amicably between the concerned parties within 1-7 days as provided in the ESCP. If the grievance is not solved at the village/ward level, Sub-County, county level, or national level courts will be the last resort. Efficiency in solving the grievances will be of paramount importance. The selection of members for the sub-project grievance committee will be at the discretion of the PAPs to decide based on the dynamics within the communities.

At each level of the project GMC, complaints will be solved within a period of 1-7 days or otherwise referred to the next level. Through public engagement meetings, the PAPs will be informed of the different grievance mechanisms in place for them to lodge their complaints and dissatisfactions.

Members of the public can lodge their concerns and grievances through the following channels; Ward-based GRM Committee (SAIC), County level (CPCU), and National level (NPCU) with addresses, contacts, email, and office locations will be provided.

Figure 4 below shows FSRP Grievance mechanism flow chart.

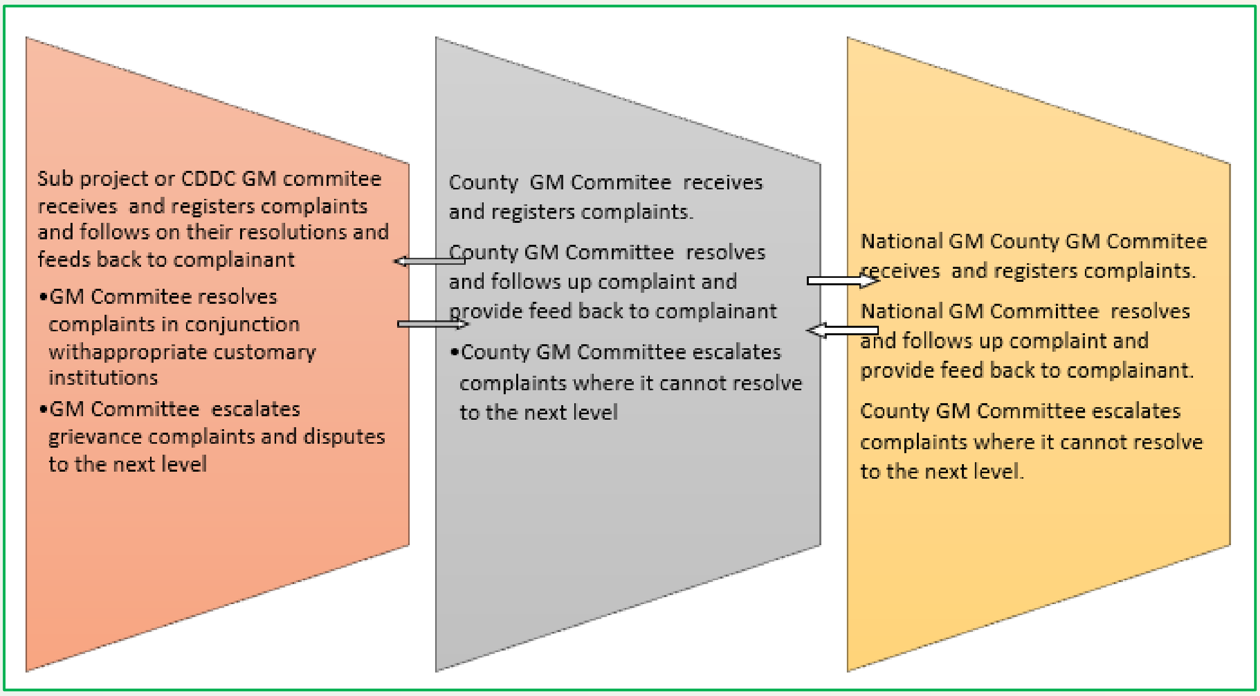


Figure 4 Grievance Mechanism flow chart

4.18.1 Grievance Mechanism Flow

The FSRP GM will consist of a three-tier structure:

***First tier*.** **sub-project/CDDC/SACCO/ level grievance redress committee,** consisting of: 5 members including women, youth, minority groups/clans and differently abled persons, selected by village baraza through a democratic process. Members of the community who are respected, fair, active, and inclusive should be selected. The committee will receive and log complaints and resolve in conjunction with customary institutions as relevant. If complaints cannot be resolved at this level, they should be referred to the county complaints mechanism. The project in collaboration with the county will provide orientation /Training to the village level committees.

***Second tier* County GRC. Complaints should be sent to the social safeguards officer at the county level on the dedicated complaints email: phone number.** The social safeguards officer should log and refer to the county GMC consisting of the county project management, the social and environmental safeguards officer, and the county focal point for resolution and action. Complaints against the project manager could be forwarded directly to the national level safeguards officer. The environmental safeguards officer is the secondary point of contact in case the social safeguards officer is not available.

Third tier* NPIU. Complaints should be sent to the social safeguards officer at the national level on a dedicated complaints emai**l: phone number: *** (To be provided by NPCU) The social safeguards officer should log and refer to the county GRC consisting of the county project management, the social and environmental safeguards officers and component heads. The environmental safeguards officer is the secondary point of contact in case the social safeguards officer is not available.

GBV complaints: Any GBV complaints should NOT be referred to the committee or the traditional institutions but should be sent directly to the NPIU, who will seek guidance from the WB.

World Bank Kenya Office

Grievances can be raised with the World Bank Kenya office on Kenyainfo@worldbank.org.

