Concept Note

Project/Programme Title:	**Strengthening resilience of ecosystems and communities to climate change effects in the North Rift Valley Region of Kenya**
Country(ies):	**Kenya**
National Designated Authority(ies) (NDA):	**The National Treasury**
Accredited Entity(ies) (AE):	**To be determined**
Date of first submission/ version number:	*[2020-09-18] [V.1]*
Date of current submission/ version number	*[2020-09-18] [V.1]*

GREEN CLIMATE FUND

Please submit the completed form to **fundingproposal@gcfund.org**, using the following name convention in the subject line and file name: ***"CN-[Accredited Entity or Country]-YYYYMMDD"***

Notes

- The maximum number of pages should **not exceed 12 pages**, excluding annexes. Proposals exceeding the prescribed length will not be assessed within the indicative service standard time of 30 days.
- As per the Information Disclosure Policy, the concept note, and additional documents provided to the Secretariat can be disclosed unless marked by the Accredited Entity(ies) (or NDAs) as confidential.
- The relevant National Designated Authority(ies) will be informed by the Secretariat of the concept note upon receipt.
- NDA can also submit the concept note directly with or without an identified accredited entity at this stage. In this case, they can leave blank the section related to the accredited entity. The Secretariat will inform the accredited entity(ies) nominated by the NDA, if any.
- Accredited Entities and/or NDAs are encouraged to submit a Concept Note before making a request for project preparation support from the Project Preparation Facility (PPF).
- Further information on GCF concept note preparation can be found on GCF website Funding Projects Fine Print.

A. Project/Programme Summary (max. 1 page)			
A.1. Project or programme	☒ Project ☐ Programme	**A.2. Public or private sector**	☒ Public sector ☐ Private sector
A.3.Is the CN submitted in Response to an RFP?	Yes ☐ No ☒ If yes, specify the RFP: _____	**A.4. Confidentiality[1]**	☐ Confidential ☒ Not confidential
A.5. Indicate the result areas for the project/programme	Mitigation: Reduced emissions from: ☐ Energy access and power generation ☐ Low emission transport ☐ Buildings, cities and industries and appliances ☐ Forestry and land use Adaptation: Increased resilience of: ☒ Most vulnerable people and communities ☒ Health and well-being, and food and water security ☐ Infrastructure and built environment ☒ Ecosystem and ecosystem services		
A.6. Estimated mitigation impact (tCO2eq over lifespan)		**A.7. Estimated adaptation impact (number of direct beneficiaries and % of population)**	**Direct beneficiaries: 120,000 (2% of pop)** **Indirect Beneficiaries: 670,050 HH (3,355,250 individuals; 50% pop)**
A.8. Indicative total project cost (GCF + co-finance)	Amount: USD ___109,643,630_____	**A.9. Indicative GCF funding requested**	Amount: USD ____99,891,860_____
A.10. Mark the type of financial instrument requested for the GCF funding	☒ Grant ☐ Reimbursable grant ☐ Guarantees ☐ Equity ☐ Subordinated loan ☐ Senior Loan ☐ Other: specify_____		
A.11. Estimated duration of project/ programme:	a) disbursement period: b) repayment period, if applicable:	**A.12. Estimated project/ Programme lifespan**	4 YRS.
A.13. Is funding from the Project Preparation Facility requested?[2]	Yes ☒ No ☐ Other support received☐ If so, by who:	**A.14. ESS category[3]**	☐ A or I-1 ☒ B or I-2 ☐ C or I-3
A.15. Is the CN aligned with your accreditation standard?	Yes ☒ No ☐	**A.16. Has the CN been shared with the NDA?**	Yes ☒ No ☐
A.17. AMA signed (if submitted by AE)	Yes ☐ No ☐ If no, specify the status of AMA negotiations and expected date of signing:	**A.18. Is the CN included in the Entity Work Programme?**	Yes ☐ No ☐
A.19. Project/Programme rationale, objectives and approach of programme/project (max 100 words)	The North rift region counties are susceptible to climate change effects making communities and their livelihoods vulnerable to climate change effects. The region faces threats in food security, water stress and unsustainable natural resource utilization, coupled with inadequate institutional frameworks in regard to planning and governance towards climate change. To address these challenges, this project seeks to improve resilience of ecosystems and communities to climate change effects in the North Rift Region. This shall be executed through the following project components:		

[1]Concept notes (or sections of) not marked as confidential may be published in accordance with the Information Disclosure Policy (Decision B.12/35) and the Review of the Initial Proposal Approval Process (Decision B.17/18).

[2]See here for access to project preparation support request template and guidelines

[3] Refer to the Fund's environmental and social safeguards (Decision B.07/02)

	1. Restoration of catchment areas and rangelands for ecosystem services 2. Investments in ecosystem compliant water infrastructure to address surface run off and flooding, and development of climate smart agriculture and land use methods 3. Strengthening the capacity of county governments and communities on climate-responsive planning and resilience building. The implementation of the above components will improve resilience of communities in the region by safeguarding their livelihoods from the effects of climate induced drought and floods hence contributing to disaster risk reduction. The NOREB counties will be the major executing entities for the project to be implemented in partnership with relevant Government departments, institutions and stakeholders

B. Project/Programme Information (max. 8 pages)

B.1. Context and baseline (max. 2 pages)

Describe the climate vulnerabilities and impacts, GHG emissions profile, and mitigation and adaptation needs that the prospective intervention is envisaged to address.

