PLAN VIVO

PV Climate

Project Idea Note

Eldoret – Iten Water Fund Project

Kenya's water towers & water Sub-catchments: Cherangani Hills, including Elgeyo Hills forest ecosystem, North Mau Forest ecosystem, and Sosiani River sub-catchment

PIN Version 5.1

PIN Template Version 1.4

24 April 2026

Developed by:

Eldoret - Iten Water Fund (EIWF) – Implemented by Eldoret Water and Sanitation Company (ELDOWAS) as Lead and The Nature Conservancy (TNC) as technical partner.

The Nature Conservancy

ELDOWAS
ELDORET WATER AND SANITATION COMPANY

PLAN VIVO

Contents

PLAN VIVO

OVERVIEW

Project Title:	Eldoret-Iten Water Fund (EIWF) project
Location:	Three of Kenya's water towers (catchment areas): The Cherangani Hills, North Mau, and the Elgeyo Hills and their adjacent farmlands and riparian buffer zones. The project site is located in Elgeyo County and Uasin Gishu County, Kenya. Figure 1 below shows the project region.
Project Coordinator:	Eldoret Water and Sanitation Company (ELDOWAS) +254 724 255 538 Email: info@eldowas.or.ke Website: www.eldowas.or.ke Project Manager Email. Stephen.kibet@tnc.org +254-723424704
Project Area:	The project intervention area spans about 120,000 ha, within which lie 10 protected forest areas, covering 85,138 ha in three of Kenya's water towers (catchment areas) at the start of the project: The Cherangani Hills, North Mau, and the Elgeyo Hills and adjacent farmlands and riparian zones covering 19,862 ha (see Figure 1).
Project Participants:	The producers in the EIWF carbon project are individual smallholder farmers implementing agroforestry systems, who hold recognized land use or tenure rights in the project area. Community Forest Associations (CFAs), and Water Resource Users Associations (WRUAs) that are registered local community associations with legal forest and land user rights as guided by the Forest Conservation and Management Act 2016 and Water Act 2016, respectively, will continue to serve as important institutional partners, supporting community mobilization, governance, and landscape-level coordination, but they will not act as carbon producers. Indigenous Peoples and Local Communities - IPLCs (the Sengwer, Cherangany, and Ogiek who originally were hunter and gatherers in the forests) are members of the associations. The project will include households living within EIWF five catchment areas of Moiben, Sabor, Two Rivers, Kipkaren, and Kesses.
Project Intervention(s):	**Component 1: Riparian restoration, agro-forestry, soil and water conservation** **(i) Riparian restoration*:*** • Establishing, demarcating, and securing buffer areas around wetlands, rivers, and other riparian reserve areas • Capacity building and environmental awareness creation • Water conservation and harvesting • Rehabilitating the riparian reserves • Developing access paths to rivers and drinking troughs for livestock **(ii) Agroforestry**: • Developing farm specific action plans to support implementation of sustainable land management practices at farm level.

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Supporting fruit tree production.
Promoting soil and water conservation
Advancing improved pasture production and zero grazing
Building capacity of communities in sustainable land management practices and orchard management

Component 2: Landscape Protection and Enabling Measures
The following are the specific interventions:

Sensitizing community members on the importance of riparian buffer zone and its protection, sustainable land management, destocking and improving livestock breeds and biodiversity conservation.
Promotion of improved livestock management practices, including zero grazing and pasture improvement, to reduce overgrazing and protect riparian buffers and agroforestry plots.
Advocating for stronger agricultural and forest conservation policies, enforcement of environmental laws, including local by-laws and sustainable land management practices.
Strengthening governance of local institutions
Securing forest and riparian buffer zones' boundaries to guard against encroachment
Conducting coherent knowledge management, monitoring, and evaluation

Component 3: Improved land use management
The intervention will entail the following:

Improving livelihoods by providing alternative income-generating activities to help reduce pressure on the forest ecosystems and riparian reserves.
Promoting ecotourism.