World Bank Washington Office

If no satisfactory resolution has been received from the World Bank Country office, grievances can be raised with the World Bank Office in Washington. For more information: http://www.worldbank.org/grs

email: grievances@worldbank.org

Or

The World Bank

Grievance Redress Service (GRS)

MSN MC 10-1018

1818 H St NW

Washington, DC 20433, USA

Email: grievances@worldbank.org

Fax: +1 – 202 – 614 – 7313

Complaints may be submitted by mail, fax, e-mail, or hand delivery to the World Bank headquarters or any World Bank country office.

4.18.2 Grievance Management Services Charter

A Grievance Redress Charter serves to guide the coordinating team on the relevant information that needs to be collected when registering the various grievances, while providing timelines by which each GM tier should have addressed or escalated the complaint. Collection of comprehensive supporting information while filing each case provides the GM with sufficient information to verify and resolve grievances within defined timelines.

Table 8 Grievance Mechanism Chatter

Type of grievance	Requirements	Village GRCs	County Grievance Committee (CGC)	NPIU
Omission from the List of Beneficiaries	• Duly filled grievance form • Copy of National ID	1 week	1 week	2 weeks
Facilitation	• Duly filled grievance form • Copy of National ID	1 week	1 day	1 week
Valuation	• Duly filled grievance form • Asset valuation report	1 week	1 day	1 week
Fatalities resulting from project activities	• Duly filled grievance form • Police incident report (if available)	1 day	1 day	1 week
Eviction	• Duly filled grievance form	1 day	1 day	1 week

Type of grievance	Requirements	Village GRCs	County Grievance Committee (CGC)	NPIU
	• Copy of National ID • Incident report (if available)			
Non-payment of wages	• Dully filled grievance form • Copy of national ID	1 day	1 day	1 week

Responsibilities

All staff are responsible for the proper functioning of the GM, which is a critical monitoring mechanism for good project implementation and organizational learning. Grievances may be raised formally or informally, and all should be acknowledged by the person receiving the complaint, referred to the appropriate focal points for logging, follow up, and resolution. Designated focal points have particular responsibilities for receiving, logging and following up grievances and should be trained and mentored.

Types of grievance

Complaints may be raised by partners, consultants, contractors, members of the community where the programme is operating, or members of the general public regarding any aspect of the programme implementation. Potential complaints include:

1. Fairness of contracting
2. Fraud or corruption issues
3. Inclusion
4. Social and environmental impacts
5. Payment related complaints
6. Quality of service issues
7. Poor use of funds
8. Workers' rights
9. Sexual exploitation and abuse
10. Forced or child labour

4.18.3 Grievance mechanism illustrating the role of community elders

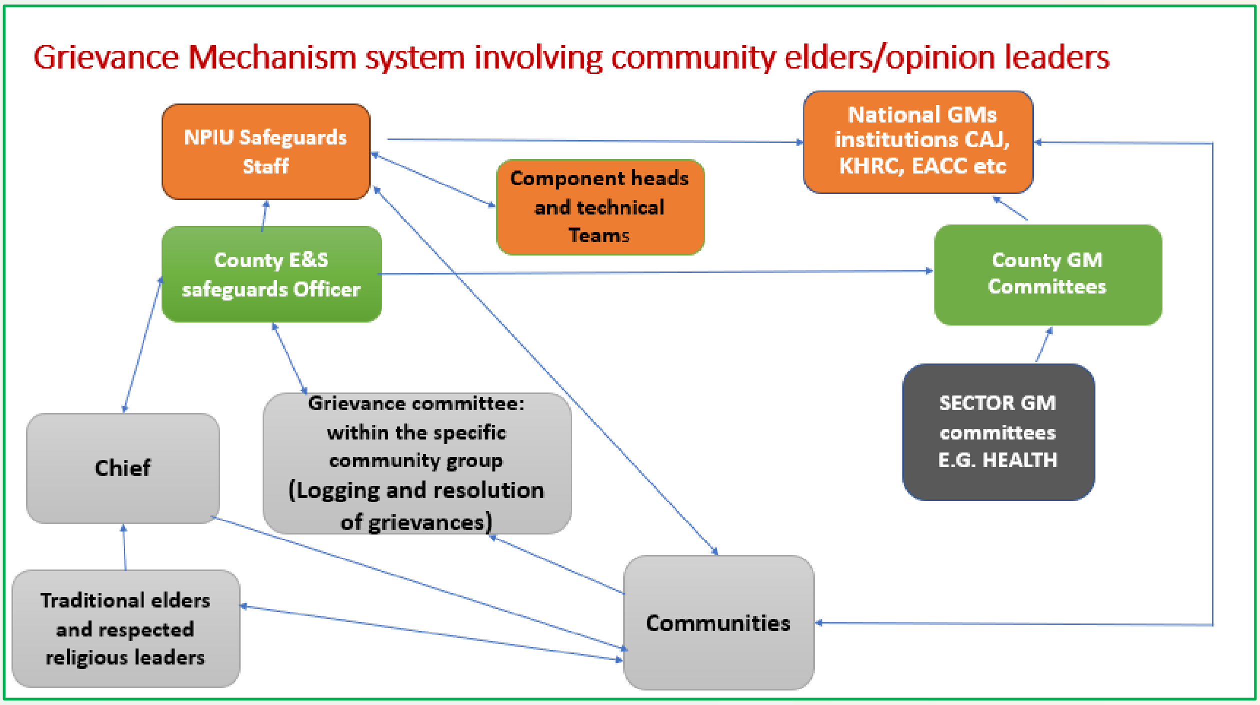


Figure 5 Grievance mechanism illustrating the role of community elders

CHAPTER 5: ANNEXES

1. Annex 1: Infrastructure Investment Proposal Template

CIG/VMG Name……………………………………………………………………

Registration Certificate No. ……………………………………………………………………..