Changing weather patterns are already being observed in Kenya with negative impacts on the national economy. The Government of Kenya's Post Disaster Needs Assessment for the 2008-2013 drought estimated total damage and losses to Kenya at Ksh 968.6 billion (USD 12.1 billion) across all sectors. Drought slowed GDP growth by an average of 2.8 percentage points per year – roughly 50% of annual growth – during the same 3 year period. Recovery needs were estimated at USD 990 million, reconstruction needs at USD 788 million, and disaster risk reduction needs at USD 2.1 billion. The livestock sector suffered the most when compared to other sectors, incurring 72% of all losses and damages followed by agriculture sector at 13%, water and sanitation 9%. In response, the Kenyan government put in place a national climate change action plan to take bold steps to secure the country against risks and impacts of climate change. Kenya developed the National Adaptation Plan (Government of Kenya, 2016) as a robust framework to support adaptation at national, county and local community level. The NAP defined adaptation and resilience building as the priority responses to climate change, and suggested that adaptation and development goals need to complement each other. Vision 2030 was conceived as an overarching strategic document and its second Medium Term Plan (MTP II) prioritizes investments in climate change adaptation, drought risk management and ending drought emergencies, and the water, livestock, crop agriculture and energy sectors.

Climate change is eroding key natural resources and placing ever-greater demands on risk management strategies and resources, including herd mobility and drought reserves. Climate change modifies the availability of natural resources, forcing pastoralist to change their migration routes and the timing of herd movements, which has precipitated resource conflicts and has weakened traditional mechanisms for resource governance. This is exacerbated by growing competition for high value seasonal resources located in the dry season grazing reserves (Government of Kenya, 2016).

North Rift Economic Block (NOREB) Counties

NOREB counties comprising of Turkana, Uasin Gishu, Baringo, West Pokot, Nandi, Transzoia, Samburu and Elgeyo Marakwet have diverse climatic conditions enabling the region to produce a wide range of products in the different sectors of the economy. Pastoralism is the main economic activity in Turkana, Baringo, West pokot and Samburu while agriculture is key in Nandi, Uasin Gishu,Transzoia, and Elgeyo Marakwet counties. In the recent past however, the region has experienced persistent drought that lead to famine in some areas and hence there is need to undertake comprehensive joint ventures to mitigate against effects of climate change. Some areas within the region experience famine and persistent droughts hence the need to undertake climate adaptation and mitigation interventions to reduce the vulnerability of local communities. As a coordinating body for the counties, NOREB has Environmental conservation as one of its priority areas and is therefore best placed to coordinate climate action programmes in the region.

Climate Vulnerabilities

High population pressure, land use changes and climate change impacts accelerate the rate of degradation of these ecosystems. The larger Mau complex, Mt. Elgon and Cherangani which are major carbon sinks have faced pressure from human settlements which threaten ability to absorb carbon and provide other ecological functions. Some of the climate change effects in the region include Landslides and rock falls experienced in Cherangani, Kapchorwa hills, Elgeyo escarpment,Tugen and Tinderet hills. Other areas especially in Transzoia, west Pokot, Turkana, Baringo and Samburu suffer the effects of flash floods. Ironically, these flood prone areas experience long periods of drought, food shortage and high livestock morbidity and mortality. Weather variability in these areas has resulted in the twin impacts of drought and floods in these areas. Other climate change impacts in the NOREB counties include pest and diseases including frost and hailstones affecting crop production including tea, maize and livestock which are major sources of livelihoods in the

project area. Rising temperatures sometimes going upto 44 degrees from a normal of about 25 degrees has affected crop production in tea growing areas. Low level of development, poverty and literacy levels have increased community vulnerability and reduced adaptive capacity to the effects of climate change.

GHG emission profile

The Sources of GHGs in targeted project area is mainly from; Agricultural activities especially from aerial spraying of farm plantations especially Tea, wheat and maize, industries, forest fires (wild fires), burning of; charcoal, litter and swamps, motor vehicles emissions, use of kerosene/ paraffin lamps, use of biomass as primary fuel and excretions from animals. Waste management is another source of GHG especially in urban dumpsites due to decomposition of leachates that produce methane. The expansion of agricultural land and human settlements driven by population pressure has also resulted in clearing of vegetation, decimation of landscapes and degradation of forests including key carbon sinks such as the Mau forest complex, a major water tower in the country.

Vulnerability of affected Communities can be reduced through initiation of proposed adaptation initiatives. Adaptation strategies proposed under this project include enhancing the community's adaptive capacity to climate change shocks such as drought and floods, as well ensuring water, food and nutrition security. The project will also have mitigation co-benefits resulting from improvement in management of rangelands and forest areas. This will not only reduce community vulnerability but will also achieve emission reduction. This will be achieved through enhancing agroforestry practices and rehabilitation of degraded areas. Other Mitigation efforts will be through adoption of green technologies to reduce demand of forest products and reduce GHG emissions.

Please indicate how the project fits in with the country's national priorities and its full ownership of the concept. Is the project/programme directly contributing to the country's INDC/NDC or national climate strategies or other plans such as NAMAs, NAPs or equivalent? If so, please describe which priorities identified in these documents the proposed project is aiming to address and/or improve.

Kenya is committed to protect the climate system for the benefit of the present and future generations by supporting the United Nations Framework Convention on Climate Change (UNFCCC) process; the country ratified the Kyoto Protocol in 2005. Kenya is a signatory to the United Nations (UN) Agenda 2030 on Sustainable development that focuses on 17 Sustainable Development Goals comprising of 169 targets. As part of implementing the SDGs, the government of Kenya published and launched its Road Map to achieving SDGs. Further, Climate change is a priority in *Kenya's Vision 2030* – the country's development blue print, and the current Medium-term plan (MTP) III. The MTP III is anchored on the *big 4 agenda* that seeks to boost growth in agriculture, food and nutrition security, health, housing and manufacturing sectors.

