



Country: Kenya
Initiation Plan

Project Title:	Climate Institutional Strengthening Program
Expected UNDAF/CP Outcome(s):	SRA3 - <i>By 2022, people in Kenya benefit from sustainable natural resource management and resilient green economy</i>
Expected CPD Output(s):	Output 4.3 – <i>National and county government have improved capacities to reduce disaster risk and climate change impact</i>
Initiation Plan Start/End Dates:	1 August 2019 to 31 September 2020
Implementing Partner:	Ministry of Environment and Forestry

Brief Description

UNDP and the Ministry of Environment and Forestry seeks to leverage on the robust climate change policy and regulatory frameworks in Kenya to stimulate further institutional strengthening for the main actors that work on climate change, as per the Climate Change Act 2016, the Environmental Management and Coordination Act (Amended) 2015, among other acts that have a direct linkage to climate change.

The Climate Institutional Strengthening Project (CISP) Initiation Plan is working on setting in place the long-term institutional architecture for realizing climate action (SDG 13) in Kenya. The PIP will benefit from the ongoing Low Emission and Climate Resilient Project (LECRD) and the Nationally Determined Contributions (NDC) Support Project, for the realization of the 2nd National Climate Change Action Plan 2018 – 2022, the Climate Finance Policy 2018 and others.

The CISP PIN will put in place a broad climate change portfolio-based programme that will deliver on Kenya's ambitious climate change commitments as articulated in the Nationally Determined Contributions (NDC), with special focus on innovative financing solutions for meeting Kenya's development aspirations.

The Project will involve:

- a) *Strengthening Kenya's Climate Change Regulatory Framework;*
- b) *Strengthening the Institutional Structure of the National Environmental Trust Fund (NETFUND); and*
- c) *Preparation of a full-scale climate change portfolio-based program for Kenya.*

Programme Period:	1 August to 31
Sept 2020	
Atlas Project Number:	_____
Atlas Output ID:	_____
Gender Marker:	GEN 1

Total resources required	US\$ 1,075,000
Total available resources:	US\$ 745,000
Expected resources:	US\$ 350,000
Regular UNDP	US\$ 20,000
Government	_____
In-kind Contributions	_____

Agreed by UNDP



I. PURPOSE AND EXPECTED OUTPUT

Kenya's climate change terrain is evolving rapidly. UNDP has been providing Technical Assistance to the robust policy and regulatory frameworks on climate change through the Low Emission Climate Resilient Development (LECRD) Project which is set to end in February 2020. This Project Initiation Plan is meant to now provide a fresh framework of delivering UNDP's portfolio-based approach to programming in the area of climate change. In the formulation process, the PIP will learn from the process of finalizing two critical aspects of Kenya's regulatory framework by supporting the finalization of the Climate Change Regulations and by providing a strengthened institutional framework for the National Environmental Trust Fund. The National Environment Trust Fund (NETFUND) is a state corporation under the Ministry of Environment and Forestry. The organization is tasked with mobilizing and availing resources to deliver on its mandate which is to facilitate research intended to further the requirements of environmental management, capacity building, environmental awards, environmental publications, scholarships and grants. This PIP will deliver on Kenya's intention to have a strengthened NETFUND, ready to provide support towards innovative financing of environmental management, as envisaged under the Environmental Management and Coordination Act (EMCA) Amended 2015.