1. Investment Project Background
2. Location of the project ……………………………………………

County………………………………………………………………….

Sub County…………………………………………………………

Ward……………………………………………………………

Coordinates …………………………………………….

a) Project Title: …… ………………………………………………………………………………
b) Project Description

…… ………………………………………………………………………………

…… ………………………………………………………………………………

c) Project duration: ……………….   Start: …………….. End:…………..
d) 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, Indigenous People [IPs]:

Male ………….. Female ……………..

3. Investment Project Identification
   i. How was the project identified? ………………………………………………………………………………………… …………

ii. Who was involved? ……… ………………………………………………………………………………………

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

iv. Compliance status to various statutory requirements

EIA………………………………………………………………………………….

Water permits

………………………………………………………………………………….

Land ownership, legal agreements and related procedures

………………………………………………………………………………….

Other statutory requirements (specify)

…………………………………………………………………………………

v. Beneficiary management committee: for instance, give details on: How they were constituted e.g. democratically; composition, GRM, Frequency of meetings ……… ………………………………………………………

4. Investment Project Framework

a) What is/are the expected *results* post-implementation (increased household income, livelihood diversification, food security through water availability/accessibility, reduced land degradation etc.)

……… ………………………………………………

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

……… ………………………………………………

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

i. ……………………………………………………………………………

ii. ……………………………………………………………………………

iii. ……………………………………………………………………………

d) Activities to be carried out:

No.	Activity	Who will provide advice & training (institution or person):	Duration
1.			
2.			

*Attach a separate sheet if space is not enough

e) List the collaborators you will work with

No	Collaborator	Area of collaboration	Contacts
1.			
2.			

*Attach a separate sheet if space is not enough

5. Monitoring of Progress

a) Who will be involved in monitoring? ……………………………………………………………………………

b) How frequently will the progress report be submitted? ………………………………………………………………………………………………

c) Who will be responsible for reporting? ……………………………………………………………………………

d) To whom will the report be presented? ……………………………………………………………………………

e) How will the report reach the community members? ……………………………………………………………………………

f) How will the proposed project assist in responding to the predicted weather patterns? ……………………………………………………………………………

……………………………………………………………………………

g) How will the proposed project assist in achieving the Project Development Objective (PDO) which is reducing food insecurity and enhancing resilience? **(indicate the targeted coverage in terms of type of livestock and numbers; or acreage of crops and types)**

……

…………………………

h) How will you measure your success in planning, implementing and managing your projects in a socially inclusive manner (reporting template, attendance of planning meetings with gender and status)?

………
………………………………………………

i) How will you ensure sustainability of the project? ………
………………………………………………

j) How will the investments be managed on a day-to-day basis?

………
……………………………

k) What strategy will be put in place for operation and maintenance?

………
……………………………

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

6. Detailed Budget

Investment Cost including Community contribution

No.	Activity	Budget Item	No.	Costs (Ksh)				
				Unit Cost	Total Cost	Community Contribution	FSRP Grant	Total Amount
1.								
2.								
3								
Total project cost:								
Community contribution:								
Total FSRP grant applied for:[1]								

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

[1] Note: FSRP 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.

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 Relevant CTD: …………………………………………………………………

………………………………………………………………………………………………

………

………

………… Recommended: Yes No Date of meeting: ……………………

(Attach minutes)

Comments by the CTAC: …………………………………

………………………………………………………………………………………………

………………………………………………………………………………………………

Endorsed: Yes No Date of meeting: ……………………

(Attach minutes)

Chairman Name: …………………………… signature: …………………………………

Forwarded to NPCU by CPC

Name: ……………………………………………………………….

Signature: ……………………………………………………………….

Date: ……………………………………………………………. Official rubber stamp:

Attachment 1 – Group membership list

No	Name	ID No	Gender M/F	Age	Contact	Signature[2]
1.						
2.						

[2] As much as possible, individual group members should sign against their names as indicated

2. Annex 2: FSRP Environmental and Social Screening Checklist

Section A: Background information

Name of WSP:
Name of Screening Officer:
Sub-project location and brief description of Scope: (*include project objectives*) …………………………………………………………………………………………… ……… …………………………………………………………… …………………………………………………………..
Contact Person…………………………….Cell phone…………………………………..
Estimated cost (KShs.): Approximate area available for the project
Expected investment 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?	☐	☐
Divert the water resource from its natural course/location?	☐	☐
Cause pollution of aquatic ecosystems by sedimentation and, 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, streams or groundwater?	☐	☐
Affect any watershed?	☐	☐
Pesticides and Agricultural Chemicals		
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?	☐	☐
Involve annual inspections of the producers and unannounced inspections for the Export produce?	☐	☐
Require scheduled chemical applications?	☐	☐
Require chemical application even to areas distant from the focus?	☐	☐

If the answers to any of the above is 'yes', please include an ESMP and for pesticides and agrochemicals include PMP with sub-project application.