This concept seeks to reduce vulnerability of NOREB counties to the impacts of climate change through enhancing agroforestry practices and rehabilitation of degraded areas. Other interventions will include enhancing the regional community's adaptive capacity to climate change shocks such as drought and floods, as well ensuring availability of water and food and nutrition security

The National Climate Change Action Plan (NCCAP) 2018-2022 prioritizes implementation of various climate change adaptation and mitigations actions. This proposed NOREB project will address all the NCCAP components hence contributing to Kenya's Nationally Determined Contribution (NDC) of reducing the GHG emissions by 30% by 2030. The programme will complement County contribution to the Nationally Appropriate Mitigation Actions (NAMAs) that requires developing countries to implement actions that reduce GHG emissions.

This proposal is in line with the National Adaptation Plan (NAP) 2015-2030 that emphasizes the necessity to develop and implement climate change adaptation strategies and plans to address the country's vulnerability and resilience to climate change as Kenya's economy is highly dependent on natural resources, meaning that recurring droughts, erratic rainfall patterns and floods will continue to negatively impact livelihoods and community assets. The proposed project will also contribute to one of Kenya's *Big Four Agenda* of Enhancing Food and Nutrition Security (FNS) through construction of small dams and water pans for irrigation projects, implementation of high impact nutritional interventions and other FNS initiatives.

- The project also aims to increase forest/ tree cover in the target counties and contribute to promotion of low carbon climate resilient and green growth development, rehabilitation and protection of degraded Landscapes and Water Towers. The project further seeks to strengthen early warning systems and disaster preparedness to drought and floods in NOREB region as well as Strengthening climate change governance, coordination and financing of climate change related activities in all sectors of the economy in the NOREB region

Describe the main root causes and barriers (social, gender, fiscal, regulatory, technological, financial, ecological, institutional, etc.) that need to be addressed.

Some of the barriers contributing to vulnerability to climate impacts in the NOREB region include high level of illiteracy, early marriages, gender inequality, discrimination of women, people with disabilities and youth (believed to play no role in the society), high poverty levels, skewed land tenure systems and poor agricultural practices. The high poverty levels in the target region have exacerbated the vulnerability of communities and households. Ecological challenges brought by climate change including invasive species, crop pests and animal diseases have equally increased food insecurity and also affected livelihoods.

The other barrier is due to low budgetary allocations to the counties that make up NOREB region hence inadequate resources for addressing climate change concerns through legal, policy and institutional strengthening. The national government allocates a mere 15% of the national budget to the counties that is mainly used to meet recurrent expenditure. The counties are at different levels in developing legal frameworks (policy and regulations) related to climate change. Hence there exists inadequate regulatory framework to address climate concerns. This has slowed down activities tailored to mitigate and adapt to adverse effects of climate change. Communities are also incapacitated due to poor exposure and inadequate technical knowledge leading to encroachment of fragile ecosystems.

Where relevant, and particularly for private sector project/programme, please describe the key characteristics and dynamics of the sector or market in which the project/programme will operate.
N/A

B.2. Project/Programme description (max. 3 pages)

Describe the expected set of components/outputs and subcomponents/activities to address the above barriers identified that will lead to the expected outcomes.

The eight NOREB counties is majorly a pastoral region with three quarter of its counties being in arid and semi-arid areas and therefore prone to climate shocks (drought and floods). The communities in the region are adversely affected by adverse harsh weather conditions brought about by climate change. This therefore calls for a joint program that is geared towards adaptation and mitigation practices with the sole purpose of reversing the effects of climate change.

The region experiences erratic weather conditions leading to drought and flooding; resource based conflicts; degraded water catchment areas, wetlands and rangelands. Hence all counties are vulnerable to the effects of climate change. The whole region faces threats in food security, water stress and unsustainable natural resource utilization. The region represents cross-county interactions.

Rationale: The region is highly endowed with natural resources. However, its full potential has not been fully harnessed due to:

- Inadequate institutional frameworks on natural resource management and climate change.
- Unsustainable management of Landscape.
- Constant community conflicts due to dwindling natural resources in the region.
- Low resilience and adaptive capacities towards climate change shocks.

The **overall objective** of this project is ***improved resilience of ecosystems and communities to climate change effects in the North Rift Region.***
The expected outcomes are improved management of rangelands and forest areas contributing to emission reduction, increased access to adequate, clean and safe water to enhance community's adaptive capacity to climate change shocks (drought and floods); and Strong institutional capacity of county governments and communities in climate change action. The project objective will be delivered through the following three components:

1. ***Restoration of catchment areas and rangelands for ecosystem services***.
   This component will have three outputs namely:
   i. *200,000 hectares of degraded landscape, rangelands and forest under restoration*
   ii. *24 community based participatory natural resource management plans developed and supported*
   iii. *Sustainable green energy technologies developed and promoted*
   These outputs will be achieved through the following activities

Activities

- *Enhance Agroforestry practices such as woodlots.*

- *Rehabilitation of degraded rangelands and water catchment areas.*
- *Establish community tree nurseries [county forests, escarpments, wetlands and hilltops].*
- *Reforestation & afforestation through assisted natural regeneration, natural regeneration and species enrichment regeneration (county forests, greening school program, hilltops, wetlands, urban greening, woodlots, bamboo propagation).*
- *Promotion of briquettes production as an alternative source of energy.*
- *Develop, promote and support the use of energy saving devices.*

2. ***Investments in ecosystem compliant water infrastructure to address surface run off and flooding and development of climate smart agriculture and sustainable land use methods.***

This component will have the following outputs:

i. *Reduced impacts of drought and floods in targeted counties*
ii. *Reduced vulnerability to floods and drought*
iii. *Water infrastructure developed to control effects of climate change shocks(drought and floods)*

