UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
KENYA

Project Title: [IPSTC] Capacity Building for Maritime Disaster Management and Response to Peace and Security threats within Kenya

Project Number: 00125335

Implementing Partner: Ministry of Defence through the International Peace Support and Training Centre (IPSTC)

Responsible Parties: Japan Center for Conflict Prevention (JCCP),

Start Date: April 2021   End Date: September 2021   PAC Meeting date: 26 February 2020

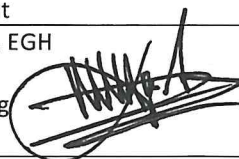| Brief Description |
|---|
| Kenya is faced with an increasing number of threats and disasters which have undermined her socio-economic growth and led to significant loss of life and property. In 2019 alone, more than 2.89 million people in Kenya were affected by various disasters. Kenya's maritime domain, which the country plans to utilize to leverage the 'blue economy, remains highly vulnerable to disasters, which may reverse the gains in the sector. The country, in collaboration with partners including Government of Japan, co-hosted a side event on blue economy during TICAD 7, in August 2019. This demonstrates the serious efforts Kenya is putting in developing the blue economy and maritime sectors. Further, the country continues to face community conflicts and terrorism-related violence which resulted in the loss of 134 lives and loss of property/livelihoods in 2019. According to findings from a research conducted by IPSTC in 2018, the coastal counties are exposed to multiple hazards including ferry and boats accidents, oil and chemical spills, coastal storm surges, tsunami risk and terrorism1.   Proximity to Somalia contributes to increased threat in the maritime domain and along the Kenya's Coastal Counties. Emerging threats in the maritime domain including risk of acts of terrorism, piracy and radicalization remain difficult to predict thus require preventive measures. |
| The proposed project will contribute to national priorities on maritime disasters and security, and conflict prevention, while at the same time addressing key government of Kenya priorities of maritime disasters and security, peace keeping and peace building, and support to nation building and institution strengthening. These priorities are also in line with the focus areas of the Japan Supplementary Budget. The project will also enhance peace, security and recovery efforts through stabilization of vulnerable communities and related resources. |

<table>
<tr><td rowspan="3">Contributing UNDAF Outcome 2.8: By 2022, counties and communities are able to anticipate, prevent and respond effectively to disasters and emergencies

Indicative Output(s) CPD:

Output 4.4: Communities have improved adaptive capacity to disasters including from climate change</td><td>Total resources required:</td><td colspan="2" align="right">USD 500,000</td></tr>
<tr><td rowspan="3">Total resources allocated:</td><td>Japan:</td><td>500,000</td></tr>
<tr><td>Government cost sharing (10%):</td><td></td></tr>
<tr><td>In-Kind:</td><td></td></tr>
<tr><td>Unfunded:</td><td></td><td></td></tr>
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Agreed by (signatures):

Government	UNDP
Name: Hon. (Amb.) Ukur K. Yatani, EGH Cabinet Secretary The National Treasury and Planning	**Name:** Walid Badawi Resident Representative UNDP Kenya
Date: 16/4/2021	Date: 12-Apr-2021

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[1] http://www.ipstc.org/media/documents/OP_No1_series9_2018.pdf

I. DEVELOPMENT CHALLENGE

1.1. BACKGROUND AND CONTEXT

Kenya has recorded steady growth with a consistent annual GDP growth of over 5% for the decade, significantly reducing the number of people living in poverty while addressing other human development needs. Over the past decade, Kenya's poverty levels declined from 46.6% in 2006 to the current 36.1%[2] while its Human Development Index (HDI) from 0.473 in 2014 to 0.579 in 2018 compared to a global average of 0.731[3]. Despite the consistent economic development, exclusion of the most poor and vulnerable remains a challenge with headcount poverty ranging from 16.7% to 79.4% in Nairobi and Turkana Counties respectively. The 2019 Human Development Report shows Kenya's Gender Development Index as 0.933, placing it among countries with medium to low equality in human development achievements between women and men. In 2019, Kenya's multidimensional poverty index was rated at 34.9% indicating disparities and inequalities at sub-national levels and among the poor themselves[4]. The index also shows 14.5% of the population live in severe poverty in its multi-dimensional forms[5].

The steady growth has been underpinned by stable macroeconomic environment, infrastructure development[6] and growth in the services sector. In order to foster and expand this growth, the country has invested heavily in the blue economy sector with the aim of not only expanding its economic base, but also improving the livelihoods of coastal communities which currently shows disproportionately low economic growth and high poverty levels. The government of Japan has supported expansion[7,8] of Kenya's blue economy through infrastructure and security investment at the port of Mombasa[9]. Fisheries account for about 0.8% of the Gross Domestic Product (GDP) and generate employment for over two million Kenyans through fishing and related activities.

The country faces a challenge of high youth unemployment which not only hampers poverty reduction efforts but also increases the vulnerability of youth to radicalization, extremism and inter-ethnic conflict. Unemployment and underemployment among youth and women account for more than 61% of total unemployed, a situation that exacerbates their vulnerability to disasters and conflicts.[10] Youth unemployment is of particular concern given the high levels of urban crime and violence largely linked to the proliferation of militia groups and as well small arms trafficked mainly from war-torn neighbouring countries.

Despite the steady growth and heavy investment, the country's economy is highly exposed to the risks of disasters, including conflict, which threaten to reverse the gains achieved to date. In 2019, the country experienced four major disaster shocks including drought in 23 counties; floods that affected 31 counties, resource-based inter-ethnic conflict in 8 counties and violent extremism in 6 counties. Further, there was an increase in maritime incidents at

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[2] Kenya Integrated Household Budget Survey (KIHBS), 2015/2016.

[3] Human Development Report (HDR), 2019, http://hdr.undp.org/en/content/2019-human-development-index-ranking .

[4] Global Multidimensional Poverty Index, 2019 http://hdr.undp.org/sites/default/files/mpi_2019_publication.pdf

[5] Human Development Report, 2019, http://hdr.undp.org/sites/default/files/mpi_2019_publication.pdf

[6] World Bank. Kenya overview, April 2018. http://www.worldbank.org/en/country/kenya/overview#2

[7] https://www.kbc.co.ke/japan-pledges-to-invest-in-kenyas-blue-economy/

[8] http://www.ipsnews.net/2019/02/blue-economy-new-frontier-africas-growth-japan-can-help/

[9] https://weetracker.com/2019/08/23/big-win-for-kenyas-blue-economy-as-more-investors-tap-into-the-sector/

[10] Kenya Demographic and Health Survey (KHDR) 2014

the Likoni Ferry channel[11], which resulted in a number of deaths. The combined impacts of these shocks has been significant with 2.89 million people in need of humanitarian assistance; 306 fatalities; and massive losses if property, infrastructure and assets in 2019. The countries institutional and human capacity to respond to these disasters remained low. As result of this low capacity, late response to early warning as well as provision of first response actions contributed to the high disaster impacts. As a case in point, search and rescue efforts to retrieve vehicle which plunged into the Indian Ocean at the Likoni Ferry, took 13 days and a combined team from 3 different countries; this underlines the low human and institutional capacity within the country's disaster management domain.

The emerging threats in the maritime domain including risk of acts of terrorism, piracy and radicalization remain difficult to predict thus requiring preventive measures. The incidents of piracy, terror attacks and community conflict recorded during the period were impossible to predict. In the words of H.E President Uhuru Kenyatta "these stubborn and complex challenges demand a multifaceted tool box." As indicated above the high number of fatalities, loss of livelihoods for the large number of people, and potential for continued losses makes it urgent for action to undertaken to address the underlying causes. This JSB2019 proposals has been developed to undertake such action.

