



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Innovation Small Grant

Country/Region: **Kenya**

Project Title: **Adaptation Villages; Panacea for sustained village-based resilience building**

Thematic Focal Area: Multisectoral

Implementing Entity: National Environment Management Authority (**NEMA**)

AF Project ID: **KEN/NIE/Multi/2020/1/Innovation**

IE Project ID:

Requested Financing from Adaptation Fund (US Dollars): **250,000**

Reviewer and contact person: **Alyssa Gomes**

Co-reviewer(s): **Saliha Dobardzic, Claudia Lasprilla**

IE Contact Person:

Technical Summary

The project “Adaptation Villages” aims to further develop existing adaptive practices from previous projects on water utilisation by creating centres that allow otherwise excluded communities to directly access knowledge on these practices and receiving trainings in demonstration sites. The project will also invest in new ICT monitors to measure their water utilisation.

Project/Programme Background and Context:

The proposal mentions previous adaptive investments, all related to water utilisation, that would be used as part of their demonstration activities within the communities involved. The demonstration sites will be imbedded as essential elements of the training centres. The project aims to achieve its objectives through 3 main components:

Component 1: Investments in water utilisation tracking technology (USD 50,000)

Component 2: Establishment of Adaptation Villages (USD 110,000)

Component 3: Training on the proposed innovations (USD 50,000)

Requested financing overview:

Project/Programme Execution Cost: USD 20,000

Total Project/Programme Cost: USD 230,000

Implementing Fee: USD 20,000

Financing Requested: USD 250,000

| | |
|-------|---|
| | The initial technical review raises several issues, such as the need for clearly defining the climate adaptation rationale and justifying the innovativeness of the proposed interventions, the need to specify activities that will be covered under each project component, outline the expected environmental, social and economic benefits of the project, and provide details on target group(s), gender responsiveness of interventions, and area(s) of implementation, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CAR). |
| Date: | 02 September 2020 |

| Review Criteria | Questions | Comments: August 31 st , 2020 |
|---------------------|--|---|
| Country Eligibility | 1. Is the country party to the Kyoto Protocol? | Yes. |
| Project Eligibility | 1. Has the designated government authority for the Adaptation Fund endorsed the project/programme? | Yes. |
| | 2. Does the project / programme support concrete adaptation actions to assist the country in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience? ¹ | <p>Unclear.</p> <p>CR1: Please provide information on the specific climate change impacts in the target areas and the adaptation solutions to address these impacts.</p> <p>CR2: Please clarify how will the ‘Adaptation village’ training centers address the expected climate change impacts and improve resilience of the communities.</p> <p>CR3: Please provide more details on what exactly constitutes “Adaptation villages” and specify how many will be built. Please also provide information on the selected locations for the proposed villages, in terms of current and future climate situation, population, number of beneficiaries.</p> |

¹ A concrete adaptation project/programme is defined as a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability. Adaptation projects/programmes can be implemented at the community, national, regional and transboundary level. Projects/programmes concern activities with a specific objective(s) and concrete outcome(s) and output(s) that are measurable, monitorable, and verifiable. (Source: Operational Policies and Guidelines, amended October 2017)

| | | |
|--|--|--|
| | | |
| | <p>3. Does the project encourage or accelerate development of innovative adaptation practices, tools and technologies?</p> | <p>Unclear.</p> <p>The project proposal needs to further define how the proposed interventions will address climate change impacts and why they are considered an innovative solution. The proposal mentions that the 'adaptation village' will help reduce the burden on communities to travel for knowledge transfer and learning activities.</p> <p>The concept of a dedicated centre for training and demonstration allows to accelerate and diffuse innovative practices within communities. However, there is insufficient information in the proposal on their innovativeness when compared to similar centers already established.</p> <p>CR4: Please provide a clear rationale for why the proposed training centers constitute an innovative adaptation practice, tool or technology and how these centers will encourage innovation.</p> <p>CR5: Please provide additional information on how these centers will function and how will they promote the usage and scaling up of existing practices.</p> <p>CR6: The proposal states that the ICT systems encourage an innovative adaptive practice by allowing individuals to measure their water consumption, which can in turn result in new habits towards usage. Please provide more details on the system itself and how it will work. Also provide justification and clarification for how this technology is 'novel' or 'innovative' for the Kenyan context.</p> |