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<tr><td>Expected Benefits:</td><td>
A summary of potential carbon benefits of the proposed project activities is provided, showing maximum potential carbon benefits of 52.6 million tCO_2e for the 20-year project period. I.e. 3.2 million tCO_2e carbon benefits by removal of carbon emissions through riparian restoration, and agro-forestry, and 49.4 million tCO_2e carbon benefits by reducing carbon emissions through protection and prevention of forest ecosystem conversion or degradation and improvement of land use management (Table 1).

Table 1. Maximum potential carbon benefits from project activities over a 20-year period
<table>
<tr><th>Project Activity</th><th>Maximum Applicable Area (Ha)</th><th>Maximum Carbon Benefit*</th></tr>
<tr><td colspan="3">Component 1: Riparian restoration and agro-forestry</td></tr>
<tr><td>Riparian restoration (tree planting)</td><td>500 Ha</td><td>290,000 tCO_2e</td></tr>
<tr><td>Assisted Natural Regeneration (ANR) along riparian zones</td><td>5,000 Ha</td><td>1,890,000 tCO_2e</td></tr>
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	Agro-forestry – fruit farming	3,500 Ha	1,078,000 tCO_2e
	Agro-forestry – inter-planting trees with crops, pasture production, soil and water conservation		
	Component 2: Landscape Protection and Enabling Measures		
	Strengthened governance of local institutions	Avoided deforestation and forest degradation of 4,257 Ha per year	49,381,200 tCO_2e
	Advocacy and enforcement of relevant policies and regulations		
	Securing forest and riparian buffer zones' boundaries		
	Component 3: Improved land use management		
	Community livelihood improvement to reduce pressure on forests and natural resources		
	Promote ecotourism		

***NOTE:**

- Lower limit of carbon density was used to estimate the maximum carbon benefit as a way of discounting any possible leakages and risks.
- Community livelihood improvement will be measured beyond income by tracking a mix of indicators, including household monthly incomes, employment and diversification, reduced dependence on forest resources, food security, and social wellbeing.

Methodology:

PM002 – Methodology for Quantifying Carbon Benefits from Small-Scale Agroforestry, Version 1.0

The EIWF Carbon Project will estimate climate benefits using the Plan Vivo AFOLU methodology for agroforestry systems (PM002 – Methodology for Quantifying Carbon Benefits from Small-Scale Agroforestry, Version 1.0). Carbon sequestration will be quantified for above- and below-ground biomass, as well as soil organic carbon, based on baseline land-use assessments. Only carbon gains resulting from project-implemented trees and practices will be counted to ensure additionality.

PM001 – Agriculture & Forestry Carbon Benefit Assessment Methodology (Version 1.0)

Where appropriate, broader guidance from PM001 – Agriculture & Forestry Carbon Benefit Assessment Methodology (Version 1.0) may also be applied to support carbon accounting. Detailed growth models, species-specific parameters, monitoring protocols, and MRV procedures will be developed and documented in the Technical Specifications and PDD, ensuring verifiable, Plan Vivo–compliant carbon accounting.