These outputs will be achieved through the following activities

Activities

- *Rehabilitation of dams and water pans.*
- *Infrastructure development for surface water harvesting ,storage and reticulation(sub surface dams ,roof catchment, rock catchment ,water pan ,water tanks ,sand dam)*
- *Developing ground water infrastructure (Drilling and equipping of boreholes and shallow wells by use of green energy technologies).*
- *Sustainable postharvest solutions*
- *Enhance irrigation practices by use of harvested rain water*
- *Enhance growing of drought resistant crops.*
- *Supporting on-farm fruit trees growing.*
- *Establish nature based enterprises [tree nurseries, gums and resins, bee keeping and aloe production).*
- *Synchronize mass vaccination of livestock against climate induced livestock diseases*
- *Development of livestock and livestock products value chains.*
- *Development and promotion of pasture production.*
- *Promote climate -smart agriculture to enhance food security*

3. ***Strengthening the capacity of institutions, organized community groups and vulnerable communities on climate smart planning and resilience building.***

This component will have the following outputs :

i. *Strengthened climate and hydrological observation and forecasting systems to enhance adaptive capacity to drought and floods*
ii. *Strengthened NRM policies and institutions*
iii. *Improved community awareness on climate risks*

Activities:

- *Development and strengthening of county/community NRM policies, laws.*
- *Support development of participatory natural resources management plans.*
- *Capacity building and strengthening of county institutions and community based NRM institutions (CFAs, CBOs, CSOs, WRUAs, environmental committees, Grazing management committees).*
- *Supporting peace initiatives and deepening democracies to promote community's cohesion.*
- *Support development and implementation of cross boarder grazing agreements [negotiated approach].*
- *Establishing and equipping weather stations to enhance real time updates on climate information.*
- *Design and implement multimedia communication of early warning*
- *Public awareness campaigns*
- *Develop and integrate the traditional weather forecasting which have general acceptance within the communities.*
- *Preparation of community based participatory natural resources management plans.*
- *Strengthening existing community based participatory natural resources management efforts*

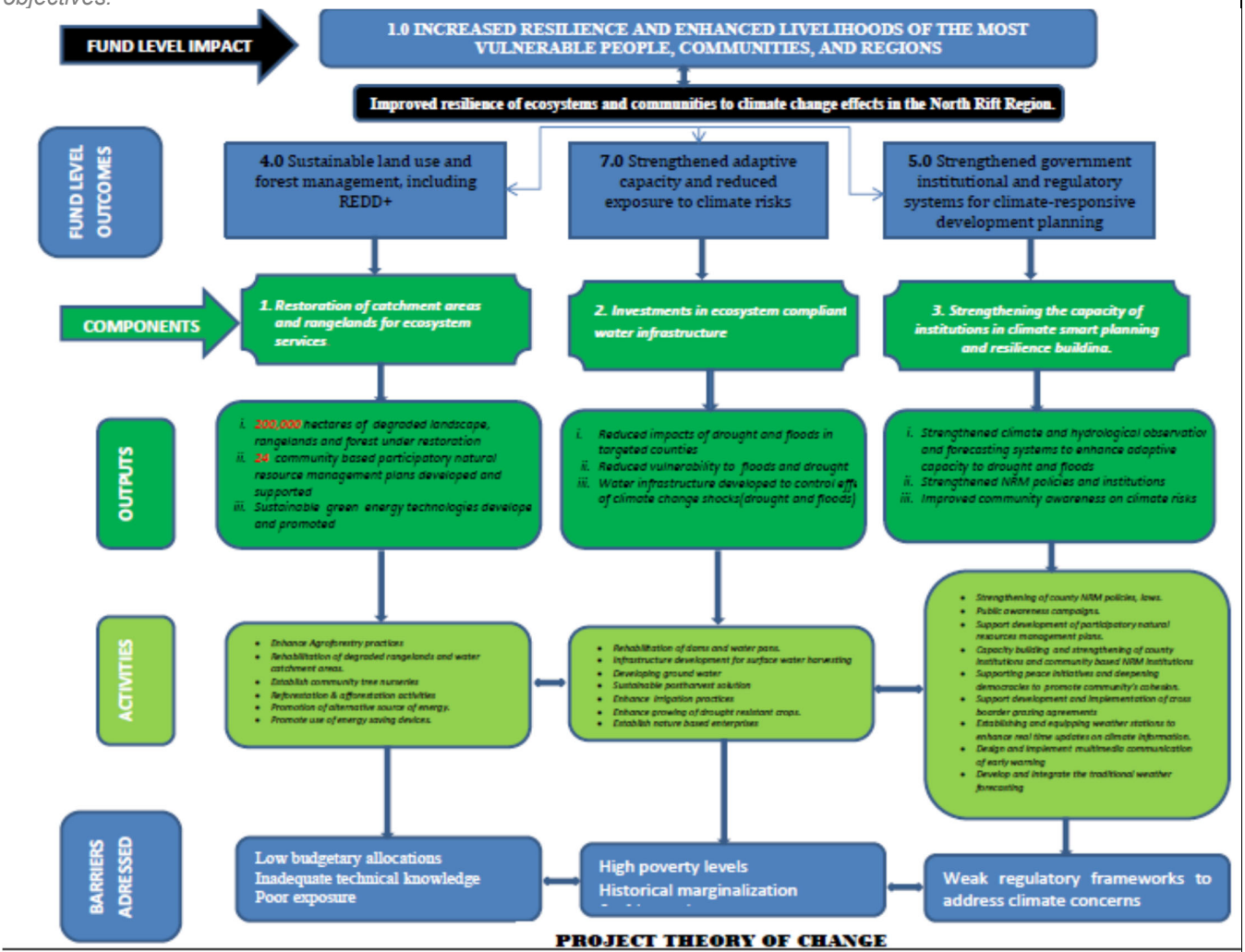
Consistency of project activities with national regulatory and legal framework

The proposed activities are in line with the interventions in environment, water and forestry, agriculture, livestock, trade, energy, physical infrastructure, tourism and health, which are the key thematic areas provided in the Sessional Paper No. 3 of 2016 on National Climate Change Framework Policy.