1.2 Need Analysis / Rationale for Project Support

Despite significant progress in reducing poverty, the country remains highly vulnerable to disasters which not only drain resources due to the need for emergency assistance, but also result in loss of human lives, assets and livelihoods, and conflict and tensions among communities. An estimated 3 to 4 million Kenyans are affected annually by natural and man-made disasters that disrupt livelihoods and funds that are initially set aside for development are diverted to address the disaster impacts[12]. In 2019 the country experienced a number of shocks which affected more over two million people. The country's low institutional and human capacity for preparedness, response and recovery continues to hamper efforts to prevent and reduce the impacts of disasters.

In early 2019, two Indian Ocean Cyclones, Idai and Kenneth, interfered with the rain-bearing inter-tropical zone thus leading to a prolonged drought in Kenya, especially in the northern, southern and coastal counties, affecting 2.56 million people. Despite the fact that the Kenya meteorological department had issued an early warning in January, low capacity for early action and response among key stakeholders, exuberated the situation contributing to high levels of severe acute malnutrition (SAM). By August 2019, 665,000 children under 5 years were acutely malnourished, including 145,000 children suffering from SAM[13]. Further, the drought conditions contributed to increased resource-based conflicts, increasing child protection risks, and reduced access to schooling for some 560,000 children[14]. The drought escalated drought-related disease incidents, with nearly 4,000 cholera cases, 420 measles cases and 2,500 cases of kala-azar reported as of August 2019[15]. In addition, the decline in

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[11] https://www.kenyanews.go.ke/safety-measures-to-be-enhanced-at-likoni-crossing-channel/

[12][12] National Disaster Risk Management Policy (Draft)2017

[13] https://www.unicef.org/appeals/kenya.html#3

[14] https://www.unicef.org/appeals/kenya.html#5

[15] https://www.unicef.org/appeals/kenya.html#6

pasture and water for livestock, attributed to the drought, contributed to increased intercommunal conflict resulting in 87 human fatalities during the year. The same communities affected by drought were further destabilized by devastating floods caused by a positive Indian Ocean Dipole (IOD) in late 2019. The floods had affected 31 of the country's 47 counties with preliminary reports indicating significant damage to infrastructure with sections of roads cut off in 17 counties[16] paralyzing transport and humanitarian relief efforts. The low institutional capacity for early action and response was witnessed with rescue, recovery and response efforts taking longer than necessary, thus causing further damage and stress to the communities[17]. The widespread nature of the floods has stretched the government's capacity to emergency response leading to a general appeal[18] for flood response support from all stakeholders.

In 2019, the other significant disaster which affected the country was communal conflict. The loss of rangeland resources, including water and pasture, occasioned by the drought and floods, contributed to a deterioration of the peace and security situation with incidents of interethnic conflict being reported in 7 counties. Kenya's peace and security landscape is characterised by a myriad of conflict drivers including political competition, poverty, youth unemployment, terrorism, and proliferation of small arms and light weapons among others. This situation is compounded by political instability in neighbouring Somalia, South Sudan, and DRC, which present a fertile opportunity for the illicit flow of light arms and small weapons. Conflicts in Kenya and neighbouring countries is a major contributing factor to humanitarian crisis in Kenya and the region. Inter-communal conflicts have led to loss of lives, destruction of livelihoods and assets, displacing thousands of people, forced migration and overall disruption of community security in the region. As a case in point, communal conflict in Turkana led to loss of over 300 animals to rustlers while access to reserve grazing areas was constrained due to the presence of Toposa and Merille herders from South Sudan and Ethiopia. In the pastoral areas of Marsabit, an estimated 25 human lives were lost, 250 households displaced and close to 1,200 goats and sheep lost to rustlers from Ethiopia. The institutional capacity to for early warning and response to communal conflict remains low. With the affected population still recovering from the impacts of the disasters, it is projected that incidents of inter-communal conflict will continue in the coming months as communities re-stock animals and migrate in search of pasture.

Kenya's maritime domain, which makes significant contribution to economic growth and poverty reduction, remains highly vulnerable to disasters including increasing terrorism-related threats and frequency of incidents at the Likoni Channel. Considering that fisheries is one of the key economic factors in the region, the new threat exposes a large number of people to potential maritime disasters. Globally, fishing is one of the most dangerous occupation in the world, and according to a study by ILO in 1999, over 24,000 fishermen die every year[19]. In 2019, over 5 incidents were reported at the Likoni Channel leading to loss of lives; in October a car slid off the ferry into the ocean killing 2 people[20]; in November

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[16] Flood affected counties include: Embu, Garissa, Isiolo, Kwale, Lamu, Machakos, Makueni, Mandera, Marsabit, Meru, Mombasa, Samburu, Taita Taveta, Tana River, Trans Nzoia, Turkana and Samburu counties.

[17] https://www.aljazeera.com/news/2019/11/death-toll-kenya-landslides-surges-60-191124185341844.html

[18] Appeal: Resource mobilization due to landslides and floods in the country, The National Treasury, 29 November 2019

[19] FAO, 2016. http://www.fao.org/fishery/safety-for-fishermen/en/

[20] https://www.kenyanews.go.ke/safety-measures-to-be-enhanced-at-likoni-crossing-channel/

another car plunged off the ramp killing 1 person[21], while in December a bus[22] slid off the ramp with no fatalities. The Kenya Ferry Services (KFS) reports that 300,000 passengers and over 6,000 vehicles cross the Likoni channel every day. Threats of disasters at the ferry remain of great concern as KFS is regularly forced to suspend operations due to bad weather and stalling of ferries. Considering this large number of daily users, this presents a great potential for high fatalities in case of a disaster event on the ferry. This is compounded by the potential for terrorism-related incidents. In January 2020, terrorists believed to have sneaked in through the ocean, attacked a naval base in Lamu killing 3 people and causing extensive damage to aircrafts and the airport. This demonstrates the capacity of extremists to also target civilian facilities including ferries and boats. The increasing disaster incidents in Kenya's maritime domain call for increased investment in capacity for preparedness, early response and recovery while at the same time improving security around critical facilities. In countries where appropriate regulations, enforcement and training have been put in place, there has been a measurable reduction in the annual number of fatalities over the last 15 years[23].

Kenya's institutional and human capacities for disaster management remain low. The 2010 Constitution has led to the devolution of power by establishing 47 counties with considerable autonomy. Counties have the responsibility of dealing with a number of development issues including management of disasters as well as violent conflict. The Government has made significant progress towards establishing key policies and institutions to respond to disaster risks and conflict. At community level, indigenous institutions, systems, knowledge, and practices including early warning systems play vital roles as first line of defence for many communities, particularly the nomadic communities in the region. While these capacity development efforts are in the right direction, many of the structures and processes are still in their embryonic stages. Some county governments are yet to fully establish themselves before building the necessary capacity to undertake the tasks given to them. Also, indigenous practices that are the first line of defence against disasters are weakening due to repeated shocks, violent conflicts, continued dependence on emergency relief and inadequate recovery measures. The proposed project therefore seeks to bridge this gap by increasing the national capacities for preparedness, early warning, early response and recovery.