In addition, during the PIP formulation process, a review of Kenya's Climate Change policy and regulatory framework will be undertaken. The PIP will strive to map out all the key pending regulations for actualizing the Climate Change Act 2016, to provide a good platform for design of the Climate Institutional Strengthening Program. The Climate Change Act, 2016, commenced on 27th May 2016 following Presidential assent on 6th May 2016. The Act obligates the Cabinet Secretary responsible for Climate Change Affairs, in consultation with the National Climate Change Council, to make subsidiary legislation (regulations) for the better carrying into effect of the provisions of the Act. The preparation of the subsidiary legislation shall be in accordance with Article 10 of the Constitution, Interpretation and General Provisions Act (Cap. 2), Statutory Instruments Act (No. 23 of 2013) and Parts VII and VIII of the Act. The assignment will cover all operational sections of the Act and will be complimented by the 'strategy and subsidiary legislation' for the operationalization of the Climate Change Fund¹. The subsidiary legislation is core to the full operationalization of the Climate Change Act, 2016, as articulated therein. A fully operationalized Climate Change Act will provide the legal backing for the country's transformation to a low carbon climate resilient economy. It will also provide a sound platform for UNDP portfolio-based project Document on Climate Change, through the Climate Institutional Strengthening Project Proposal.

The outputs of this Initiation plan will be:

- a) The Climate Change Regulatory Frameworks finalized for gazettelement
- b) The NETFUND Institutional Framework and Strategy finalized for adoption
- c) A Project Document for UNDP's Climate Change Portfolio, developed, resourced and approved.

¹ The development of strategy and subsidiary legislation for the operationalization of the Climate Change Fund is being coordinated by the National Treasury as per section 25 (9) of the Climate Change Act.

II. MANAGEMENT ARRANGEMENTS

This PIP is designed under a Direct Execution Modality, where UNDP assumes overall authority during the Project Formulation stage. However, for ownership and national government leadership, in the design of the Project Document on the Climate Institutional Strengthening Project, the overall authority in project management will be vested in the Project Steering Committee (PSC). The main Implementing Partner – The Ministry of Environment and Forestry - will designate the Technical Focal Point to handle both Outputs 1 and 2 on the Climate Change Regulations and NETFUND institutional strengthening, as well as the design of the full-scale Climate Change Institutional Strengthening Portfolio-based programme. The Kenya Law reform Commission will be invited to support the process of regulation finalization. The Climate Change Directorate, in the Ministry of Environment and Forestry will serve as the Secretariat to the PSC, with a UNV Program Officer being recruited to support the CCD in this role. The Programme Management Unit of the Low Emissions and Climate Resilient Project and the NDC Support Project will provide technical inputs to the preparation of the CISP Project Document, in addition to facilitating stakeholder engagements in the process. The team, in close conjunction with UNDP Project Manager will also coordinate resource mobilization, to ensure that the PIP realizes a fully funded Project Document.

The Project Organization Structure of the CISP Programme will be as shown below:

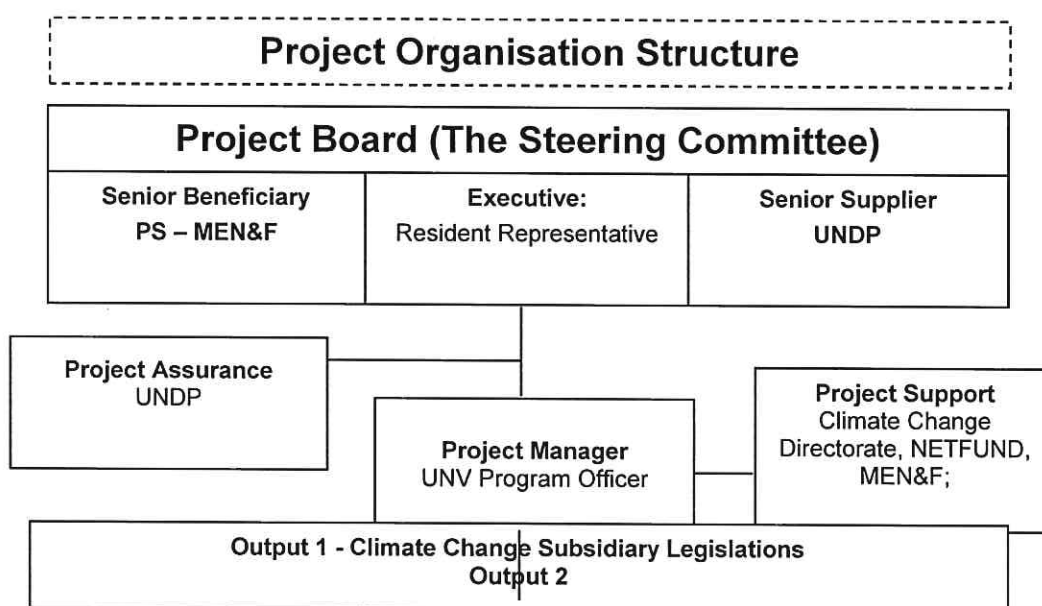


Figure 1. Project Organisation Structure

The two components of the CISP PIP (component 1&2) will be implemented through consultancies supported by public consultations and stakeholder sensitization and coordinated by the Climate Change Directorate. UNDP will oversee fund utilization according to the UNDP Policies and Procedures and in line with Government operations. Implementing Party (IP) and the UNDP will be responsible for ensuring that the allocated resources are utilized effectively in accordance to the Annual Work Plan that will be approved by the Project Steering Committee (PSC). Unless otherwise mutually agreed, by all parties to this Agreement, UNDP financial rules and regulations, and monitoring, evaluation and reporting procedures shall apply in the execution of this Project.

Project Steering Committee (PSC)

The Project Steering Committee (PSC) is the project management oversight body and is chaired by the Principal Secretary in the Ministry of Environment and Forestry and co-chaired by UNDP. The setup of the PSC can be seen in Figure 1. The PSC will approve the work plans and budget, review progress and provide support for project implementation. The PSC will advise the project management as necessary to ensure effective and timely implementation of the project activities to achieve the envisioned results/outputs.

The PSC will also facilitate coordination among various partners (components) and liaise with the Ministry of Environment and Forestry, that will provide overall co-ordination support. The PSC will consist of representatives from the Ministry of Environment and Forestry, representation from the USAID/DOI, UNDP, and other key stakeholders. The Climate Change Directorate will serve as the Secretariat to the PSC, with a UNV Program Officer being recruited to support the CCD in this role. The PSC will meet at least once every quarter during the plan period to discuss the progress being made and giving necessary guidance. The PSC will be responsible of reviewing the plan progress and results and may on occasions adjust according to the needs in order to learn lessons and align implementation process with the expected results.