Section C: Social Screening. **Will the 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 the introduction of the project?	☐	☐
Increase exposure of the community to GBV/SEA or STDs?	☐	☐
Induce resource-related conflict?	☐	☐
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.)?	☐	☐
Have challenges for women farmers to benefit	☐	☐
Target vulnerable community members such as physically challenged, LGBTQ, Child-headed households, etc..?	☐	☐
Require chemical application to be done by vulnerable group (pregnant mothers, chemically allergic persons, elderly, etc.)?	☐	☐

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

Section D: Biodiversity and Cultural Heritages (ESS 6 & 8).

Will the 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?	☐	☐
Use irrigation system in its implementation	☐	☐

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

Section E: Vulnerable and Marginalized Groups meeting description as in ESS 7.

Are there:	**Yes**	**No**
People who meet requirements for ESS 7 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 investment project?	☐	☐
Unique/specific challenges for VMGs to benefit from the project	☐	☐
VMGs in minority in the community	☐	☐
Does VMG require to donate land to benefit from the project	☐	☐

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

Section F: Land Acquisition and Access to Resources

Will the project:	**Yes**	**No**
Require that land (public, community 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 graves?	☐	☐
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 G: Proposed action

(i) Summarize the above:	**(ii) Guidance**
☐ All the above answers are 'No' ☐ There is at least one 'Yes'	• 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).

(ii) Recommended Course of Action

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

☐ CPCU and CDE will provide detailed guidance on mitigation measures as outlined in the ESMF; and

☐ Specific advice is required from CDE, Lead Scientist and CPCUs regarding Sub -project specific EA(s) and also in the following area(s)

☐ All investment project applications/proposals MUST include a completed ESMF checklist. The FSRP- CPCU will review the investment project applications/proposals and the CDEs will sign off; The input from the NLC, Social Services office, Children's office, labour office and the CSSCO will be required before the documents are presented to the CPSC.

☐ The proposals will then be submitted to CPSC for clearance for implementation by communities in the proposed investment projects. The projects that require full ESIA study will be forwarded to NPCU for further analysis, then forwarding to the World bank for approval and finally to NEMA for clearance certificate.

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

☐ **Project specific ESIAs, CPR, SPR or ESMP** if recommended, must be carried out by experts registered with NEMA.

Completed by: ....

Confirmed By NEMA Officer ....

Position Stamp ....

Date:

Field Appraisal Officer (Environment /Social specialist): ....

Signature: ....

Date:

Note:

Project category	**Characteristics**
High risk	Full and extensive ESIA needed- irreversible environmental impacts; impacts not easy to pick or isolate and mitigation cost expensive; EMP design not easily done; Must have the ESIA done and future annual ESAs instituted
Moderate risk	Site specific environmental impacts envisaged; mitigation measures easy to pick, not costly and EMP design readily done; need an ESIA and future ESAs. PSR or CPR all needed

Project category	Characteristics
Low risk	Have minimal or occasionally NO adverse environmental impacts; exempted from further environmental processes save environmental audits. CSPR and CPR needed.

3. Annex 3: FSRP Watershed Conservation Approach Model

1.0 Introduction

FSRP recognizes that SLM is critical to the well-being of the most vulnerable and to improving the livelihoods of rural communities that it targets. Indeed, the sustainability of project investments in large part depends on the extent to which the project helps improve land and water management in the targeted counties and rural communities. The project therefore invests in SLM practices that increase agricultural productivity, while enhancing resilience to climate change in the targeted counties. Typical SLM investments at the county/multi-community level include,

- Sustainable land management in small-scale community irrigation schemes
- catchment level water harvesting and storage facilities (water pans and earth dams).
- SLM practices focus more on Soil fertility improvement, soil and water conservation, water harvesting, improved water use, and/or selection of more suitable crops and varieties.
- In upstream water catchment areas, SLM initiatives include, among others, tree planting, intensified on-farm afforestation, agroforestry, and terracing and soil conservation practices in erosion hotspots (such as steep slopes, water springs, gullies, areas affected by landslides, deforested areas, and degraded lands).
- Lower in the water catchment, in drier areas, SLM initiatives include water harvesting practices (rainwater, earth dams), water conservation practices (mulch, cover crops, organic manure, reforestation, drip irrigation, greenhouse farming), use of early maturing, more drought-resistant crops/varieties, and/or planting of fodder crops and (fruit) trees.

2.0 Steps in the Model

2.1 Watershed Identification

This is done through participatory approaches as enumerated in the PICD and CDP. It is guided by the levels of land degradation within an area having a common drainage point and how productivity in the area is affected.

2.2. Watershed Delineation

Watershed Delineation is achieved through the use of GIS and remote sensing techniques coupled with field sampling and ground truthing approach. Degraded areas are identified as hotspots and mapped out using high resolution satellite imagery in analyzing land use and land cover trends as well as vegetation structure and species composition. Spatial modeling tools provided by ArcGIS and QGIS software are used in delineating the watershed and mapping of the degraded area.