The components are also in line with Constitution of Kenya (COK) 2010 Articles 10, 42, 69 and 70 on sustainable development, the right to a clean and healthy environment, obligations in respect to the environment and enforcement of environmental rights respectively. The CoK 2010, the Forest Act 2016 and EMCA CAP 387 stipulate the requirement to increase forest cover by 10% which is a climate mitigating measure.

The project is also in line with the Climate Change Act of 2016. Under the climate change act, 2016, county governments are required to integrate and mainstream climate change actions into their functions and have them mainstreamed in their County Integrated Development Plans, taking into account national and county priorities. The counties are also expected to enact enabling legislation for implementation of their obligations under the Act.

In terms of rationale, please describe the theory of change and provide information on how it serves to shift the development pathway toward a more low-emissions and/or climate resilient direction, in line with the Fund's goals and objectives.



PROJECT THEORY OF CHANGE

Describe how activities in the proposal are consistent with national regulatory and legal framework, if applicable.

Describe in what way the Accredited Entity(ies) is well placed to undertake the planned activities and what will be the implementation arrangements with the executing entity(ies) and implementing partners.

Section to be filled once the Accredited Entity has been identified

Please provide a brief overview of the key financial and operational risks and any mitigation measures identified at this stage.

A summary of the key financial and operational risks and proposed mitigation measures is presented in the table below:

Financial and Operational Risks		
NO	RISKS	MITIGATION MEASURES
1.	*Insecurity within project site*	*Enhancement of security measure through involving the community in conflict to own the project. Applying Alternative Dispute Resolution (ADR) mechanisms in solving conflicts.*
2.	*Community participation and ownership*	*Bottom-up approach in public/community participation and consultation. Carrying out Free Prior and Informed Consent (FPIC) process to bring on-board all marginalized/indigenous community groups.*
3.	*Variation in market price for the commodities to be procured for implementation of the project*	*Undertake market survey prior to budgeting of the project items to be procured.*
4.	*Political interference*	*Sensitization and involvement of the political leadership throughout the design and implementation process.*
5.	*Inadequate technical capacity on implementation of the project*	*Bringing on-board all stakeholders and capacity building of the technical staff for implementation of the project.*
6.	*Delay in disbursement of funds for projects implementation.*	*Timely and consistent communication from Donors, national treasury and accredited entities.*

B.3. Expected project results aligned with the GCF investment criteria (max. 3 pages)

Provide an estimate of the expected impacts aligned with the GCF investment criteria: impact potential, paradigm shift, sustainable development, needs of recipients, country ownership, and efficiency and effectiveness.

B.3.2 Paradigm shift potential

This project will complement Kenya's efforts in addressing climate impacts among vulnerable community groups. Over 120,000 vulnerable community members will benefit from this project. Through the development of requisite local capacities in adaptation planning including policies, strategies and action plans as well as provision of water infrastructure and development of flood control assets. The disadvantaged target community will build the needed resilience to the impacts of climate change. Immediate benefits will be in disaster risk reduction in relation to drought and floods contributing to reduced mortality of livestock and people. The actual number to benefit from each proposed intervention will be determined after detailed feasibility studies of the project.

In terms of fostering a climate resilient development agenda, the project will:

- Enhance sustainable livelihood diversification and reduce over-reliance on climate sensitive sectors
- Contribute towards long-term solutions to the food and human nutrition challenges as well as the water insecurity problems experienced in Kenya every 3-5 years

In terms of promoting a low carbon development pathway the project will contribute to;

- Reduced deforestation and increased forest /tree cover, Reduction of GHG emission through promotion of climate smart initiatives and SLM as well as Cleaner Energy Sources and Technologies, Transformation of the charcoal sector leading to cleaner energy access and improved health.

Innovation

The project will use the Water –Energy –Food (WEF) nexus methodology and EbA approach which are relatively new concepts in the Kenyan context; have not been widely applied by past project initiatives.

Potential for scaling-up and replication (e.g. multiples of initial impact size)

Adoption of CSAs in implementation of the priority value chains, farm forestry and IGAs and bio-enterprises will result to increased yields and incomes which will trigger enhanced food and nutrition security and improved health as well as

strengthened livelihoods (hence climate change resilience) which are transformational impacts. These Climate smart interventions will have a huge potential of up-scaling and replication in all other regions in the country.

The project will promote the use of clean energy, including briquettes. Currently there are 2,284,200 households using charcoal in the North Rift Counties which are potential consumers of briquettes. The project targets 25% of these households which is 671,050 HH with a potential up scaling to the total number households in the basins (2,284,200) and about 29.4 million Households in the whole country who rely on wood fuel for cooking and heating. This will be a key intervention in conservation of forest resources as well as reduction in indoor air pollution that contributes to significant morbidity and mortality from respiratory diseases affecting mainly women and girls.

Potential for knowledge and learning

The project will enhance knowledge and information sharing between the stakeholders in the NOREB counties as well as in the whole country and other neighboring regional blocks. This is expected to trigger learning and adoption of the project activities in other areas and regions not covered by the project. The project will document lessons learnt and experiences encountered in application of the WEF nexus methodology in the region as well as other relevant climate change related information and share this knowledge with other actors involved in management of water and allied natural resources in the North Rift region. Besides, the project will build capacity of various actors in diverse issues including clean energy sources and technologies, CSA practices and livelihood strategies diversification (community members/households including women, youth and people living with disabilities). Capacity building will be done through short courses and informal training sessions and demonstrations. Further, climate change lessons learnt in the project will be integrated in the NCCRC which is the national repository for climate change information in Kenya to enhance accessibility (by all stakeholders and other actors such as donors) and dissemination to relevant audiences to trigger learning, appropriate decision making and action taking.