PIN Version:	5.1
Date Approved:	24th April 2026

1 General Information

1.1 Project Interventions

Table 1.1 – Project Interventions

<table>
<tr><th>Intervention Type</th><th>Project Intervention</th><th>Expected Benefits</th></tr>
<tr><td>Riparian restoration, agro-forestry, soil, and water conservation</td><td>Riparian restoration within riparian reserves
Active restoration (tree planting) will be done in highly degraded riparian buffer areas where about 15,075ha are reported highly degraded in the project area. These as areas where tree canopy cover loss has been more than 40%, where density of naturally regenerated tree seedlings is not adequate for assisted natural regeneration (ANR) activities.
Assisted Natural Regeneration (ANR) will be done in areas that have been destroyed by fire, mining, logging, and those that have been overgrazed or areas where tree canopy cover loss has been between 20% and 40%.
Passive or natural regeneration in the degraded parts of the forest ecosystem in areas with remnant forest cover where density of naturally regenerated tree seedlings is adequate, or areas where density of naturally regenerated tree seedlings is adequate and where tree canopy cover loss has been less than 20%.</td><td>Maximum potential carbon benefits of 52.6 million tCO_2e from project activities over a 20-year period:<table><tr><th>Project activity & Maximum applicable area</th><th>Maximum Carbon Benefit*</th></tr><tr><td>Riparian restoration (tree planting), covering 500ha of degraded riparian buffers</td><td>290,000 tCO_2e</td></tr><tr><td>ANR along 5,000ha of riparian buffers</td><td>1,890,000 tCO_2e</td></tr></table>*NOTE: Lower limit of carbon density was used to estimate the maximum carbon benefit as a way of discounting any possible leakages and risks</td></tr>
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	The intervention will entail the following: **(i) Riparian restoration within riparian reserves** • **Establishment, demarcation and securing of buffer areas around wetlands, rivers and other riparian reserve areas.** The project area is characterised by many wetlands and crisscrossing rivers whose riparian buffers are open. This has led to a lot of soil erosion and siltation of the wetlands, rivers, and dams. Demarcation through surveying and fencing off the buffer zones will assist in securing them against encroachment. Riparian buffer zones to be secured include the rivers, streams, wetlands/ swamps, spring heads, dams. • **Capacity building.** Capacities of the Water Resource Authority, WRUAs, individual smallholder farmers and other relevant stakeholders need to be built for catchment conservation and protection.	

	• **Water conservation and harvesting.** This will be done through construction/ repair of dams and water pans and promotion of roof-water harvesting in schools and homesteads. • **Rehabilitation of the riparian reserves.** The secured riparian buffers will be rehabilitated through planting of indigenous trees, bamboos spp. and other water-friendly trees. • **Carrying out an environmental awareness.** The negative attitudes of local communities about the riparian buffer zones that are in their private farmlands need to be changed. This would help in influencing the land uses of the riparian buffer areas towards their sustainable use. Awareness creation is also needed for tree owners to remove the water unfriendly eucalyptus trees on all spring heads feeding the rivers, riparian areas and wetland zones.	

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- **Developing access paths to rivers for livestock:** Watering of livestock in rivers, wetlands and dams is one of the main causes of soil erosion. access paths and drinking troughs for the livestock would help address this challenge.

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Agroforestry and soil and water conservation
Agroforestry has potential in the area due to favourable weather conditions, availability of organized groups that can engage in tree nurseries and tree planting, complementarities of tree growing with other crops grown in the area, and available technical support from extension agents. The existing agro-forestry groups face the following challenges: Lack of finances for expansion; lack of adequate information on the type of trees to use for agro-forestry; lack of information on how to incorporate agro-forestry with other crops; and lack of a proper marketing strategy for agro-forestry products. The most common and preferred fruit trees are mango *(Mangifela indica),* avocado *(Persea americana),* orange and macadamia. Local community members/smallholder farmers who are interested in agroforestry in the landscape will be selected

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Project activity & Maximum applicable area	**Maximum Carbon Benefit***
Agro forestry (fruit farming & inter-planting trees with crops, pasture production; soil and water conservation), covering 3,500ha	1,078,000 tCO_2e

***NOTE:** Lower limit of carbon density was used to estimate the maximum carbon benefit as a way of discounting any possible leakages and risks

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	and supported to initiate agroforestry and soil conservation in their farmlands and serve as demonstration farms for replication in other neighbouring farmlands. The selection of local communities for agroforestry in the landscape will follow a participatory, transparent, and inclusive process. Site-level meetings will be held to inform stakeholders on eligibility criteria and support the farmers to prepare farm-specific action plans. Free, Prior and Informed Consent (FPIC) and an Indigenous Peoples' Action Plan will guide equitable engagement of IPLCs. Further meetings will be held to develop an inclusive stakeholder engagement strategy. Specific interventions will entail the following: • **Support in fruit tree production.** Fruit trees have an enormous potential of permanence as a carbon sink since once the fruit trees are planted, the tree is exclusively left standing for fruit production and never cut down. • **Promotion of soil and water conservation.** This would be implemented through laying of	