2.3. Hotspots

Hotspots are areas within the watershed which have a concentration of high levels of degradation. To identify these spots, GIS and remote sensing technology are employed. The identified spots are then visited for the purpose of ground truthing and drawing possible intervention methods to address the degradation. During implementation, addressing of hot spot interventions and areas with environmentally sensitive infrastructure investments are considered under the employment Programme.

2.4 Project Management Committee (PMC)

This comprises a group of elected persons within the project area charged with overseeing implementation of the project. The officials are elected after community sensitization. They deal with the day-to-day management of affairs within the watershed. They are the direct link between the community and project. They form part of the sustainability strategies for the project through ownership. They help to resolve grievances which might arise before, during, and after implementation. They help mobilize any required community contribution.

2.5 Exchange Visits

These are done as benchmarking trips for a period of three (3) days to areas within counties that have implemented similar projects with appreciable levels of success. These tours help to excite the farmers to start similar projects, having been challenged by their peers. Selection of the places to be visited has to be done carefully, putting into consideration climatic similarities and ability to gain implementable experiences. The tours involve farmers who must participate by sharing in the cost of the tour, and members of the PMC who are supported as part of the motivation.

2.6 Laying of soil and water conservation structures

Laying of soil and water conservation structures is done using SCTT supported by trained youths (paraprofessionals) within the watershed. Documentation of the interventions in the form of a land management plan (LMPs) is done and given to the farmer with a copy remaining in the office. The visit and advice form part of the extension services provided by the county. Training of the youth forms part of capacity building to the community to ensure sustainability of the conservation work in the watershed.

2.7. Construction of soil and water conservation structures

After laying the soil and water conservation structures, construction is done using any of the following approaches

- Own farmer initiative under an incentivized scheme to reward the implementing farmer with high value agro forestry tree seedlings.
- Construct soil and water conservation structures for VMGs under the Employment Programme.

- Soil and water conservation interventions for all ecological sensitive areas in the watershed using the employment programme.

3.0. Farm Ponds

The project supports farm ponds of a volume not exceeding $500m^3$ used for purposes of harvesting and storing surface run-off. This intervention helps in arresting the water which would otherwise cause erosion downstream. They may be used to address runoff coming from catchments causing hotspots or affecting environmentally sensitive infrastructural investments. The harvested water in the ponds is used for irrigation of kitchen gardens by use of any convenient water delivery method under a cost sharing arrangement. The farmer provides material for fencing off the Farm Pond with the project taking care of the storage tank and solar pumping system. Farm pond excavation will be done using an employment program and in counties with TLB-actors will use mechanized excavation.

4. Annex 4: Grievance Lodgment Form

Name of Commenter/Aggrieved		**Comment/Grievance Number**	
Name of Organization (if applicable			
Address and Position			
Telephone/Fax			
Email Address			
Method of Grievance Placement	Mail, Email, Phone Walk In (Face to Face)		
Most effective means to send a response	Mail	Email	Phone
Date and Time of Comment/Grievance	Date	Time	
Nature and location of Comment/Grievance	Please provide details of grievance.		
What outcome are you seeking?			
Additional Information			
Any Supporting Documents Attached	Yes	No	
Initial Response details			
Date of initial response:			
Resolved/Addressed by:			
Nature of Resolution:			
Date of Resolution:			

Claimant Signature (if applicable): ……………Date: ………………………………..

FSRP Representative Signature: ……………Date: ……………..……………..

5. Annex 5: Grievance Register

Ref No.	Date	Name	Phone	Post	Email	Description of Grievance	Date of Grievance	One-time grievance	Happened more than once	Ongoing	Expected Resolution/Redress	Action identified to resolve the grievance	Date taken	Taken by whom	Complainant satisfied	If no, why?

6. Annex 6: FSRP Infrastructure Investments and the Required Competencies of a Project Manager

Proper supervision of the execution for contractual works for the proposed FSRP investments is one of the key risk mitigation measures. According to the Standard Bidding Document (SBD) for use in contracts financed by World Bank (World Bank Standard Bidding Document, 2015), the responsibility for the supervision of the execution of the contractual works for the Procuring Entity (County) is vested in a "Project Manager" (PM) who shall be a competent person named in the Particular Conditions of Contract (PCC). The PM is appointed by the County and notified to the Contractor before commencement of any planned contractual works. Required competencies for the PM include academic qualifications, requisite experience, registration and membership to relevant professional bodies as indicated in the Table below:

Types of FSRP Investments and the Required Competencies of a Project Manager

<table>
<tr><th colspan="2" rowspan="2">Type FSRP Investment</th><th colspan="4">Project Manager</th></tr>
<tr><th>Academic Qualification</th><th>Professional affiliation</th><th>Relevant Statutory/ Legal Document</th><th>Requisite experience</th></tr>
<tr><td>1</td><td>Irrigation Schemes</td><td>Agricultural Engineer</td><td>Engineers Board of Kenya</td><td>Engineers Act of 2011</td><td rowspan="5">Should have administered at least two (2) contracts of equivalent scope to successful completion in the last five (5) years</td></tr>
<tr><td rowspan="2">2</td><td rowspan="2">Large Pans and Dams</td><td>Agricultural/Civil Engineer</td><td>Engineers Board of Kenya</td><td>Engineers Act of 2011</td></tr>
<tr><td>Hydrologist</td><td>Hydrologist Regulation Board</td><td>Hydrologist Act No. 19 of 2017</td></tr>
<tr><td rowspan="2">3</td><td rowspan="2">Markets, Packhouses, Abattoirs/ slaughterhouses and Processing Plants</td><td>Agricultural/ Civil-structural/ Processing/Mechanical/Electrical/Mechatronics Engineer</td><td>Engineers Board of Kenya</td><td>Engineers Act of 2011</td></tr>
<tr><td>Architect/Quantity Surveyor</td><td>Board of Registrati</td><td>Architects and</td></tr>
</table>