Contribution to the creation of an enabling environment

The project will develop and pilot a charcoal and briquette certification and labeling scheme which will contribute to an enabling framework for a sustainable charcoal energy sector. In addition, the full proposal will adopt a value chain approach in its design and development in order to create an enabling environment for farmers and their businesses to thrive.

B.3.3 Sustainable development potential:
The project has direct and indirect sustainable development benefits such as: creating household food security and self-sufficiency, and improved absorptive capacity within the economy (water access, new agricultural practices, foods security), which supports quality livelihoods.

Environmental co-benefits

- The restoration and rehabilitation of rangelands and forest landscape will reduce soil erosion, prevent siltation-induced damage to existing infrastructure, increase groundwater availability for domestic and agricultural use and reduce damages from floods.
- The restored forest ecosystems will contain many indigenous plant species that provide fibre, medicines, fruits, fuel wood, timber and habitat for animal species.
- Climate-resilient agriculture interventions will reduce soil erosion and soil fertility loss, enhance soil moisture retention.
- The mitigation co-benefits of the project: Carbon stocks will be maintained and carbon will be sequestered by: i) restoring and protecting forests over 200,000 ha; ii) planting woodlots for fuel wood; and iv) increased soil carbon through the climate-resilient agricultural practices which will be promoted.
- Additional environmental co-benefits will be achieved by reducing the impact of use of fuel wood on natural ecosystems through the promotion of alternative energy sources such as briquettes and establishment of woodlots.
- The project will support the development of 24 participatory forest management plans across the region. This will bring about local ownership and hence sustainable management of forest resources. Awareness raising on sustainable forest management will also be enhanced

Social co-benefits

- Considerable benefits for vulnerable communities will be realized through: i) improved agricultural production; ii) reduced poverty; iii) reduced exposure to environmental and climate-related hazards such as floods and drought; and iv) Improved awareness and knowledge of climate change and sustainable natural management practices.
- Conflicts between farmers/pastrolists will be reduced through supporting the development and implementation of cross-border grazing agreements (negotiated approach) and peace initiatives

Economic co-benefits

- The implementation of natural resource management plans will lead to benefit-sharing opportunities through the development of a robust and transparent permit system.
- The project specifically adopts a sustainable agricultural approach to the achievement of its outcomes, and will facilitate the use of methods such as agroforestry.
- Restored rangeland landscapes will conserve more water, reducing the severity of drought and reducing moisture deficits in normal dry seasons
- Reductions in potential losses of agricultural produce or assets (e.g. livestock or built structure) imposed by additional climate risks; and enhanced/diversified income opportunities.

B.3.4 Country Ownership

By signing and ratifying the Paris Agreement, Kenya has committed to the adoption and implementation of policies and measures to adapt to climate change and to manage existing climate risks, including improving resilience preparedness and adaptation capacities. The project objectives and activities are in line with the strategic aims of the National Climate Change Action Plan (NCCAP) 2018-2022 and the National Adaptation Plan (2015-2030). The seven priority areas of NCCAP provide strategic guidance for a response to climate change and aims to further Kenya's sustainable development by providing mechanisms and measures to achieve low carbon climate resilient development.

The NCCAP adaptation technical analysis of economic sectors and prioritized adaptation actions, including integrating climate resilience into planning, budgeting and implementation of activities at national and county levels.

Kenya's Intended Nationally Determined Contribution (INDC) prioritized mainstreaming climate change adaptation into County Integrated Development Pans (CIDPs). The INDC bolsters the National Adaptation Plan (NAP, 2016), which prioritized promoting access to climate finance by county governments and vulnerable communities to implement priority climate change actions. Climate Change has also been mainstreamed in the CIDPs.

B.3.5 Needs of the Recipient

The frequency and intensity of severe droughts and floods have increased in the target Counties and this trend will be further amplified in the future as temperatures rise due to climate change. Frequent drought and flood events result in livestock deaths, spikes in food prices, increased food insecurity, increased health issues and malnutrition for the poor. The impacts on communities in these areas are profound in the context of historic trends of marginalization and poverty rates in excess of 80% of the local population.

The Country has a fiscal gap that prevents it from addressing the needs. Over 70% of the budget allocation to the targeted Counties is used to cater for recurrent expenditure. The balance of funds available is therefore inadequate to fund sustainable development expenditures.

B.3.6 Efficiency and Effectiveness

The implementation of the project by the county governments coupled with community involvement and capacity development ingrained in the project will bring about the efficiency required in addressing community vulnerability. Priority actions will be identified at the local level through the county system of public participation as practiced during the county budgeting process. This reduces bureaucracy experienced in centralized national government planning where a lot of time and resources are deployed before projects implementation takes place. The project will also ride on the goodwill and participation of existing community structures in natural resource management including working with community forest associations, Water resource users associations and community leaders in targeted areas.

B.4. Engagement among the NDA, AE, and/or other relevant stakeholders in the country (max ½ page)

Please describe how engagement among the NDA, AE and/or other relevant stakeholders in the country has taken place and what further engagement will be undertaken as the concept is developed into a funding proposal.

C. Indicative Financing/Cost Information (max. 3 pages)

C.1. Financing by components (max ½ page)

Please provide an estimate of the total cost per component/output and disaggregate by source of financing.