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<td>soil conservation structures, like terraces, to prevent soil erosion and siltation of rivers and dams.
• Promotion of pasture production and zero grazing. Smallholder farmers would need to be supported in pasture production and zero grazing in selected farmlands that would serve as demonstration sites for replication in other neighbouring farmlands.</td>
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<tr>
<td>Landscape Protection and Enabling Measures</td>
<td>Riparian protection is targeted at ensuring that riparian buffer zones are not destroyed by human activities, animals, fires, pests and diseases. Riparian buffer zones in the project area face pressures such as cultivation encroachment, uncontrolled livestock access, sand harvesting, fuelwood extraction, and riverbank destabilization. These activities lead to vegetation loss, soil erosion, sedimentation, and declining ecosystem functions. Degradation reduces tree biomass and soil carbon stocks while worsening water quality and increasing flood and drought risks. Rotich and Ojwang (2021) reported on forest loss of 393.8 ha per year in the project area. At the minimal carbon density</td>
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<table>
<tr><th>Project activity & Maximum applicable area</th><th>Maximum Carbon Benefit*</th></tr>
<tr><td colspan="2">Avoided deforestation and forest degradation of 4,257 Ha per year through the following activities</td></tr>
<tr><td>Strengthened governance of local institutions</td><td rowspan="3">49,381,200 tCO_2e</td></tr>
<tr><td>Advocacy and enforcement of relevant policies and regulations</td></tr>
<tr><td>Securing forest and riparian buffer zones’ boundaries</td></tr>
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*NOTE: Lower limit of carbon density was used to estimate the maximum carbon benefit as a way of discounting any possible leakages and risks
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	rate of 580 tCO2e/ha that means the potential emission reductions from avoided deforestation and riparian degradation amounts to 228,404 tCO2e per year. It is therefore crucial and cheaper to protect and prevent deforestation and riparian degradation than to undertake forest restoration once the damage is done. The following are the specific interventions: • **Sensitize community members**. Local community members and institutions would need to be sensitized on importance of riparian buffer zones' protection, sustainable land management, destocking and improving livestock breeds and biodiversity conservation. • **Advocacy.** The government agencies need to be put on checks and balances towards delivery of their development pledges and delivering on their mandates to local community members. This would be done through involvement of the local institutions	

	like CFAs and WRUAs. • **Strengthening governance of local institutions.** Weak law enforcement poses high risks of encroachment, degradation, and illegal water abstraction. The advocacy efforts, capacity building and partnership would galvanize the government agencies to play their roles of law enforcement. • **Securing forest and riparian boundaries**. Cultivation encroachment, uncontrolled livestock access, sand harvesting, fuelwood extraction, and riverbank destabilization have been the main drivers of forest and riparian encroachment. Fencing of riparian buffers will be done to reduce uncontrolled livestock access, prevent riverbank erosion, and support vegetation recovery. In cases where fencing may negatively affect biodiversity mobility or human access, alternative measures such as	

	live vegetative barriers, designated access paths, or community-managed use regulations will be adopted in order to balance ecosystem protection, carbon permanence, biodiversity conservation, and equitable water access. • **Monitoring and evaluation.** Conduct coherent knowledge management, monitoring and evaluation, so as to prepare the enabling environment to inform policy and decision making in favor of integrated natural resource management.	
Improved land use management	The settlements bordering the forest blocks have rich agricultural potential, where crop cultivation and livestock keeping are the most important economic activities. Mixed plantations of maize, finger millet, and potatoes are the main food crops grown. Improved agricultural practices must be enhanced in the households adjacent to the forest given the central role it plays in the economy of these areas. Under this program, proposed interventions should be geared towards enhancing the productivity of the	The Maximum Carbon Benefit is as captured under the 2nd component on protection and prevention of forest ecosystem conversion or degradation