Type FSRP Investment	Project Manager			
	Academic Qualification	Professional affiliation	Relevant Statutory/ Legal Document	Requisite experience
		on of Architects and Quantity Surveyors (BORAQS)	Quantity Surveyors Act CAP. 525	

From the start date of the contract period for any FSRP investments until the time "Defects Liability Certificate" is issued, the County Government bears the risk of negligence, breach of statutory duty, or interference with any legal right in regard to the supervision of execution of contractual works for any of the proposed investments and any subsequent risk of damages.

7. Annex 7: Criteria for Selection of the Most Impactful Investments in the Counties

To select potential and most impactful investments in farmer-led irrigation development, sustainable land management, and market infrastructure development, it is important to establish both social and technical criteria, as outlined:

Social Criteria:

1. Community Engagement and Support: Investments should have strong local community backing and involvement, ensuring ownership and commitment to the project's success.

2. Equity and Inclusivity: Projects should be inclusive, benefiting smallholder farmers, marginalized groups (women, youth, and minority groups), and reducing socio-economic inequalities.

3. Social Impact: Investments should aim to improve livelihoods, enhance food security, and create employment opportunities, particularly in rural areas.

4. Cultural Compatibility: Initiatives should respect and align with local cultural practices and land-use traditions, ensuring social acceptance.

5. Capacity Building and Knowledge Transfer: Investments should include training and educational programs to improve farmers' skills, increase awareness of sustainable practices, and foster local leadership.

6. Health and Wellbeing: Projects should improve access to quality water for agricultural practices, reduce exposure to harmful chemicals, and promote the overall health and safety of the community.

Technical Criteria:

1. Water Availability and Efficiency: Farmer-led irrigation projects should be assessed for water availability, infrastructure efficiency, and the potential for water conservation and recycling practices.

2. Soil Health and Sustainability: For sustainable land management investments, the criteria should include soil fertility, erosion control, and the use of organic and regenerative agricultural practices.

3. Environmental Impact: Projects should minimize environmental degradation, reduce carbon footprints, and promote biodiversity. Sustainable land management should focus on preventing deforestation, desertification, and other land degradation processes.

4. Climate Resilience: Investments should be designed to withstand the impacts of climate change, such as drought, flooding, and extreme weather events. This includes promoting drought-resistant crops and water-saving irrigation techniques.

5. Scalability and Replicability: The projects should have the potential to be scaled up or replicated in other regions, enhancing their overall impact.

6. Economic Viability: Market infrastructure development should include criteria like cost-effectiveness, market accessibility, and the ability to generate sustainable income for farmers. This also involves assessing supply chains, transportation, and access to local, regional, and global markets.

7. Innovation and Technology Use: The use of innovative technologies such as precision agriculture, solar-powered irrigation, and data-driven tools for water and land management should be prioritized.

8. Sustainability of Infrastructure: The durability and maintenance of irrigation and market infrastructure should be considered to ensure long-term functionality and minimal environmental impact.

Integration of Social and Technical Criteria:

- Stakeholder Involvement: Ensure collaboration between technical experts, local communities, and policymakers.
- Monitoring and Evaluation: Establish clear benchmarks to track progress and adapt strategies based on performance.
- Sustainability and Long-Term Impact: Projects should be assessed not just for their immediate impact but also for their ability to maintain benefits over the long term, both socially and environmentally.

8. Annex 8: Farm pond Agreement form

REPUBLIC OF KENYA

FARM POND COMMITMENT/AGREEMENT FORM

AGREEMENT BETWEEN FARM POND BENEFICIARIES AND CPCU

Name of the Watershed……………………………………………Name of Village/Location…………………………….

Name of Beneficiary: …………………………………………………………………………………..……………....

Postal Address: ……………Code: …………………. GPS Coordinates: ………………………/……………………………….

Identity Card No………………………………. Mobile No: …………………………………………………….

Size of Farm (Acres/Ha) …………………… Area set aside for irrigation (Acres/Ha): …………………………..

Voluntary Declaration:

Being of healthy and sound mind, I hereby declare that:

i. I am the legal owner of the farm registered as LR (where applicable) ………………………..

ii. I am a project beneficiary and reside in the aforementioned watershed

iii. I have been informed on the design of the pond and its auxiliaries and do hereby give consent for it to be constructed on my farm.

iv. I fully understand the consequences and risks of having a farm pond constructed in my farm including environmental and social factors and that FSRP bears no responsibility for the same consequences.

v. I am well informed of my personal contribution/commitment which includes (where applicable);

a) Mandatory fencing of the farm pond

b) Construction of an inlet and outlet chamber

c) Implementation and management of the supported irrigation farming enterprise

d) provision of water extraction equipment and irrigation facilities.

e) Maintenance of the farm pond and its auxiliaries as guided by the technical persons.

f) implement all the sustainable land management measures as per the LMP.

g) Registering as a member of the ward SACCO to be eligible for FLID financial support

vi. I commit to comply with all project on-farm irrigation project activities and planned demos on farm ponds, and incase of non-compliance, the project will be forced to withdraw all its support without any obligations

Beneficiary Signatures

Name……………………………………………….I/D No…………........Signature…………. Date……………………

CPC/SCAO/ FSRP

Name……………………………………………….I/D No…………………Signature……………Date…………………..