| | | |
|--|--|---|
| | 4. Does the project help generate evidence base of effective, efficient adaptation practices, products or technologies, as a basis for potential scaling up? | <p>Not clear.</p> <p>CR7: The proposal implies that the training centres enable the scaling-up of already existing practices by transmitting the knowledge among villages. Yet, the innovative practices, tools or technologies that will be scaled up are unclear.</p> <p>CR8: Please provide information on how the sustainability of the 'adaptation villages' and training centres and how they will be maintained in the longer term, after the project has ended.</p> |
| | 5. Does the project engage, empower and/or benefit the most vulnerable communities and social groups? | <p>Unclear.</p> <p>CR9: Please provide additional detail of the groups and communities that will benefit from the projects.</p> <p>CR10: Please provide further specifications on the chosen adaptation practices that will be piloted in the demonstration sites, and how the communities will be engaged in their selection and implementation.</p> <p>CR11: With regards to ICT for water management, please provide further details on the target villages and the number of beneficiaries.</p> |
| | 6. Does the project advance gender equality and the empowerment of women and girls? | <p>Unclear.</p> <p>CR12: Please provide details on how the different gender groups are affected by the lack of knowledge on adaptive climate measures and clarify how the project will advance gender equality.</p> <p>CR13: For component 1 and 3, please provide details on different gender groups be included in the respective trainings, and ICT systems.</p> |

| | | |
|-----------------------------|---|---|
| | | <p>CR14: Please clarify the number of direct beneficiaries, disaggregated by gender.</p> <p>CR15: Please clarify the presence of ethnic minorities and other vulnerable groups, in particular youth, if applicable and how they will be engaged in the project.</p> |
| Resource Availability | 1. Is the requested project funding within the parameters for small grants set by the Board? | Yes (250,000USD). |
| | 2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project budget before the fee? | <p>No, the IE fee is at 8.6% and hence above the cap.</p> <p>CAR1: Please revise IE fee to ensure it is below 8.5%.</p> |
| Implementation Arrangements | 1. Is the project submitted through a National Implementing Entity accredited by the Board? | Yes. |
| | 2. Is the timeframe for the proposed activities adequate? | <p>Unclear at this time.</p> <p>It is difficult to assess the adequacy of the proposed duration, as the proposal does not provide specificity on how many ICT systems will be installed, how many adaptation villages will be built, numbers of trainings that will take place.</p> <p>CR16: Please provide more information and detail on the activities to be undertaken and their timeframe.</p> |
| | 3. Is a summary breakdown of the budget for the proposed activities included? | Yes. |



ADAPTATION FUND

**PROGRAMME ON INNOVATION:
SMALL GRANTS PROJECTS THROUGH DIRECT ACCESS
MODALITY**

REQUEST FOR PROJECT FUNDING FROM THE ADAPTATION FUND

The annexed form should be completed and transmitted to the Adaptation Fund Board Secretariat by email or fax.

Please type in the responses using the template provided. The instructions attached to the form provide guidance to filling out the template.

Please note that a project must be fully prepared when the request is submitted.

Complete documentation should be sent to:

The Adaptation Fund Board Secretariat
1818 H Street NW
MSN P4-400
Washington, D.C., 20433
U.S.A
Fax : +1 (202) 522-3240/5
Email : afbsec@adaptation-fund.org



ADAPTATION FUND

PROGRAMME ON INNOVATION: SMALL GRANT PROJECT PROPOSAL

PART I: PROJECT INFORMATION

| | |
|--------------------------------|---|
| Country: | Kenya |
| Title of Project: | <u>Adaptation Villages; Panacea for sustained village based resilience building</u> |
| National Implementing Entity: | NEMA |
| Executing Entity/ies: | TARDA, CDA |
| Amount of Financing Requested: | 250,000 (in U.S Dollars Equivalent) |

Project Background and Context:

Provide brief information on the problem the proposed project is aiming to solve. Outline the economic social, development and environmental context in which the project would operate.