II. STRATEGY

2.1 Programme strategy

Globally, UNDP has identified the need to strengthen countries' capacities to not only manage impacts of disasters but also the drivers of risks. At the county level, UNDP aims to build the capacities of institutions, communities and vulnerable people, particularly women and youth, to increase their resilience and reduce the risks and impacts of disasters, including from climate change. The Sendai Framework for Disaster Risk Reduction 2015-2030, to which Kenya has made commitments, aims to substantially reduce disaster risks

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[21] https://www.kenyans.co.ke/news/47417-vehicle-occupants-falls-indian-ocean-likoni-ferry-channel

[22] https://youtu.be/-QNqhGe7sm0

[23] FAO, 2016.

and losses in lives, livelihoods and assets of communities and countries. The project is anchored on this key global instruments and national priorities.

The project will focus on increasing the capacity of key disaster management personnel and institutions responsible for disaster risk reduction both at national and county levels as well as better position vulnerable communities to effectively use disaster risk reduction and adaptation resources based on analytical evidence concerning the nature and level of risks to their development initiatives. The Project will utilize a multi-prong strategy involving research to inform disaster, violent extremism and conflict programming and policy options; capacity building of national duty holders; and dissemination of new knowledge to all stakeholders. To realize this, the project will undertake; research and analysis, prevention and management initiatives, capacity building for resilience and mitigation for response interventions. The components shall be delivered in complementary manner through collaborating institutions.

MAP OF TRAGET COUNTIES

Target County
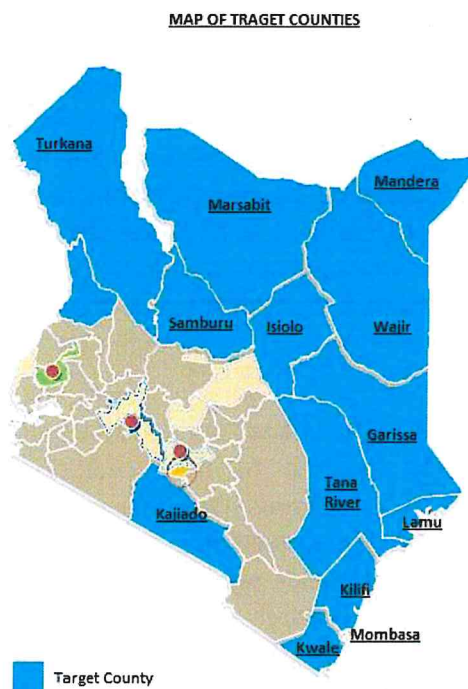
The Project will adopt a multi-stakeholder approach by actively engaging with and involving key nodal agencies from the Government of Kenya responsible for Disaster Management, development planning, finance, meteorological department agencies etc. as well as local administration, national, regional and international organizations, technical institutions and community representative organizations. Efforts will be made to involve regional and national organizations and draw upon local knowledge and expertise.

2.2 Theory of Change

The project is based on the premise that reducing disaster risk is essential to achieve sustainable development and to eradicate poverty. By building the capacity of key actors and ensuring that development is risk-informed, countries and communities can be protect against losses and simultaneously boost economic growth, create jobs and livelihoods, strengthen access to health and education, and ensure that no one is left behind. This will have the double benefit of reducing the vulnerability of communities to disaster impacts and the potential of such impacts to fuel conflict thus affect peace and security.

The project will therefore focus on addressing these aspects through initiatives that:

- Create knowledge on risk management and disseminate such knowledge to a wide range of stakeholders

- Increase the government's and other relevant organization's capacity to prevent, mitigate, and respond to disasters
- Strengthen access to risk information and early warning systems
- Strengthen disaster preparedness and response measures

2.3 Operating Strategies

The above theory of change will be guided by the following operating strategies:

- *Capacity Development*: The project will emphasize on government and community ownership, participation and leadership and will ensure the government at both national and county levels as well as relevant organizations and communities are enabled to play this crucial role. The project will also focus on enhancing knowledge and skills and making available materials and the right technology to facilitate local level actions.   At the level of government, the project will focus on enhancing the coordination and strengthening national institutions to provide national level support to county governments and civil society organizations.

- *Learning and Knowledge Management*: An important quality of a resilient community is one that learns from crisis to become better. This project will create partnership with academia and other key stakeholders to undertake a range of studies on local practices for response to violent extremism in the region. These findings will be disseminated through publishing of occasional papers and issue briefs as well as expert sharing platforms among others.

- *Coordination, Integration and Partnership*: Enhancing coordination and partnerships is critical for the success of this project. This will be achieved through integration of UNDP programmes, alignment with other UN agencies working on a range of development challenges in the target counties, and broadening partnership to include the private sector, NGOs, and relevant government agencies. The project will build partnership and encourage coherent response at all levels.

- *Gender Sensitive Response*: If harnessed well, women's capacity to respond to shocks and stresses and their ability to recover quickly can potentially accelerate the overall stabilization of communities and lay foundations for resilience. In order to understand the various exposure risks women face in their everyday lives, the project will undertake regular gender based risk assessments that identify high risk areas around women's livelihoods and household chores including border areas etc.

2.4 Lessons Learnt and Past Cooperation:

This project draws upon several useful lessons UNDP has learned from its past and ongoing disaster risk reduction, peacebuilding, community security, and governance work in Kenya, particularly in the ASAL region. These include support to policy making and institution building as well as successfully partnering with national DRR institutions to support disaster risk reduction in communities. The specific experience on which this project is built are:

- *Enhancing Security in Response to the Rise of Violent Extremism within Kenya.* The aim of the project was to support enhanced security, stability and resilience of communities in Kenya; and in particular communities bordering Somalia, Ethiopia, the Coastline and the Lake Victoria region. This was achieved through development focused interventions designed to mitigate key drivers of violent extremism; and

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raising capacity and awareness of border control personnel and community in general. The project was supported by the Government of Japan

- *Enhanced Resilience to Disaster Risk, Conflict and Climate Change Project*. The aim of the project was to ensure recovery of livelihoods while building foundations for resilience in drought and floods affected communities in Turkana and Tana River Counties. The project, which was supported by the Government of Japan and implemented in partnership with the Government of Kenya, successfully contributed to i) increasing the capacities of communities to cope with disasters and maintain food security during drought; ii) diversifying livelihoods, iii) supporting local infrastructures for peace, and iv) supporting national policies and institutions for DRR to better coordinate and respond to DRR challenges.

- *Governance for DRR:* The aim of the project was to enhance the governance of DRR at both national and sub-national levels through strengthening the policy, legal and institutional systems, and mainstreaming of DRR into government planning and budgeting process.

- *Disaster Risk Management in Border Counties*: the outcomes from the project indicated that disaster risk management requires cross-border and cross-cutting interventions that focus on both the drivers as well as community level resilience building. Research conducted under the project reveal an urgent need to address Kenya's exposure to maritime disasters threats thus informing the design of this proposed project.

This proposed project will up-scale the useful lessons learned from the above projects. To ensure success UNDP will bring to bear on this project the above lessons combined with its national and global expertise and experiences in disaster risk reduction and resilience. UNDP's Strategic Plan is anchored on resilience, democratic governance, and sustainable development.