Witnesses

i) WMC Chairman

Name……………………………………………..ID/No…………………..Signature……………Date…………… ……....

ii) Assistant Chief

Name……………………………………………..ID/No…………………..Signature…………….…Date………… ……...

9. Annex 9: Guidelines for ALMP development

An Agricultural Land Management Plan (ALMP) outlines strategies for the sustainable, productive, and environmentally responsible use of agricultural land. It addresses resource management, land use, productivity, and environmental stewardship. Below are some of the key components of a comprehensive Agricultural Land Management Plan:

1. Introduction

   a. Purpose and Objectives: Overview of the plan's goals, such as optimizing land use, improving soil health, increasing yields, and promoting environmental sustainability.
   b. Overview of the Agricultural Land: Description of the land size, ownership, location, and current use (e.g., crop farming, livestock).

2. Land Description

   a. Location and Boundaries: Geographic location, size, and boundaries of the land, including maps and aerial images.
   b. Soil Types and Quality: Soil characteristics, including types, fertility, pH levels, texture, and structure. Any issues related to soil erosion, compaction, or contamination.
   c. Topography and Terrain: Description of land elevation, slopes, and how these features impact agricultural practices.
   d. Climate and Weather Patterns: Local climate conditions such as rainfall, temperature, and growing seasons, and their implications for farming.

3. Current Land Use and Farm Operations

   a. Crop Production: Types of crops grown, their rotation cycles, yields, and planting schedules.
   b. Livestock Management (if applicable): Description of livestock raised on the land, their grazing areas, feeding systems, and health management practices.
   c. Existing Infrastructure: Overview of farm infrastructure, including irrigation systems, storage facilities, fences, and access roads.
   d. Labor Force: Information on workforce size, roles, and seasonal or permanent labor needs.

4. Land Use Plan

   a. Zoning of Land Areas: Designation of areas for different purposes (e.g., crop fields, pasture, conservation areas, water bodies).
   b. Proposed Land Use Changes: Any changes or expansions in land use, such as the introduction of new crops, diversification, or land conversion for grazing.
   c. Crop Rotation and Diversification: Plans for crop rotation to improve soil health and prevent pest and disease build-up, and strategies for diversifying crops.

d. Fallow Land Management: Strategies for managing land that is left fallow to improve soil fertility and prevent degradation.

5. Soil and Water Management

a. Soil Conservation Practices: Measures to protect and enhance soil health, including contour plowing, terracing, reduced tillage, cover cropping, and organic matter additions
b. Soil Fertility and Nutrient Management: Fertilizer use (organic and inorganic), soil amendments, composting, and crop nutrient management strategies.
c. Water Management and Irrigation: Efficient irrigation techniques, water source identification, water conservation practices, and drainage management.
d. Erosion Control: Steps to minimize soil erosion from wind or water, such as windbreaks, riparian buffers, or erosion barriers.

6. Sustainable Farming Practices

a. Agroecological Practices: Application of sustainable farming techniques like agroforestry, polyculture, and conservation tillage.
b. Organic and Regenerative Farming (if applicable): Adoption of organic farming principles, including the use of natural pest control, composting, and crop diversification.
c. Conservation Agriculture: Practices such as minimal soil disturbance, permanent soil cover, and crop rotation to enhance biodiversity and productivity.
d. Integrated Pest Management (IPM): Strategies to reduce the use of chemical pesticides, promoting biological controls, crop rotation, and monitoring pest populations

7. Livestock and Grazing Management

a. Pasture Management: Rotational grazing systems, pasture reseeding, and nutrient management to maintain healthy and productive grazing lands.
b. Livestock Health Management: Veterinary care, disease prevention, and proper housing for animals.
c. Fencing and Infrastructure: Plans for maintaining or developing infrastructure to support livestock operations, such as water points, feeding stations, and fencing.

8. Biodiversity and Ecosystem Conservation

a. Wildlife Habitat Protection: Conservation of natural areas to promote wildlife and plant diversity.
b. Riparian Zone Management: Protection and restoration of riparian zones (areas near streams, rivers, and lakes) to enhance water quality and habitat diversity.
c. Invasive Species Control: Methods for identifying and managing invasive plant or animal species that could harm local biodiversity or agriculture.

9. Waste Management

   a. Agricultural Waste Disposal: Strategies for managing and disposing of waste generated from farming activities (e.g., crop residues, animal manure, packaging waste).
   b. Composting and Recycling: Recycling organic waste into compost or biogas for use on the farm.
   c. Pesticide and Chemical Waste Management: Safe disposal of pesticide containers and reduction of chemical waste to prevent contamination of soil and water.