Kenya's Adaptation Fund Programme has delivered several adaptation investments, mainly water and irrigation assets. These investments (Boreholes, water pans, irrigation schemes) are distributed across the country and some of them already are availing water to the targeted communities. Alongside implementation of this programme, there are certain knowledge outcomes already achieved that can now inform improved execution and potential areas of innovation. The proposed innovation seeks to address two issues namely; Effective utilisation of the resource/s (water) harvested through the programmes by investing in an ICT enabled water usage tracking system per household/user. Secondly, the proposed innovation seeks to provide a platform for continuous learning by establishing 'Adaptation Villages' which are permanent training facilities and demonstration sites, at all the sites where adaptation assets have been installed. The adaptation villages will be a village based centre of learning, established alongside the adaptation fund assets, to provide a platform for continuous learning, technology transfer and skills enhancement for resilience building. The aspiration behind these villages based centres is to have them become centres of building adaptive capacities and social transformation, where training is availed right at the villages where the entire community are accessible, thereby addressing issues of equity and access to benefits. This will also enhance decision making capabilities which is a key tenet in resilience building and increasing adaptive capacities. The proposed tracking of water utilisation per household will enhance effective and efficient utilisation of the resources, and also enhance equity of access to the resource amongst the beneficiaries. Beyond the anticipated adaptation outcomes from the innovation, these interventions will yield to Kenya achieving better value for money and investments funded through the Adaptation Fund, by driving clearer long term adaptation outcomes.

The proposed intervention is an appropriate adaption response, that will give rise to concrete outputs, based on an appropriately identified adaptation needs of the target communities

Project Objectives:

The main objectives of the proposed innovation project are:

1. Establishment of adaptation Villages to Strengthen efficient and effective utilisation of adaptation assets
2. Enhancing adaptive capacities (knowledge, skills, decision making capacities, technology transfer) of the target communities
3. Use of ICT in monitoring and managing natural resources assets

Project Components and Financing:

Fill in the table presenting the relationships among project components, activities, expected concrete outputs, and the corresponding budgets. If necessary, please refer to the INSTRUCTIONS FOR PREPARING A REQUEST FOR PROGRAMME ON INNOVATION: SMALL GRANTS PROJECTS THROUGH DIRECT ACCESS for a detailed description of each term.

| Project Components | Expected Concrete Outputs | Expected Outcomes | Amount (US\$) |
|--|---|---|---------------|
| 1. Investments in water utilisation tracking technology | ICT enabled monitors of water usage per household | Effective utilisation of resources/water from the Adaptation Fund investments in Kenya | 50000 |
| 2. Establishment of Adaptation Villages | Permanent Village based training facilities and demonstration sites | Increased knowledge and skills of applicable and relevant resilience building interventions Enhanced holistic social transformation responsive to climate change, Enhanced and continuous decision making capabilities, | 110000 |
| 3. Training on the proposed innovations | Enhanced knowledge and utilisation of the proposed innovation | Strengthened adaptive capacities within the beneficiary communities of the adaptation Fund Investments | 50000 |
| 6. Project Execution cost | | | 20000 |
| 7. Total Project Cost | | | 230000 |
| 8. Project Cycle Management Fee charged by the Implementing Entity (if applicable) | | | 20000 |
| Amount of Financing Requested | | | 250000 |

Projected Calendar:

Indicate the dates of the following milestones for the proposed project/programme

| Milestones | Expected Dates |
|---------------------------------|----------------|
| Start of Project Implementation | Jan 2021 |
| Project Closing | Oct 2021 |
| Terminal Evaluation | Dec 2021 |

PART II: PROJECT JUSTIFICATION ¹

- A. Describe the project components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience.

Component 1: Investments in Adaptation Village

1. The proposed adaptation village will seek to establish skill transfer sites/ training/capacity building elements, where adaptation assets have been established, such that where a water structure is constructed, the demonstration sites. This presents the communities with a longer term benefit. The adaptation village will be characterized by, Solarized borehole (or irrigation scheme, or Water pan), Raised Steel tank, Fence in 2 acres space set aside as a demonstration site, and Basic Village Hall that employ concepts of Green Architecture, ICT based water meters.
 2. It is notable that the adaptation assets (Solarised borehole (or irrigation scheme, or Water pan)), are already established within the existing programme
- B. Describe how the project provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations. Describe how the project will avoid or mitigate negative impacts, in line with the Environmental and Social Policy of the Adaptation Fund.
1. This proposal is underpinned on the need to drive sustained delivery of adaptation outcomes and better value for money for the funds availed for the Kenya Programme. This innovation also seeks to not just have resources availed but to further enhance efficiency in utilization of those resources for purposes of sustainability and maximum return on investments. The target areas are profiled as areas with the most vulnerable communities, and will be tailored to meet the needs of both gender. The proposed sites have already been screened

¹ Parts II and III should jointly not exceed 10 pages.