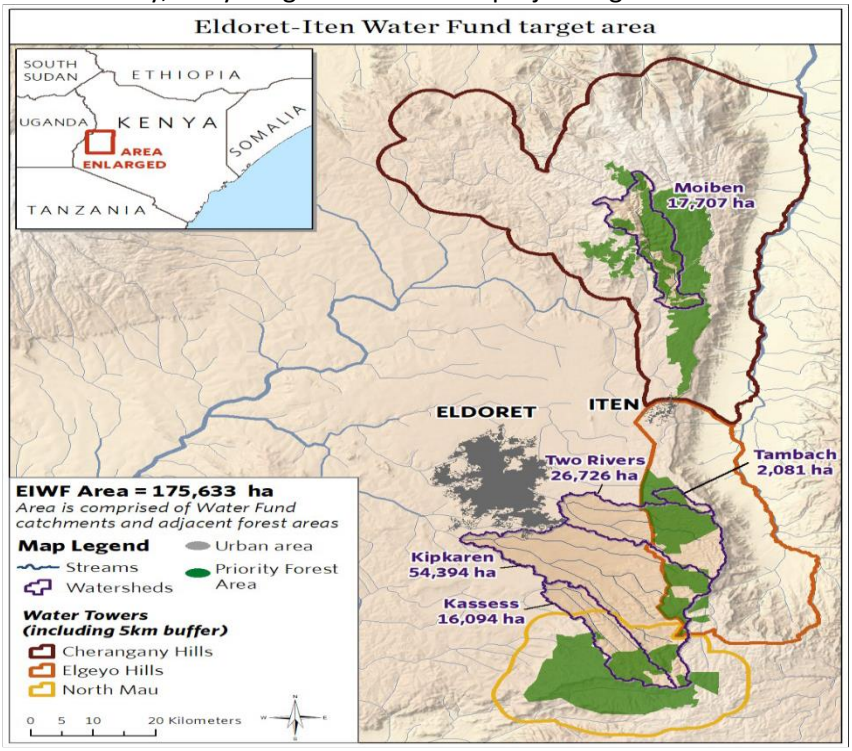
	main crops grown and livestock reared. These include promoting farm forestry to provide for alternative tree products and services to ease the pressure exerted on natural forests for the same. Tree planting in farms will be extensively used in mitigating surface run offs which is the main cause for accelerated loss of rich topsoil suitable for agricultural production. Other interventions entail improving marketing of the respective products and promoting a micro-finance culture that will enable access to save and credit facilities. The intervention will entail the following: • **Livelihood improvement.** It is important to promote diversification of nature-based enterprises like tree seedlings production, beekeeping, ecotourism, production of energy efficient cookstoves for own use and for sale, adoption of biogas plants, regenerative agriculture, fish-farming, etc. This would provide alternative means of livelihoods and reduce pressure on the forest ecosystems and	

	riparian reserves. The livelihood improvement will be measured beyond income by tracking a mix of indicators, including household monthly incomes, employment and diversification, reduced dependence on forest resources, food security, and social wellbeing. • **Promote ecotourism.** Mapping needs to be done for ecotourism attraction sites and cultural sites with special features. The areas/zones must have unique biodiversity; historical significance; traditional ritual rights, sacred grooves, shrines, etc. During the prefeasibility study, the local communities listed and expressed much interest in participating in ecotourism after being explained on the benefits and likely threats of the enterprise, such as cultural disruption due to exposure of the sacred sites to tourists, and likely habitats disturbance in	

	cases of poorly managed tourism. The project area has strong ecotourism potential, including forest and mountain activities (trekking, bird watching, camping), river-based tourism (eco-lodges, river walks, sport fishing), cultural experiences (homestays, crafts, storytelling), and adventure/sports tourism (paragliding, rock climbing, and athletics linked to Iten's "Home of Champions" reputation).	