2.5 Link to National and UNDP priorities

The Government of Kenya's priorities are clearly articulated in the Vision 2030[24] which lays out a national strategy based on three key pillars: Political Pillar; Economic pillar; and Social pillar. The proposed project will link directly to the social and economic pillars of the vision. Further, the project will be implemented within the framework of the Kenya United Nations Development Assistance Framework (UNDAF) which was collaboratively developed by the Government of Kenya, the UN system, and development partners, specifically addressing Strategic Outcome 2.8 which focus on disaster prevention and recovery. It specifically seeks to: measurably reduce the impact of humanitarian and risks of natural and man-made disasters in the country. The proposed project is in line with UNDP Kenya Country Programme Document (CPD)[25] 2018-2022 and will contribute specifically to Output 4.3 and 4.4 which seek to reduce the number of people affected by disasters; enhance early warning and build resilience at community level. The CPD is line with UNDP's Strategic Plan 2018-

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[24] Kenya Vision 2030 http://vision2030.go.ke/

[25] UNDP Kenya, CPD https://www.ke.undp.org/content/kenya/en/home/library/undp-reports/undp-kenya-country-program-document-2018-2022.html

2022 and will specifically implement Signature Solution 3 which seeks to enhance prevention and recovery for resilient societies.

Further the proposed project will contribute to the achievement of 3 Sustainable Development Goals (SDGs)[26], 3 targets and 5 indicators as summarized below:

Goal	Target	Indicator
SDG 11. Make cities and human settlements inclusive, safe, resilient and sustainable	**Target 11.5:** By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations	**Indicator 11.5.1:** Number of deaths, missing persons and directly affected persons attributed to disasters per 100,000 population
		Indicator 11.5.2: Direct economic loss in relation to global GDP, damage to critical infrastructure and number of disruptions to basic services, attributed to disasters
SDG 13: Take urgent action to combat climate change and its impacts	**Target 13.1** Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries	**Indicator 13.1.1:** Number of deaths, missing persons and directly affected persons attributed to disasters per 100,000 population
		Indicator 13.1.3: Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies
SDG 16: Promote just, peaceful and inclusive societies	**Target 16.A** Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime	**Indicator 16.a.1:** Existence of independent national human rights institutions in compliance with the Paris Principles

III.   Results and Partnerships and Key Themes

3.1 Target Beneficiaries and Location

The project targets to improve the capacities of 16 counties most affected by disasters in 2019 including Marsabit, Isiolo, Turkana, Wajir, Garissa, Mandera, and West Pokot, and which were adversely affected by drought and floods; and counties which have been disproportionately affected by radicalization, including Kajiado, Busia, Nyeri, Bungoma, and Laikipia. The project will benefit vulnerable communities living along Kenya's maritime border counties of Lamu, Tana River, Kilifi, Mombasa and Kwale which are highly exposed to maritime disasters. Specifically, the project will target key stakeholders from government departments charged with maritime and disaster management including Kenya Coast Guard, Kenya Maritime Authority, Kenya Ferry Services, maritime security agents, National Youth Service, Disaster Operation Center, Kenya Defense Forces, National Police Service and National Disaster Management Unit. It will also target relevant NGOs, Faith Based Organizations and community leaders involved in disaster response. The project will target

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[26] SDG Goals, Targets and Indicators https://unstats.un.org/sdgs/metadata/

to enhance the capacity of 119 key government stakeholders (targeting 30% women) through training, with a cascading effect to approximately 2.89 million (51% women, 49% men) community members affected by disasters in Kenya.

Overall Project Objective: The objective of the project is to mitigate the risk of disasters and violent conflict in the maritime and border areas of Kenya and build institutional capacities to address maritime disasters, radicalization and community conflicts. This will be achieved through interventions designed to reduce the risk of occurrence of disaster events, as well as increasing the capacity for effective response.

3.2 Project Framework: Components, Outputs and Activities

UNDAF Outcome(s): Outcome 2.8: By 2022, individuals and communities in Kenya have reduced exposure to risks and are more resilient to disasters and emergencies

CPD output(s): Output 4.4: Communities have improved adaptive capacity to disasters including from climate change

Programme Outputs
1. Enhanced evidence base for maritime and other disasters
2. Enhanced capacities for disaster preparedness
3. Enhanced capacities on disaster response
4. IPSTC institutional capacities strengthened

Expected Results

Output 1. Research and knowledge products on maritime and urban disasters developed: This output will focus on research and knowledge development to identify gaps in managing and mitigating risk in Kenya's maritime domain in the face of increasing radicalization and risks of disasters. The project will develop knowledge and skills in maritime disaster management in Kenya through undertaking field research in specific border areas identified as vulnerable to various forms of disasters. The research output will be informed by experts' input solicited through research agenda setting workshop and review symposium. The research findings will be published and shared with key policy makers; academia and relevant institutions for implementation. The research will also inform the design of relevant courses and accreditation to be delivered at IPSTC to key stakeholders. The research findings and knowledge generated will inform programming and policy to address the gaps in disaster management in Kenya. All documentation, research material and training material will be available to any relevant agencies, government bodies to use in the future to strengthen capability and capacity. Activities that will lead to the realization of this output are as below:

Activity 1.1.1 Conduct a research Agenda setting workshop on Disaster Risk Reduction/Maritime Security: this intervention will focus on bringing together 30 key experts and representatives from the development partners, academia, relevant

government officials, Faith Based organizations and National NGOs to brainstorm and analyze main risks in Kenya's maritime domain with the aim of setting up a research agenda to address the identified challenges. The outcome from the activity will be clearly defined areas of research to be implemented under activity 1.1.2 below.

Activity 1.1.2. Conduct field researches on DRR and Maritime Security: The project will conduct two (2) applied field and two desk top researches as prioritized in the agenda setting workshop. The outcome of the activity will be 4 published research papers (2 Occasional papers and 2 Issue briefs) with clear recommendations for policy and practice on reducing disaster risk as well as enhancing disaster response in the target areas.

Activity 1.1.3. Conduct Research Symposium on Disaster Risk Reduction/Maritime Security: One research symposium, bringing together 30 experts from government, civil society and academia, will be conducted to review and contribute the research products developed under the activity 1.1.2 above. The main purpose of the symposium will be to review and ensure robustness of the research, its findings and recommendations. The symposium will also provide a platform for further peer review by relevant experts in the field of disaster risk reduction.

Activity 1.1.4 Knowledge Sharing through Publications: this activity will focus on sharing the knowledge and insights from the research activity to relevant stakeholders for policy and administrative action. The outcome from the activity will be, 2 Occasional papers[27] , and 2 Issue briefs[28].

Output 2: Enhanced capacities for disaster preparedness

Under this output, the project will enhance the capacities of 140 key stakeholders on disaster preparedness through 5 training sessions and a table-top simulation exercise. The training will focus on early warning and disaster preparedness while building on the courses developed under the previous Japan-funded projects. The activities undertaken under this outcome will build on and scale-up best practices and success stories from the previous Japan supplementary budget-funded project.

Activity 2.1.1: Training on Table Top Exercise and Evaluation on disaster preparedness: under this activity, two-week training for 25 participants on disaster preparedness will be undertaken. The activity will also involve a table-top simulation exercise and evaluation. The training will build the capacity of trainees to undertake disaster preparedness including early warning and early action.

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[27]**Occasional papers** are documents that are as a result of field research. The findings of the field research are validated during a research symposium and published for use by relevant stakeholders

[28] **Issue Briefs** are documents that are as a result of desk top research and are published for use by relevant stakeholders

Activity 2.1.2: Introduction to maritime security and blue economy training: the project will build capacity of 25 key stakeholders on maritime security and blue economy through a one-week training. The training will be based on curricula developed under the previous Japan Supplementary Budget funding.