- C. Describe how the project encourages or accelerates development of innovative adaptation practices, tools or technologies and/or describe how the project helps generate evidence base of effective, efficient adaptation practices, products or technologies, as a basis for potential scaling up.

The proposed innovation encourages innovation in two fold, the adaptation villages provides a physically permanent village centred place for skills and technology transfer on a sustained basis. This is an innovation in itself because typically, training and skills transfer is done in hotels or demonstration sites established in research centres which are typically inaccessible to people in the villages. Secondly, the availability of a centre where there is continuous technology and skill transfer enhances uptake of new innovations.

- D. Please confirm whether the project meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc., and is in line with the Environmental and Social Policy of the Adaptation Fund.

The project enhances the actualisation of most of the aspirations of the funds ESP policy. There is enhanced equity and access to benefits, as adaptation investments, including the knowledge and skills building is done right at the village level, where everyone can access. The activities proposed fall within the programmes ESMF, and mostly Environmental Impact Assessments have already been done and Licenses issued.

- E. If applicable, describe the learning and knowledge management component to capture and disseminate lessons learned.

The innovation intends to document execution and management of village based adaptation centres y use of smart projectors that capture all the processes and operations and demonstrations in the centres.

- F. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project. Describe how the project will engage, empower and/or benefit the most vulnerable communities and social groups, including gender considerations, in line with the Environmental and Social Policy of the Adaptation Fund.

The proposed sites have already been screened through the national environmental technical standards, namely, Environmental Impact assessment. The sites where the assets have not been established yet, will be subjected to EIAs. This proposal is underpinned on the need to drive sustained delivery of adaptation outcomes and better value for money for the funds availed for the Kenya Programme. This innovation also seeks to not just have resources availed but to further enhance

efficiency in utilization of those resources for purposes of sustainability and maximum return on investments. The target areas are profiled as areas with the most vulnerable communities, and will be tailored to meet the needs of both gender.

- G.** Provide justification for funding requested, focusing on the full cost of adaptation reasoning.

The proposed activities are relevant in addressing local adaptation needs and the project intervention will help achieve the objectives without other funding. The adaptation Villages will provide incremental and transformational shift towards increasing the communities' capacities to cope with impacts of climate change.

PART III: IMPLEMENTATION ARRANGEMENTS

A. Describe the arrangements for project / programme implementation.

NEMA as the NIE will be the key driver of implementing the innovation grant. However, the execution will be undertaken within the meaning and context of the current governance set of Kenya's adaptation Fund Programme. The Executing Entities will retain their role of execution, and the three committee will

B. Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan.

The Monitoring and Evaluation will be executed in line with the existing monitoring framework of the Adaptation Fund programme. (See separate document M@E framework of Kenya's adaptation Fund programme)

C. Include a simple results framework for the project proposal, including milestones, targets and indicators.

| Project Components | Expected Concrete Outputs | Expected Outcomes | Amount (US\$) |
|---|---|---|---------------|
| 1. Investments in water utilisation tracking technology | ICT enabled monitors of water usage per household | Effective utilisation of resources/water from the Adaptation Fund investments in Kenya | 50000 |
| 2. Establishment of Adaptation Villages | Permanent Village based training facilities and demonstration sites | Increased knowledge and skills of applicable and relevant resilience building interventions Enhanced holistic social transformation responsive to climate change, Enhanced and continuous decision making capabilities, | 110000 |
| 3. Training on the proposed innovations | Enhanced knowledge and utilisation of the proposed innovation | Strengthened adaptive capacities within the beneficiary communities of the adaptation Fund Investments | 50000 |
| 6. Project Execution cost | | | 20000 |
| 7. Total Project Cost | | | 230000 |

| | |
|--|---------------|
| 8. Project Cycle Management Fee charged by the Implementing Entity (if applicable) | 20000 |
| Amount of Financing Requested | 250000 |