10. Financial Management

   a. Cost Analysis: Breakdown of costs associated with land management activities, including labor, equipment, inputs (e.g., seeds, fertilizers, pesticides), and infrastructure development.
   b. Profitability and Revenue Projections: Analysis of expected returns from crop and livestock production, factoring in market trends, price fluctuations, and potential risks.
   c. Budget and Cash Flow Plan: A detailed budget that outlines operational costs, investments, and projected revenues, along with cash flow timing.
   d. Investment and Financing: Potential sources of funding or investment to support land management activities, such as government grants, loans, or private investments.

11. Marketing and Sales Strategy

   a. Market Analysis: Evaluation of current market conditions, customer demand, and competition for crops or livestock products.
   b. Sales Channels: Plans for selling products, including direct-to-consumer sales (farmers' markets, community-supported agriculture), wholesale, or contracts with retailers.
   c. Value-Added Products: Opportunities to add value to farm products through processing, packaging, or certification (e.g., organic or fair trade).

12. Risk Management

   b. Weather and Climate Risks: Assessment of natural risks (e.g., droughts, floods, storms) and mitigation measures such as crop insurance, disaster preparedness, or infrastructure improvements.
   c. Market Risks: Strategies to manage market volatility, including diversification of crops and sales channels, participation in cooperatives, and hedging against price fluctuations.
   d. Pest and Disease Outbreaks: Plans to mitigate risks of pest infestations or disease outbreaks, including IPM practices, monitoring systems, and contingency plans.

13. Legal and Regulatory Compliance

   a. Land Ownership and Tenure: Documentation of land ownership, tenure agreements, or leasing arrangements.

b. Environmental Regulations: Compliance with local, national, and international environmental laws, such as water use permits, pesticide regulations, or conservation requirements.
c. Agricultural and Labor Laws: Adherence to agricultural labor laws, worker safety regulations, and land-use zoning laws.

14. Monitoring and Evaluation

a. Performance Indicators: Metrics to evaluate success, such as crop yields, soil fertility levels, water use efficiency, and financial performance.
b. Monitoring Schedule: A timeline for regular monitoring of key indicators, including soil health tests, crop productivity assessments, and water usage tracking.
c. Plan Review and Adaptation: Regular review of the management plan, with adjustments based on monitoring results, emerging challenges, or new technologies.

15. Stakeholder Engagement

a. Community Involvement: Engagement with neighboring landowners, local communities, and other stakeholders to ensure cooperation, address conflicts, and create shared benefits.
b. Partnerships: Collaboration with government agencies, environmental organizations, or research institutions to access technical support, funding, or knowledge sharing.

16. Implementation Timeline

a. Action Plan: A timeline of specific actions and milestones, including short-term and long-term goals for implementing land management practices.
b. Responsibilities: Identification of individuals or teams responsible for carrying out different components of the management plan.

10. Annex 10: Roles of the Community Project Management Committee (CPMC)

A PMC typically plays a vital role in ensuring the success of the project. They represent the interest of the beneficiaries in the specific project, before, during, and after project implementation. Their mandates may vary depending on the project's goals and requirements but will generally include the following:

1. Project Planning and Development

- Participate in identifying the community's needs.
- Assist in designing the project to meet those needs.
- Help in defining project goals, objectives, and the scope of work.
- Ensure the project aligns with both community priorities and project expectations.

2. Resource Mobilization and Management

- Oversee the mobilization of local resources (e.g., labor, materials, and contributions).
- Ensure proper utilization and allocation of funds provided by project where applicable.
- Maintain transparency in financial management, including budgeting and accounting.

3. Community Engagement and Participation

- Facilitate active involvement of the community in project activities.
- Ensure that project benefits reach all targeted members of the community.
- Communicate regularly with community members regarding project progress, challenges, and milestones.
- Ensure cohesion, discipline, and harmony among the beneficiaries
- Enforce bylaws and constitutions in a fair manner.

4. Project Monitoring and Evaluation

- Continuously monitor the project’s progress to ensure it stays on track.
- Assess project outcomes to ensure the objectives are being met.
- Provide feedback to CPCU, relevant authorities and community members regarding performance.
- Participate in site meetings, inspections, and review activities

5. Conflict Resolution

- Resolve any disputes that may arise among stakeholders during the project’s implementation.
- Ensure that grievances are addressed in a timely and fair manner as stipulated in the ESS operation manual.

6. Sustainability Planning and Management

- Plan for the long-term sustainability of the project after the Project funding ends. The PMC to establish various and relevant sub-committees for operationalization and maintenance of the project. One of the sub-committees' roles is to provide a mechanism for generation of finances to cater for the running of the project.
- Promote local ownership of the project to ensure its continuity and relevance to the community.
- Provide security against vandalism and willful destruction of project components
- Continuous capacity building of the beneficiaries.

7. Reporting to Project CPCU and relevant authorities

- Provide regular reports to Project CPCU and relevant authorities, including financial statements, project updates, and outcomes.
- Ensure accountability and compliance with the Project CPCU and relevant authorities' guidelines and regulations. They are the custodians of the project documents.

The mandate of the Project Management Committee shall conclude upon the expiration of the contract period and the formal handover of the project. Thereafter, the appropriate management body for the investment shall be established to oversee the operation. For Livestock Markets, a livestock market management Committee may be constituted for the management of livestock sales yards, an Irrigation Water User Association for irrigation-related projects, and Markets Management Committees for market infrastructure projects, among others."

HARAMBEE

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