1.2 Project Boundaries

Table 1.2 Project Boundaries

Location:	Three of Kenya's water towers (catchment areas): The Cherangani Hills, North Mau, and the Elgeyo Hills. The project site in located in Elgeyo County and Uasin Gishu County, Kenya. Figure 1 shows the project region.  **Figure 1. Eldoret Iten Water Fund project area**
Project Region(s):	The total project intervention area is 231,593 ha, which is comprised of 110,181.30 ha of Cherangani Forest ecosystem; 24,197.79 ha of North Mau Forest ecosystem; and 97,214 ha of Sosiani River sub-catchment: • The Cherangani Hills ecosystem forest cuts across several counties, namely Trans-Nzoia (1,551.6 ha), West Pokot (34,380 ha) and Elgeyo-Marakwet (74,249.7 ha) totaling 110,181.30 ha. • The North Mau Forest ecosystem is comprised of Nabkoi, Serengoni and Cengalo forest ecosystems, covering 7,598.29ha, 11,578 ha, and 5,021.5 ha, respectively. • The Sosiani river sub-catchment spans to about 97,214 ha. However, the pilot project area is about 120,000 ha, within which lie 10 protected forest areas, covering 85,138 ha (Figure 1).
Project Area(s):	

1. Area of degraded agricultural land restored	15,000
2. Area of landscapes under improved management to benefit biodiversity	5,862
3. Area of landscapes under sustainable land management in production systems	10,000
4. Terrestrial protected areas created or under improved management for conservation and sustainable use	85,138
5. Wetlands that are restored through the implementation of green infrastructure	500

	6. Area of degraded riparian land where sustainable forest management measures are implemented	3,500
	Total Area	120,000

Protected Areas:

The Cherangani hills ecosystem comprises of various forest blocks whose initial proclamations/ gazettement were effected as indicated in Table 1.3.

Table 1.3. Gazetted forest blocks of Cherangani forest ecosystem

County Forest Block	Forest Block	Proclamation/ Legal Notice No.
Trans-Nzoia	Kapolet	57/1941
Elgeyo-Marakwet	Cheboyit	102/1941
	Chemurkoi	102/1941
	Embobut	26/1954
	Kaisungor	102/1941
	Kererr	26/1954
	Kipkunurr	102/1941
	Kiptaberr	49/1967
	Sogotio	102/1941
	Toropket	102/1941
West Pokot	Kapkanyar	49/1967
	Lelan	128/1958

Cherangani Hills and all other forests established under proclamation were later declared Central Government forests vide Legal Notice No. 174 of 1964.

1.3 Land and Carbon Rights

The carbon project will be implemented on privately held farmlands within the defined catchments. Land tenure in these areas is secured through individual land title deeds, customary tenure arrangements, or legally recognized land-use rights. The farmlands and the riparian lands are owned by individual people, majority of them being local community members, and smallholder farmers. The riparian zones which in most cases fall within private farmlands have restricted usage through the Water Act 2016 and are co-managed by Water Resource Users Associations (WRUAs). IPLCs (the Cherangany, Sengwer, and Ogieks who originally were hunters and gatherers in the forests) are members of both associations.

Water Sub-catchment Agreements assign carbon rights to riparian communities while land title deeds grant rights of land usage to private landowners, the carbon project will establish formal project agreements between the Project Coordinator and each participating farmer/community group. These agreements will clearly spell out ownership, transfer rights, and the Project Coordinator's mandate to sell Plan Vivo Certificates (PVCs) on behalf of participants. This will ensure legal clarity, transparency, and equitable recognition of carbon rights at the household and community level.

On the other hand, pertaining to benefit-sharing, the project will, develop a carbon revenue-sharing framework with stakeholders. This framework will define the proportions of revenues allocated to individual farmers, community projects (e.g., schools, water infrastructure), project management, and reinvestment in conservation. The process will be participatory, gender-sensitive, and transparent, with provisions for periodic review and community validation to ensure fairness and sustainability

2 Stakeholder Engagement

2.1 Stakeholder Identification

The EIWF carbon project is a Public-Private-Partnership that aims to promote sustainable natural resources management, strengthen the enabling environment for transformational change in the smallholder production sector, and adopt water funds as a tool for sustainable financing in areas upstream from the towns of Eldoret and Iten. It therefore partners with government agencies, private sector, and local community groups, including IPLCs from the project intervention area. Described below are the main stakeholder groups that could influence or be affected by the project.