D. Demonstrate how the project / programme aligns with the Results Framework of the Adaptation Fund

| Project Objective(s) ² | Project Objective Indicator(s) | Fund Outcome | Fund Outcome Indicator | Grant Amount (USD) |
|--|---|---|--|--------------------|
| Establishment of adaptation Villages to Strengthen efficient and effective utilisation of adaptation assets | <ol style="list-style-type: none"> No of adaptation villages No. of technologies transferred No. Of Knowledge assets | Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas | 6.2. Percentage of targeted population with sustained climate-resilient livelihoods 6.2. Percentage of targeted population with sustained climate-resilient livelihoods | 250000 |
| | | | | |
| Project Outcome(s) | Project Outcome Indicator(s) | Fund Output | Fund Output Indicator | Grant Amount (USD) |
| Increased adaptive capacity through strengthened livelihoods and sources of income for vulnerable people in targeted areas | No. and type of adaptation assets, technology transferred of beneficiaries from the Adaptation villages | Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability | 6.1.1. No. and type of adaptation assets (physical as well as knowledge) created in support of individual- or community-livelihood strategies 6.1.2. Type of income sources for households generated under climate change scenario | 250000 |
| | | | | |

² The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

| | | | | |
|--|--|--|--|--|
| | | | | |
|--|--|--|--|--|

- E. Include a budget, including a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

| Project Components | Expected Concrete Outputs | Expected Outcomes | Amount (US\$) |
|--|---|---|---------------|
| 1. Investments in water utilisation tracking technology | ICT enabled monitors of water usage per household | Effective utilisation of resources/water from the Adaptation Fund investments in Kenya | 50000 |
| 2. Establishment of Adaptation Villages | Permanent Village based training facilities and demonstration sites | Increased knowledge and skills of applicable and relevant resilience building interventions Enhanced holistic social transformation responsive to climate change, Enhanced and continuous decision making capabilities, | 110000 |
| 3. Training on the proposed innovations | Enhanced knowledge and utilisation of the proposed innovation | Strengthened adaptive capacities within the beneficiary communities of the adaptation Fund Investments | 50000 |
| 6. Project Execution cost | | | 20000 |
| 7. Total Project Cost | | | 230000 |
| 8. Project Cycle Management Fee charged by the Implementing Entity (if applicable) | | | 20000 |
| Amount of Financing Requested | | | 250000 |

- F. Include a disbursement schedule with time-bound milestones.
Disbursement Schedule

| Date | Amount | Milestone |
|-----------|--------|--------------------------------------|
| Jan 2021 | 200000 | Start off |
| June 2021 | 50000 | Establishment of Adaptation Villages |
| Total | 250000 | |

PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government³ *Provide the name and position of the government official and indicate date of endorsement. If this is a regional project/programme, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project/programme proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project/programme:*

| | |
|------------------|------------------------------------|
| Mr. Chris Kiptoo | Date: 27 th August 2020 |
|------------------|------------------------------------|

B. Implementing Entity Certification *Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number and email address*

| | |
|--|--|
| I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans (Kenya Climate Change Action Plan) and subject to the approval by the Adaptation Fund Board, commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme. | |
| Wangare Kirumba Implementing Entity Coordinator | |
| Date: August, 27 th 2020 | Tel. and email: wangarekirumba4@gmail.com wkirumba@nema.go.ke |
| Project Contact Person: Wangare Kirumba | |
| Tel. And Email: 254 712 815514, wangarekirumba4@gmail.com , wkirumba@nema.go.ke , dqnema@nema.go.ke | |

⁶. Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.



MINISTRY OF ENVIRONMENT AND FORESTRY

Telegrams: "NATURE", Nairobi
Telephone: 254-20- 2730808/9
Fax : 254-20- 2734722
Web site : www.environment.go.ke

PRINCIPAL SECRETARY
NHIF BUILDING
RAGATI ROAD
P.O. BOX 30126
NAIROBI

Ref: DENR/EMC/1/1

Date: 19th February, 2020

The Adaptation Fund Board
C/O Adaptation Fund Board Secretariat
Email: Secretariat@Adpatation-Fund.org
Fax: 202522 3240/5

ENDORSEMENT FOR INNOVATION GRANT SUPPORT FOR NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY (NEMA) KENYA

In my capacity as the designated authority for Adaptation Fund in Kenya, I confirm that the above national grant proposal is in accordance with the government's national priorities implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in Kenya.

Accordingly, I am pleased to endorse the above grant proposal with support from the Adaptation Fund. If approved, the project will be implemented by NEMA – Kenya and executed by NEMA.

Dr. Chris Kiptoo
PRINCIPAL SECRETARY