Activity 2.1.3: Integrated maritime security and blue economy: the project will conduct 2-week training for 25 participants on integrated maritime security and blue economy. The course will target middle level (tactical) staff involved in maritime security.

Activity 2.1.4: Strategic maritime security training; the project will conduct a strategic level training for 20 senior level government officers. The course will target senior level managers in government to enable them to not only develop relevant policies but also be able to guide and manage maritime security and blue economy issues.

Output 3: Enhanced stakeholders capacities on disaster response

Activity 3.1.1 Disaster response managers training: the project will conduct a one (1) 2-week training for 25 participants on Integrated Disaster Response Managers focusing on improving the capacity of managers for response management.

Activity 3.1.2: Integration of Gender in DRR: The project will conduct one (1) week Curriculum Design Writing Board on gender Integration in DRR.

Activity 3.1.3: Training on gender and DRR: The project will conduct 3-day Gender integration in DRR training to 20 military personnel. The activity will aim to address gender aspects during preparedness, response and recovery actions.

Output 4: IPSTC institutional capacities strengthened

This output will focus on improving IPSTC's internal capacity to develop and deliver capacity building for self and other institutions. The output will involve developing and piloting online training modules; training of key staff on maritime security, DRR, project and financial management.

Activity 4.1.1. Develop and pilot online training modules: under this activity, IPSTC will partner with the UNDP, JICA, and JETRO to develop online training modules based on existing materials. The activity will be undertaken in partnership with KJS Company of Japan, which develops e-Education solutions. The activity is in line with the tripartite agreement signed between JICA, UNDP and JETRO which aims to enhance contribution of the Japanese private sector in delivering the SDGs.

Activity 4.1.2: Conduct professional training for 2 staff: under this activity, two key IPSTC staff will be taken for project and financial management training including government of Kenya PFM rules and regulations to improve their capacity to manage the project.

Activity 4.1.3. International Conference on Maritime Security and/or DRR: in order to further enhance the capacity of two (2) IPSTC, key staff will be facilitated to interact with international peers on maritime security through conferences and/or exchange visits.

Activity 4.1.4: JCCP Capacity Building Support to IPSTC: under this activity, JCCP will deploy staff and/or facilitate an expert to undertake off-site and on-site capacity support to the project for the twelve-month period. The support will specifically be during research agenda setting and research symposium workshops; and during the delivery of Tabletop Exercise and Evaluation on disaster preparedness; integrated maritime security and blue economy; Strategic maritime security and blue economy; and Integrated Disaster Response Managers courses.

3.3 Resources Required to Achieve the Expected Results

The total cost of the project and which is requested from the government of Japan is **USD 500,000**; a detailed budget for the proposed activities is attached in Annex II. These resources will be utilised to deliver the outcomes and results outlined above. If there is a necessity to change the period, the content or the project budget, UNDP will consult with the Embassy of Japan in Kenya in advance. For any fund balances at the end of the project, the country office shall refund to the Government of Japan the remaining amount. UNDP shall handle the interest income and remaining budget in accordance with the Japan-UNDP agreement on *Arrangement for the Interest Income derived from Japan-UNDP Partnership Fund*.

3.4 Partnerships

The project will be implemented by the Ministry of Defence through the International Peace Support Centre, which is part of a global network of centres that provide capacity building for peace and security. The IPSTC is a centre of excellence for peace related issues. UNDP has a longstanding partnership with a demonstrated track record of delivering successful programmes and programme outcomes. The project shall draw upon the experience from this partnership in order to deliver the project. In addition, UNDP and IPSTC has a long-standing partnership with the Government of Japan through which a large number of projects have been implemented. The project will draw experiences from this longstanding collaboration in order to ensure programme results and outcomes are delivered as anticipated. In addition, during implementation the project will collaborate with various stakeholders including:

- *Japan Centre for Conflict Prevention (JCCP):* the project will partner with the Japan Centre for Conflict Prevention, a Japanese NGO, to deliver new knowledge through research and trainings. The center will provide technical support and capacity building for IPSTC in the development of training modules, facilitate specific modules and share best practices from other countries where it has been working. JCCP is a centre of excellence for conflict prevention and will provide valued addition to IPSTCs own services.
- *Kenya Maritime Authority: The* KMA is the government institution mandated to undertake maritime disaster efforts in the country. The project will partner with

KMA to improve its capacity for coordination and effective response through capacity enhancement.

- *National Disaster Management Unit (NDMU) and National Disaster Operations Center (NDOC):* the NDMU and the NDOC constitute the core civilian agencies for emergency response, communications, and disaster management policy/strategy. The project will partner with the two agencies to enhance their capacity for incident command, emergency operations coordination and actual response through training and practical simulations.

- *National Steering Committee for Peace Building (NSC):* The NSC is the key government partner mandated with peace building at community level. The project will partner with NSC to implement the component on community dialogue and peace building at county level. This will also leverage on the successful partnership undertaken under the previous Japan supplementary-funded project.

- *National security system:* the project will partner with the national security apparatus including police, border patrol, military and maritime in order to have an all-inclusive approach. The national security apparatus will be the main beneficiaries of the capacity building processes undertaken by the process.

- Kyoiku Joho Service (KJS) and Japan External Trade Organization (JETRO) – IPSTC will partner with KJS to explore the possibility of developing online training platform at IPSTC. The firm will offer the services pro bono. The firm will corporate with Japan External Trade Organization Nairobi office which provides advisory services to Japanese firms.

Humanitarian-Development Nexus

The proposed project will address the humanitarian-development nexus through interventions that target to build the capacities of government agencies mandated with development. This will be achieved through providing them with skills to integrate disaster risk reduction into government planning and budgeting processes. This will ensure that development programmes are disaster resilient and thus more sustainable.

3.5 Risks and Assumptions

Risks	Mitigation
Political risks arising from anti-anticipated effects of the recently concluded and launched Building Bridges Initiative Report	Capacity building and awareness raising of importance of dialogue between political players.
Change in boarder security which may affect access to specific areas.	Re-schedule training and meetings to take place in safer areas, use of electronic conferencing and continuous threat assessments.
Increased cross-border and inter-tribal conflict, including presence of Al- Shabaab sympathizers and returnees in the border counties whose agenda are suspicious	Intensify capacity building efforts; Strengthen the Kenya security for rapid response. Engage the youth in productive work.

3.6 Stakeholder Engagement

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The project will engage various stakeholders including relevant government ministries, departments and agencies, community members and leaders, NGOS and Faith Based Organizations who will be instrumental in mitigating and responding to maritime disasters within Kenya's maritime domain. The stakeholders will be engaged in the design, implementation, and monitoring of project activities. The project will directly target 119 key stakeholders through training events, indirectly the project will benefit approximately 2.89 million community members in 16 counties affected by disasters, conflict and extremism. Some of these counties have large expanses of maritime territory and are thus vulnerable to maritime disasters.

3.7 Knowledge

The project will undertake analysis and research to develop knowledge on disasters and maritime security. The key knowledge products to be produced under the project include:
- Two (2) occasional papers on maritime security and disasters,
- Two (2) issue briefs,

3.8 Sustainability and Scaling Up
Stakeholder participation shall be incorporated at the various stages of the project including identification of beneficiaries and specific sites, implementation as well as monitoring of activities. The project will invest in the people through capacity building/training to strengthen knowledge and skills necessary for the continuity of the project. Participation of community members and leaders is expected to increase ownership and sustainability.
The project will work through the various government departments at the national and local levels as well as build partnership with key stakeholders in the respective areas. Ownership and participation by government departments will be key due to their long presence and mandates in the community. The newly developed curriculum on integrating gender in DRR will be shared with other training institutions including the Kenya School of Government to train civil servants in order to sustain and scale-up results produced under this project.