Outcome/Component	Activity Description	Indicative cost (USD)	GCF financing		Co-financing		
			Amount (USD)	Financial Instrument	Amount (USD)	Financial Instrument	Name of Institutions
Outcome / Component 1 *Restoration of catchment areas and rangelands for ecosystem services*	1) Enhance Agroforestry practices such as woodlots.	5,614,880	5,295,000	GRANT	319,880	BUDGET ALLOCATION	COUNTY GOVT
	2) Forest promotion and conservation of water catchment areas, wetlands escarpments and dry lands	1,711,850	1,200,000	GRANT	511,850	BUDGET ALLOCATION	COUNTY GOVT
	3) Rehabilitation of degraded rangelands and water catchment areas.	5,325,420	4,995,540	GRANT	329,880	BUDGET ALLOCATION	COUNTY GOVT
	4) Establish community tree nurseries [county forests, escarpments, wetlands and hilltops].	441,585,0	400,400,000	GRANT	411,850	BUDGET ALLOCATION	COUNTY GOVT
	5) Reforestation & afforestation (county forests, green school, hilltops, wetlands, urban greening, woodlots, bamboo propagation).	11,176,850	10,620,680	GRANT	556,170	BUDGET ALLOCATION	COUNTY GOVT
	6) Strengthening management of county and community forests.	1,770,370	1,646,440	GRANT	123,930	BUDGET ALLOCATION	COUNTY GOVT
	7) Sustainable management and control of invasive species.	7,336,500	6,960,000	GRANT	376,500	BUDGET ALLOCATION	COUNTY GOVT
	8) Promotion of briquettes production as an alternative source of energy.	3,702,100	3,640,800	GRANT	61,300	BUDGET ALLOCATION	COUNTY GOVT
	9) Develop, promote and support the use of energy saving devices.	1,644,160	1,550,000	GRANT	94,160	BUDGET ALLOCATION	COUNTY GOVT
	○ Promotion of green energy [solar and wind]	1,140,000	1,000,000	GRANT	140,000	BUDGET ALLOCATION	COUNTY GOVT
	○ Waste conversion into energy [biogas].	289,100	270,000	GRANT	19,100	BUDGET ALLOCATION	COUNTY GOVT
	○ Promotion of energy saving technologies and utilization of energy saving devices.	1,880,800	1,760,000	GRANT	120,800	BUDGET ALLOCATION	COUNTY GOVT
	○ Establishment of renewable energy learning center	407,100	380,000	GRANT	27,100	BUDGET ALLOCATION	COUNTY GOVT
Sub total		46,414,980	43,322,460		3,092,520		
Outcome / Component 2	1) Rehabilitation of dams and water pans.	8,267,160	7,100,000	GRANT	1,167,160	BUDGET ALLOCATION	COUNTY GOVT

Increase access to Investments in ecosystem compliant water infrastructure to address surface run off and flooding, and development of climate smart agriculture and land use methods	2) Infrastructure development for surface water harvesting ,storage and reticulation(sub surface dams ,roof catchment, rock catchment ,water pan ,water tanks ,sand dam)	10,014,160	8,877,000	GRANT	1,137,160	BUDGET ALLOCATION	COUNTY GOVT
	3) Developing ground water infrastructure (Drilling and equipping of boreholes and shallow wells by use of green energy technologies).	10,901,250	9,682,000	GRANT	1,219,250	BUDGET ALLOCATION	COUNTY GOVT
	4) Sustainable postharvest solution	2,512,500	2,400,000	GRANT	112,500	BUDGET ALLOCATION	COUNTY GOVT
	5) Enhance irrigation practices by use of harvested rain water	3,112,500	2,800,000	GRANT	312,500	BUDGET ALLOCATION	COUNTY GOVT
	6) Enhance growing of drought resistance crops.	4,200,820	3,950,000	GRANT	250,820	BUDGET ALLOCATION	COUNTY GOVT
	7) Supporting on-farm fruit trees growing.	2,680,330	2,450,000	GRANT	230,330	BUDGET ALLOCATION	COUNTY GOVT
	8) Establish nature based enterprises [tree nurseries, gums and resins, bee keeping and aloe production).	1,258,330	1,200,000	GRANT	58,330	BUDGET ALLOCATION	COUNTY GOVT
	9) Synchronize mass vaccination of livestock against climate induced livestock diseases	3,500,000	2,950,000	GRANT	550,000	BUDGET ALLOCATION	COUNTY GOVT
	10) Development of livestock and livestock products value chains.	1,010,000	1,000,000	GRANT	10,000	BUDGET ALLOCATION	COUNTY GOVT
	11) Development and promotion of pasture production.	2,617,700	2,500,000	GRANT	117,700	BUDGET ALLOCATION	COUNTY GOVT
	12) Establishing and equipping weather stations to enhance real time updates on climate information.	1,730,000	1,485,000	GRANT	245,000	BUDGET ALLOCATION	COUNTY GOVT
	13) Design and implement multimedia communication of early warning	2,260,000	1,730,000	GRANT	530,000	BUDGET ALLOCATION	COUNTY GOVT
	14) Develop and integrate the traditional weather forecasting which have general acceptance within the communities.	301,000	260,000	GRANT	41,000	BUDGET ALLOCATION	COUNTY GOVT
Sub total		54,365,750	48,384,000		5,981,750		
Outcome / Component 3	1) Development and strengthening of county/community NRM policies, laws.	957,000	830,000	GRANT	127,000	BUDGET ALLOCATION	COUNTY GOVT
Strengthening the capacity of county governments and communities on	2) Public awareness campaigns.	1,763,740	1,670,000	GRANT	93,740	BUDGET ALLOCATION	COUNTY GOVT
	3) Support development of participatory natural resources management plans.	515,860	445,000	GRANT	70,860	BUDGET ALLOCATION	COUNTY GOVT

climate-responsive planning and resilience building.	4) Capacity building and strengthen of county institution and community based NRM institutions (CFAs, CBOs, CSOs, WRUAs, environmental committees, Grazing management committees).	3,723,820	3,545,400	GRANT	178,420	BUDGET ALLOCATION	COUNTY GOVT
	5) Supporting peace initiatives and deepening democracies to promote community's cohesion.	1,248,330	1,100,000	GRANT	148,330	BUDGET ALLOCATION	COUNTY GOVT
	6) Support development and implementation of cross boarder grazing agreements [negotiated approach].	65,415,000	59,500,000	GRANT	5,915,000	BUDGET ALLOCATION	COUNTY GOVT
Sub total		**8,862,900**	**8,185,400**		**677,500**		
TOTAL		**109,643,630**	**99,891,860**		**9,751,770**		

For private sector proposal, provide an overview (diagram) of the proposed financing structure.