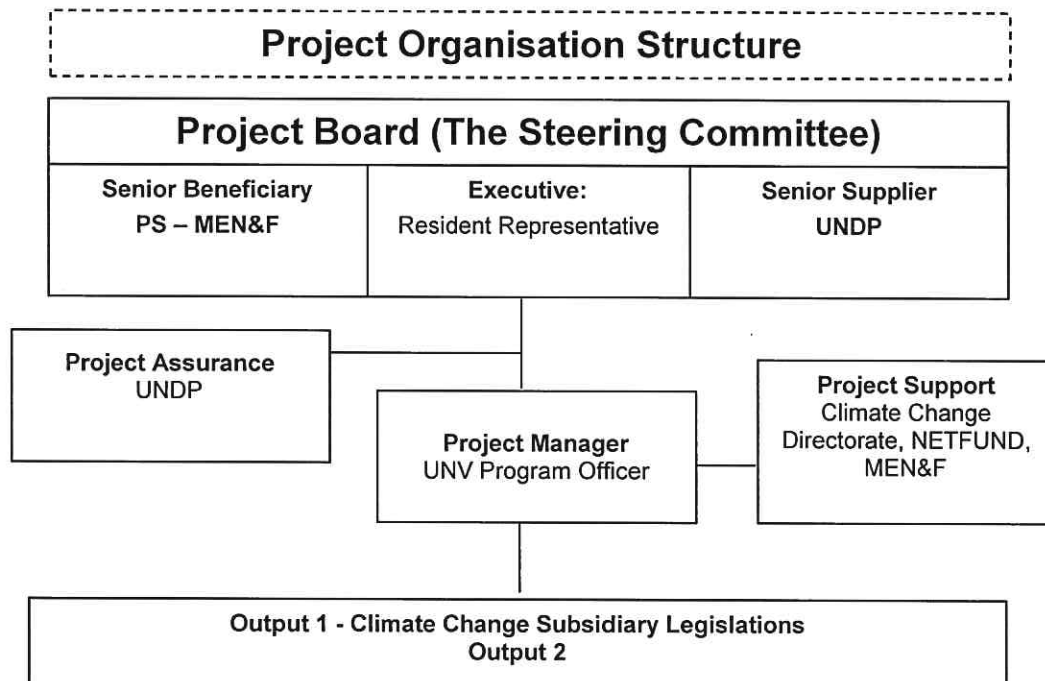


Figure 2. Project Organisation Structure

III. MONITORING

A description of the monitoring requirements for the Initiation Plan.

Monitoring of activities and project deliverables will be conducted quarterly. This will be done to ensure coherence in tracking results in the project implementation and monitoring of the implementation of this plan. Quarterly reports will therefore constitute useful information in reporting on implementation progress of the plan. Overall monitoring and documenting the successes and shortcomings of the PIP including undertaking reviews will be undertaken by UNDP and the Ministry of Environment and Forestry under the guidance of the Project Steering Committee (PSC). UNDP will provide Performance and Financial Reports every three months, as required by USAID/DOI, as well as a Final Report within 30 days of the end of project activities. An Initiation Phase Report will be prepared at the end of the Initiation Plan and a Project Document developed.

IV. WORK PLAN

Period²:

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME						RESPONSIBLE PARTY	PLANNED BUDGET		
		Q3	Q4	Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount (US\$)
Output 1: Climate Change Regulations Finalized Baseline:0 Indicators: Targets: 1	1.1. Consultancy services for the development of subsidiary legislations/regulations							MEN&F, UNDP	UNDP /DOI	Professional Fees	95,000
	1.2. Stakeholder Meetings for all special interest partners							MEN&F, UNDP	UNDP /DOI	Venues, communication	240,000
	1.3. Publication of Draft Reports(s) and circulation for Comments							MEN&F, UNDP	UNDP/ DOI	Venues, air tickets, transport, Honorarium, DSA	50,000
	1.4 Finalization of Climate Change Regulation							MEN&F, UNDP	UNDP/ DOI	Editing, Publication, Printing	50,000
	1.5 Support to Weather Service Application for Prediction							MEN&F, UNDP	UNDP/ DOI	Consultancy, Travel, etc	300,000

² Maximum 18 months

Output 2: NETFUND Institutional Framework and Strategy finalized for adoption Baseline: Lack of a Strategy for NETFUND Indicators: NETFUND Strategy; Number of Trainings to NETFUND Staff; Number of Staff Trained on NETFUND Strategy;	2.1. Consultancy Services (Strategic Plan, Organizational Capacity Assessment etc)								UNDP/DO/USAID	UNDP/DOI	Consultancy Fees,	54,000
	2.2. Stakeholder Engagement (4 workshops)								UNDP/DO/USAID	UNDP/DOI	Venues, Facilitation fees, transport, DSA	65,000
	2.3. Drafting Write Shops, Publishing and Printing of Final Strategic and Investment Plan								UNDP/DO/USAID	UNDP/DOI	Venues, facilitation fees, transport, DSA	25,000

Output 3: Program Management	3.1 United Nations Volunteer – Program Officer								VLA	12,000
	3.2 Consumables, Laptop and DPC etc								Equipment, Office furniture etc	48,000
Output 4: A Project Document for developed and validated Baseline: Nil Indicators: Project Document in place Targets: Project document	4.1. Facilitate meetings to develop a Project Document on CISP								Venues, transport	20,000
	4.2. Convene Local Project Appraisal Committee Meeting on the Project								Venues, transport	18,000
Subtotal Activity cost										989,000
UNDP GMS@8%										86,000
Available for the Project DOI										725,000
Expected for the DOI										350,000
TOTAL AVAILABLE										725,000
TOTAL EXPECTED										1,075,000