IV.   PROJECT MANAGEMENT

4.1 Cost Efficiency and Effectiveness
Portfolio management: The project will be implemented within the wider context of the Kenya Country Office disaster risk reduction and resilience programming. The project will utilize joint implementation with current activities building on and scaling up on the achievements of two previous Japan-funded projects. Other projects that will support joint portfolio management include Governance for DRR in Kenya Project and Deepening foundations for peace project which are undertaking related interventions. This will improve cost effectiveness by leveraging activities and partnerships. To further ensure cost efficiency, UNDP shall utilize its existing human resource capacity in the Country Office including quality assurance, financial and procurement staff to support the implementation of the project.

The project will be implemented by the Ministry of Defence through IPSTC with the technical support of the UNDP Kenya Country Office and Global Policy Network. This support will focus on providing technical assistance to the project through GPN Experts Roster by deploying immediate capacity needed for the implementation of the project

activities in areas of analysis, trainings, workshops, monitoring and evaluation. The GPN capacity will also be leveraged to support complex studies ensuring timely and efficient delivery of these activities.

4.2 Project Management

The Project will be implemented through National Implementation Modality (NIM) with Ministry of Defence through IPSTC as the main Implementing Partner. Other national institutions may be incorporated during implementation based on the needs of the project. The coordination and implementation will be facilitated by UNDP and the Government through IPSTC. The strategic direction of the programme will be guided by a Team Leader, Environment and Resilience Unit, backed up by Kenya Country Management Team (KCOMT). UNDP-Kenya Country Office will provide Programme Quality Assurance based on the project execution modality agreed in the Country Programme Document (CPD), and in close collaboration with the IPSTC.

4.3 Financial Management and Reporting

1.   Financial Accountability:

The project will be implemented in compliance with both the Government of Kenya financial rules and procedures as provided for under the Public Finance Management Act 2012 (PFM Act) and UNDP rules and regulations. IPSTC shall have the responsibility of capturing resources spent either through Revenue and/or Appropriation in Aid (AiA) funds flow modalities in the Government's Integrated Financial Management Information System (IFMIS). Direct payments shall be made once IPSTC raises payment voucher and/or Funding Authorization and Certificate of Expenditure (FACE) form which shall be forwarded to National Treasury then to UNDP. To ensure delivery of project results, IPSTC shall be responsible for ensuring that the allocated resources under the Work Plan are utilized effectively in funding the envisaged activities and that at least 15% of the allocated budget is spent on promoting gender equality and women's empowerment. It will also maintain records and controls for the purpose of ensuring the accuracy and reliability of the Annual Work Plan's financial information. The accounting system in place shall ensure that such disbursements are within the approved budgets. The accounting system shall track the advances received and disbursed besides capturing expenditure records through direct payments made by UNDP on behalf of the Implementing Agency. United Nations Development Programme Country Office shall make direct payments to other parties for goods and services in accordance with the Annual Work Plan and as per the Direct Payments process highlighted above. Documentation of payments by the country office must be made available to the Implementing Agency. A register for such requests shall be maintained to facilitate follow-up.

2.   Funding Modalities

Funds Flow: Both GoK and UN financial and procurement procedures will be utilized and adhered to as appropriate. IPSTC as the lead Government Agency will be responsible for budgeting and reporting in IFMIS, therefore all resources will be captured under the Ministry of Defence, under the sub-vote IPSTC. For revenue modality, both special deposit bank and project Accounts will be opened by the National Treasury in the name of the

project. In addition, due diligence will be undertaken on the Non-Governmental Agencies (NGOs), which is a GoK requirement in partnering with NGOs. The project will adhere to the Public Financial Management Act (2012). Funds to non-government agencies will be reported by UNDP as Appropriation in Aid (AiA). For any funds expensed from UNDP as Appropriation in Aid (AiA), the necessary payment documentation will be provided to IPSTC for government accounting and capturing.The Implementing Partner will ensure that budget estimates for the respective government financial years are captured properly.

3. Support Services:

UNDP, upon request by IPSTC through Ministry of Defence, may provide the following support services:

- Identification, assistance with and or recruitment of project (female and male) personnel;
- Identification and facilitation of training activities, including fellowship, short term training and study tours;
- Access to UNDP-Managed global information system, the network of UNDP country offices and specialized systems containing operations information, including roster of consultants and providers of development services
- Provide linkage between JICA, JETRO and KJS.

The cost of these services calculated on the basis of the universal price list will be recovered by the project.

4. Financial Reporting:

The Implementing Agency must submit a <u>quarterly financial</u> report to United Nations Development Programme Country Office no later than 15 days after the end of the quarter. The financial report must be in accordance with the UNDP format. The submission of the financial report is mandatory. Within two months of the completion of the Annual Work Plan or of the termination of the present agreement, the Implementing Agency shall submit a final report on the Annual Work Plan activities and include a final financial report on the use of United Nations Development Programme funds, as well as an inventory of supplies and equipment.

UNDP CO will submit mid-term and final reports to the government of Japan.

5. Fiduciary Compliance:

In managing the Annual Work Plan resources, the implementing agency has fiduciary and compliance responsibilities to the funding institutions. It also has compliance responsibility for funding institutions' reporting procedures.

6. The Audit Requirements:

Both GoK and UNDP audit requirements will be applied. UNDP and Auditor General may undertake independent audit to provide stakeholders the assurance that resources have been managed in accordance with agreed rules and regulations. All nationally executed (NIM) Work Plans must be audited at least once in their lifetime. The objective of the audit is to provide the United Nations Development Programme administrator with the assurance

that United Nations Development Programme resources are being managed in accordance with:

    a. The financial regulations, rules, practices and procedures for the Annual Work Plan;

    b. The Annual Work Plan activities, management and implementation arrangements, monitoring evaluation and reporting provisions; and

    c. The requirements for implementation in the areas of management, administration and finance.

The United Nations Development Programme may audit NGO or private entity implementing Agency's' Annual Work Plans by sub-contracting private auditors to carry out the audit exercise. Funds for audit expenses will be budgeted within the Annual Work Plan.

Thus an audit of this Annual Work Plan must confirm and certify that:

    a. Disbursements are made in accordance with the Annual Work Plan;

    b. Disbursements are valid and supported by adequate documentation;

    c. An appropriate system for internal control is maintained by the Implementing Agency and can be relied upon;

    d. Annual Work Plan financial reports are fair and accurately presented;

    e. The Annual Work Plan monitoring and evaluations reports are prepared as required;

    f. Annual Work Plan disbursements are duly verified by the Implementing Agency; and

    g. The procurement, use control, and disposal of non-expendable equipment is in accordance with Government or UNDP requirement.

The Implementing Agency will ensure that auditors are given all records and information that they will need to perform a meaningful performance audit. The Implementing Agency will ensure that final accounts of the year under audit are submitted to United Nations Development Programme and for government implementing institutions to the Controller and Auditor-General (or an appointed sub-contractor), by the end of January of the following year. It is the responsibility of the Implementing Agency to ensure that all audit observations are attended adequately.

UNITED NATIONS DEVELOPMENT PROGRAMME

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Resilient nations.