C.2. Justification of GCF funding request (max.1 page)

Explain why the Project/ Programme requires GCF funding, i.e. explaining why this is not financed by the public and/ or private sector(s) of the country.

The NOREB counties are seeking grant funding to address the extreme climate change threats facing communities in the region. The livelihoods of these communities are threatened by reductions in agricultural and livestock production, rangeland and forest degradation and water scarcity leading to community conflicts and decreased supplies of ecosystem goods and Services. These climate change impacts are exacerbated by population pressure leading to unsustainable land use practices and deforestation.

The proposed GCF project's objective is to reduce unsustainable land use practices and deforestation and strengthen the climate resilience of local communities by integrating climate-resilient agricultural techniques with the tailored restoration of degraded forests. As a result, the project will facilitate a paradigm shift in the region and Kenya's approach to addressing the impacts of climate change on the livelihoods of its vulnerable rural communities.

The region faces multiple development challenges, including poverty, lack of infrastructure and limited access to healthcare and other public services. The government prioritizes these pressing development needs; and, as a result, resources to invest in climate change adaptation and mitigation are not readily available. Hence, the public sector lacks enough funds to combat the impacts of climate change effectively. The funds from GCF will enable the region to create adaptation and mitigation measures for the residents and ecosystems.

Other options available for funding the proposed activities include drawing from the Counties own resources. However, the counties receive very little allocation from the national government (15%) of the national budget, 70% of which mainly meets recurrent needs. The option of funding the activities through loan financing is not feasible as Kenya is currently reeling under heavy national debt which currently stands at 56% of the GDP which is way above the 40% debt to GDP ratio recommended by the IMF.

Further, GCF funding will contribute in bridging the existing funding gap in the environmental and natural resource sect or. The environment is recognized as key transformative sector in the achievement of development agenda in the countr y. However, environment and natural resources sector in the county has been underfunded over the years due to competi ng need for financial resources with the other sectors.

GCF grant financing will therefore be critical in strengthening mitigation efforts as well as adaptation initiatives and red ucing community vulnerability to climate impacts. Without the GCF funding, the region will continue to suffer losses and experience hardship that further triggers the cycle of poverty, vulnerability and environmental degradation.

C.3. Sustainability and replicability of the project (exit strategy) (max. 1 page)

Please explain how the project/programme sustainability will be ensured in the long run and how this will be monitored, after the project/programme is implemented with support from the GCF and other sources.

The project has infused a number of programming approaches to ensure project Sustainability which include the

following:

Community involvement and Community capacity development

- Ingrained in this project is a strong community involvement and capacity development effort to enhance ownership, access and control by the community, through use of community project implementation committee and public/stakeholder participation forums.
- Equipping the communities with the necessary knowledge and community behaviour change through sensitization and awareness skills will be enhanced in ensuring continuity of project interventions beyond the project lifespan. Programmes key achievements will be documented as well as best practices and lessons learnt

Staff education and training

Staff education and need based training for all levels of government will contribute to technical viability and continued implementation of similar projects by the respective county governments.

Mainstreaming of the programme in the NOREB counties plans (CIDP's) and strategies as well as developing policies which are in line with the programme

The programme will be designed in a way that there is a long term plan to ensure the project is self-sustaining by ploughing back funds to the county government revenue basket or even to the individual project.

Non-monetary incentives to the communities by the county government where the project is implemented

Monitoring and evaluation

- The realization of the objectives of this project will require consistent monitoring, evaluation and learning. Monitoring of the project will be done as part of the county governments' commitment to manage results at all levels. A set of M&E implementation / reporting tools will be developed within the framework of County Integrated Monitoring and Evaluation Information System (CIMEIS). The activities, objectives, achievement and implementation status of projects in this proposed programmes will be integrated in the County Integrated Monitoring and Evaluation Information System (CIMEIS).

Replicability

- Since the project falls within the NOREB county strategic objectives of environmental protection and county development initiatives, the county government will ensure that implementation is extended to areas that will not be targeted in this programme by allocating funds from the county fund.
- There will also be Exchange visits by communities to learn from existing programmes in other counties and regions. The project will also develop systems for easy replicability in other areas including documentation and sharing of lessons and best practices

D. Supporting documents submitted (OPTIONAL)

☐Map indicating the location of the project/programme

☐Diagram of the theory of change

☐Economic and financial model with key assumptions and potential stressed scenarios

☐ Pre-feasibility study

☐Evaluation report of previous project

☐Results of environmental and social risk screening

Self-awareness check boxes

Are you aware that the full Funding Proposal and Annexes will require these documents? Yes ☐ No ☐

- Feasibility Study
- Environmental and social impact assessment or environmental and social management framework
- Stakeholder consultations at national and project level implementation including with indigenous people if relevant
- Gender assessment and action plan

• Operations and maintenance plan if relevant • Loan or grant operation manual as appropriate • Co-financing commitment letters
Are you aware that a funding proposal from an accredited entity without a signed AMA will be reviewed but not sent to the Board for consideration? Yes ☐ No ☐