PROJECT DOCUMENT
KENYA

V. Results Framework[29]

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:

UNDAF Outcome(s): Outcome 2.8: By 2022, individuals and communities in Kenya have reduced exposure to risks and are more resilient to disasters and emergencies

i. **Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: Indicator:** Number of select counties that have operational a) risk reduction, b) emergency response and c) conflict, early warning and response information management systems; Baseline: N/A 2013; Target: All selected counties
ii. Indicator: Number of displacements resulting from disasters and emergencies; Baseline: 97,626 natural disasters; 116,074 due to conflict (2012); Target: 25% reduction (2018)
iii. Indicator: Economic loss from natural hazards (e.g. geo-physical and climate-induced hazards) as a proportion of GDP; Baseline: 9% of GDP (US$12.1 billion) 2008-2011; Target: 7% of GDP (25% reduction (2018)

Applicable Output(s) from the UNDP Strategic Plan:

Outcome 5: Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change

Project title and Atlas Project Number: Capacity Building for Maritime Disaster Management and Response to Peace and Security threats within Kenya

EXPECTED OUTPUTS	OUTPUT INDICATORS[30]	DATA SOURCE	BASELINE		TARGETS					DATA COLLECTION METHODS & RISKS
			Value	Year	Q1	Q2	Q3	Q4	Final	
Output 1: Enhanced evidence base for maritime and other disasters	1.1 Number of publications disseminated	Progress reports	8	2019				2	10	
Output 2: Enhanced capacities for disaster preparedness	2.1 Number of participants with increased knowledge on maritime disaster management	Progress reports, Government reports	425	2019	25 (30% women)	25 (30% women)	25 (30% women)	36 (30% women)	536 (30% women)	

[29] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.
[30] It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

	Indicator	Source	Year	Baseline	Target	Final Target
	2.2 Extent to which sustainable local human resource capacities are in place to address emerging and/or recurring conflicts [IRRF]	Ministry of Interior and Coordination of National Government Annual Reports	2019	- Agents of change have been identified but lack capacity to address emerging/recurring conflicts		3= There is a connection between national and local response mechanisms[31]
Output 3. Enhanced capacities on disaster response	3.1 Extent to which national and/or sub-national institutions have improved institutional arrangements needed to lead and coordinate response and early recovery processes [IRRF]	Ministry of Interior and Coordination of National Government Annual Reports	2019	1=Less than pre-crisis	3=Mo re than pre-crisis	3=More than pre-crisis
	3.2 Number of relevant participants with hands-on maritime disaster management skills	Project Reports	2019	0	119 (30% wom en)	119 (30% women)
Activity Result 4: IPSTC institutional capacities strengthened	4.1 Number of online modules developed and piloted	Project Reports	2019	0	2	2
	4.2 Number of staff with improved knowledge and capacity	Project reports	2019	0	8 (30% wom en)	8 (30% women)

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[31] 1= no institutions or mechanisms to mitigate conflict at local level are present; 2= mechanism and institutions are established but they remain disconnected from each other; 3= There is a connection between national and local response mechanisms;

VI. Monitoring And Evaluation

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly	• Data will be uploaded into the corporate quality assurance system on a quarterly basis. • Data will be presented and reviewed by the PSC quarterly and corrective action taken if required.	N/A	N/A
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly Annually	• Risks will be monitored and updated in the corporate systems on a quarterly basis • Financial and programmatic spot-checks will be conducted quarterly • External Audit will be conducted annually	N/A	3,000 USD
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Quarterly	• Relevant lessons will be captured and reported quarterly in the progress report. • Lessons from other projects will also be captured during the same forum. • Knowledge and good practices will be shared semi-annually in the Africa Amani Journal	N/A	N/A
Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	• Quality of the project will be assessed annually in the corporate system	N/A	N/A
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Quarterly	• Internal reviews will be conducted by the technical team and discussed by the PSC quarterly.	N/A	N/A

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Project Report	Quarterly Mid-term, Final report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	• Quarterly progress reports will be submitted to UNDP for use during PSC • A Mid-Term and a Final Donor report will be shared with the Government of Japan	N/A
Project Review (Project Board)	Quarterly End of Project	The project board (i.e., Project Steering Committee) will hold regular project reviews to assess the performance of the project and review the Work Plan to ensure realistic budgeting over the life of the project. At the end of the project, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	• The project Steering Committee will meet quarterly to review progress and work plans. • End of project review will be undertaken at the end of the project.	N/A

Evaluation Plan[32]

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
e.g., Mid-Term Evaluation	• There are no evaluations planned under this project.					

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[32] Optional, if needed

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VII. Multi-Year Work Plan[33][34]

EXPECTED OUTPUTS	PLANNED ACTIVITIES	2020			2021	RESPONSIBLE PARTY	PLANNED BUDGET
		Q2	Q3	Q4	Q1		Amount in USD
Output 1. Research and Knowledge products developed	Activity 1.1.1 Conduct a research Agenda setting workshop on Disaster Risk Reduction/Maritime Security	X	X	X		IPSTC	6,305
	Activity 1.1.2. Conduct (3) field researches on Maritime Disaster Management	X	X	X		IPSTC	12,080
	Activity 1.1.3. Conduct Research Symposium on Disaster Risk Reduction/Maritime Security	X	X	X		IPSTC	6,305
	Activity 1.1.4 Knowledge Sharing through Publications				X	IPSTC	10,400
	Subtotal Output 1						**35,090**
Output 2: Enhanced capacities disaster	Activity 2.1.1: Training on disaster preparedness		X	X		IPSTC	43,670
	Activity 2.1.2: Introduction to maritime security and blue economy training		X	X		IPSTC	23,380

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[33] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[34] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.
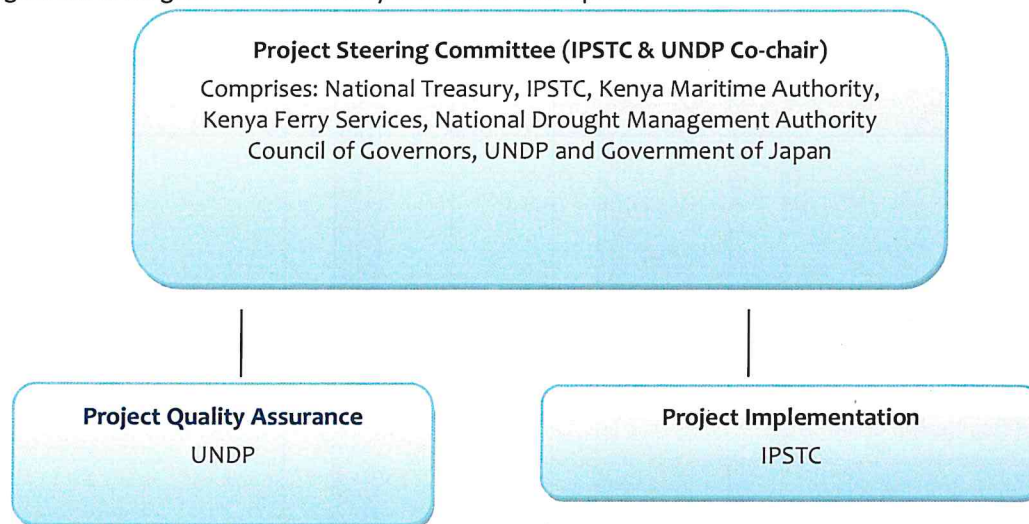
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preparedness	Activity 2.1.3: Integrated maritime security and blue economy		X	X		IPSTC	44,405
	Activity 2.1.4: Strategic maritime security training		X	X		IPSTC	29,025
	Subtotal Output 2						**140,480**
Output 3. Enhanced stakeholders capacities on disaster response	**Activity Result: 3.1. IPSTC's institutional capacity enhanced**						
	Activity 3.1.1. Disaster response managers training		X	X	X	IPSTC	45,795
	Activity 3.1.2 Integration of Gender in DRR		X	X	X	IPSTC	5,110
	Activity 3.1.3: Training on gender and DRR:		X	X	X	IPSTC	14,041
	Sub-Total for Output 3						**64,946**
Output 4: Community resilience to conflict and disasters strengthened	**Activity Result: 4.1. IPSTC's institutional capacity enhanced**						
	4.1.1 Develop and pilot online training modules	X	X	X	X	IPSTC	12,400
	4.1.2 Conduct professional training for 2 staff			X		IPSTC	14,600
	Activity 4.1.3. International Conference on Maritime Security and/or DRR			X		IPSTC	8,600
	Activity 4.1.4: JCCP Capacity Building Support to IPSTC	X	X	X	X	IPSTC	59,280
	Sub-Total 4						**94,880**
Output 5: Enhanced	Project Manager at IPSTC		X	X	X		41,472

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Programme Management				Amount
Project Accountant at IPSTC	X	X	X	23,640
Project Steering Committee	X	X	X	10,000
Visibility and communications	X	X	X	8000
Direct programme costs	X	X	X	37371
UNDP Global Policy Network Technical Assistance	X	X	X	2,500
Subtotal 5				122,983
Total Programming Costs				458,379
GMS (8%)				36,670
Total Project Budget (including GMS)				495,049
1% Coordination Levy				4,950
GRAND TOTAL				500,000

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VIII.   GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Project will be implemented through National Implementation Modality (NIM) with Ministry of Defence through IPSTC as the main Implementing Partner. Other national institutions may be incorporated during implementation based on the needs of the project. The coordination and implementation will be facilitated by UNDP and the Government through IPSTC. The strategic direction of the programme will be guided by a Team Leader, Environment, Climate Change and Resilience, backed up by Kenya Country Management Team (KCOMT). UNDP-Kenya Country Office will provide Programme Quality Assurance based on the project execution modality agreed in the Country Programme Document (CPD), and in close collaboration with the IPSTC. Figure 5 illustrates the management arrangement followed by a detailed description.

Project Steering Committee (IPSTC & UNDP Co-chair)
Comprises: National Treasury, IPSTC, Kenya Maritime Authority, Kenya Ferry Services, National Drought Management Authority Council of Governors, UNDP and Government of Japan

Project Quality Assurance
UNDP

Project Implementation
IPSTC

Project Steering Committee: The Project Steering Committee (PSC) is established as a national body responsible for overall leadership and policy guidance. The PSC will review and approve implementation plan before the project commences and will follow up on project implementation. The PSC will comprise of National Treasury, IPSTC, Kenya Maritime Authority, Kenya Ferry Services, National Drought Management Authority Council of Governors, UNDP and Government of Japan.

Project Quality Assurance: The Peace Building unit based in UNDP Country Office shall be responsible for coordination, monitoring, and reporting of project activities. It shall develop guidance under the leadership of the ERU Team Leader and Kenya Country Management Team to ensure quality assurance of project delivery. Specific role will include: a) ensuring *adherence* to the business case outlined in the project (on behalf of the PMB); b) monitoring the compliance with user needs and expectations; c) carrying out supply assurance through spot-check of deliverables and outputs; and d) reviewing the quality of deliverables.

Programme Management Structure – The Project Management structure will comprise of staff at IPSTC who will work in collaboration with technical line ministries and department to ensure effective coordination at national and county level. The Project staff will ensure the day-to-day management of the Project including delivery of project outputs as outlined in the project document; identification of and obtaining any support and advice required for effective management, planning, ensuring proper capture of project on budget and control of the project; reporting progress through regular updates (e.g. meeting, email briefing, etc.) and in IFMIS by liasing with Ministry of Defence Chief Finance Officer; and being responsible for project monitoring.

MONITORING AND EVALUATION PLAN

The Programme management team will elaborate an integrated monitoring and evaluation mechanism. Quarterly monitoring field visits and regular narrative and financial reports will be carried out in conformity with UNDP procedures as well as conforming to the agreement established with the donor. The country office will submit a mid-term and a final report to the Government of Japan; these reports will include narrative and financial reports.

The gender aware monitoring and evaluation process will use the quantitative and qualitative performance indicators detailed against each of the project objectives. The Programme Management unit and Project Steering Committee are responsible for project monitoring and for devising corrective action if required. The Programme Management Unit will ensure that lessons learnt in promoting gender equality and women's empowerment are captured.

Within the annual cycle, the following monitoring tools shall be used:

- Quarterly monitoring progress reports shall be submitted by the Project Management Unit to the PSC.
- Reports to the donor: a mid-term report and a final report which will include a narrative and financial report shall be submitted to the Government of Japan
- An Issue Log shall be updated regularly to facilitate tracking and resolution of potential problems or requests for changes;
- The Risk Log shall be regularly updated by reviewing the external environment that may affect the project implementation.
- A Lessons Learned Log shall be activated and regularly updated to ensure on-going learning and adaptation within the programme. The lessons will be shared nationally to also inform the implementation of other similar initiatives, and internationally to inform the global network on Disaster Risk Reduction.
- A Quality Log shall record progress towards the completion of activities.

PUBLICATION AND VISIBILITY

The project will take all appropriate measures to publicize the initiatives by the Government of Japan in supporting peacekeeping and peace building in Kenya. Appropriate publications for visibility will be produced. In addition, information given to the press and project beneficiaries, all related publicity materials, official notices report and publications, will acknowledge that the project was carried out with funding from the Government of Japan through UNDP. The project will also maintain the visibility of Japanese support where contribution by a Japanese expert is made.

IX   LEGAL CONTEXT AND RISK MANAGEMENT

LEGAL CONTEXT STANDARD CLAUSES

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Kenya and UNDP.   All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by Ministry of Defence through International Peace Support and Training Centre (IPSTC) ("Implementing Partner") in accordance with the Government of Kenya financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

RISK MANAGEMENT STANDARD CLAUSES

Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
    a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

4. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project Stakeholders are informed of and have access to the Accountability Mechanism.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

X   ANNEXES

Annex 1: JSB Questionaire

Q1. Will this project be audited?
Yes the project will be audited by external auditors under UNDP's annual audit cycle and Office of the Auditor General. In the absence of an audit, a financial spotcheck will be undertaken by an independent audit firm.
Q2. Will midterm and final reports of the project be prepared?
Yes. The project will prepare a mid-term and a final report documenting the achievement of the outputs and outcomes. The reports will be discussed by the Project Steering Committee where the Embassy of Japan will be represented to give input and comments before submission.
Q3. Will financial report of this project be prepared?
Yes. The project will prepare an interim and a final financial report and submit this to the Government of Japan (GoJ) through the Embassy.
Q4. Will any post-project evaluation be conducted?
No specific post-project evaluation is planned. However, the project will be evaluated under UNDP's Outcome Evaluation which covers all projects.
Q5. Is there institutional guideline regarding remaining fund? If any, how will the fund be dealt with?
Yes. There is institutional guideline regarding refund of remaining any remaining funds to the GoJ. This is contained in the Global-UNDP-Japan agreement.