Government stakeholders (These are primary stakeholders to the project)
The primary government stakeholders for the project include national and county institutions with mandates over climate change, water resources, land use, and environmental management. At the national level, the Ministry of Environment, Climate Change and Forestry provides policy oversight on climate change and carbon markets, Ministry of Agriculture, Water Resources Authority (WRA) and National Environment Management Authority (NEMA). At the subnational level, the County Government of Uasin Gishu and the County Government of Elgeyo-Marakwet support land-use planning, agricultural extension services, and local implementation.

Government stakeholders (These are secondary stakeholders to the project)
The carbon project involves both national government agencies and county governments. The main government agencies involved are Kenya Forest Service (KFS), Kenya Wildlife Service (KWS), Kenya Forestry Research Institute (KEFRI), Kenya Water Towers Agency (KWTA), Ministry of Water and Irrigation, Ministry of Interior and Coordination of National Services, Ministry of Lands, and University of Eldoret.

Private sector stakeholders (These are secondary stakeholders to the project)
A wide range of private sector operators are active and have expressed a keen interest to participate. These include Coca Cola, Kenya Chamber of Commerce and the Kenya Association of Manufacturers, members in water and food processing, hotels and tourism, transporters, and timber processers. The Nature Conservancy (TNC) has developed a private sector engagement plan for the Eldoret-Iten Water Fund aiming at attracting their participation in the Fund. Private-Sector entities are selected and approached according to their respective roles in water utilization, the impact of their activities in the watersheds and/or their potential role in improving the current situation toward sustainable use.

Local Communities and CSOs (These are local stakeholders to the project)
The indigenous Sengwer, Cherangany, and Ogiek people living within the project area would actively participate and benefit from project activities. As forest-dependent people, they have a keen interest in preserving the natural resource they depend upon and the project will protect important water sources, restore and replant trees of relevance for the indigenous people's traditional herbal medicine and expand on beekeeping in the catchments; honey being a significant part of their life and diet. As agreed, upon with Sengwer, Cherangany, and Ogiek representatives, the project engaged with each of the three communities leading to signing of free, prior informed consent (FPIC) and development of indigenous peoples action plan for their engagement in project activities. Both TNC and IFAD have policies for engagement with indigenous peoples, emphasizing their ownership, access to and rights on natural resources and FPIC for any project activities.

Small-holder farmers (These are local stakeholders to the project)

The project will engage with and support smallholder farmers in the targeted catchments to adopt climate-smart sustainable land management practices, increasing food security and climate adaptation potential at the household level and restoring and conserving ecosystem services of the targeted areas. This includes collaboration with community-based associations, such as Water Resource User Associations. Through its broad-based partnership network, the project will provide an opportunity for multi-stakeholder and multi-scale collaboration in the targeted watersheds. Its good practices will serve as guidance for upscaling in other watersheds and for policy development in the ongoing devolution process of Kenya

2.2 Project Coordination and Management

Table 2.2 Responsibility for Project Coordination and Management Functions

Project Coordination and Management Function	Responsible Party/Parties
Stakeholder engagement during project development and implementation	Consultant, ELDOWAS, TNC
Ensuring conformance with the Plan Vivo Carbon Standard (PV Climate) and compliance with applicable policies, laws and regulations	ELDOWAS, TNC
Developing technical specifications, land management plans and project agreements with project participants	Consultant, ELDOWAS, TNC
Ensuring that the PDD is updated with any changes to the project	ELDOWAS, TNC
Registration and recording of land management plans, project agreements, monitoring results, and sales agreements	ELDOWAS, TNC, KFS, WRA
Managing project finances and dispersal of income to project participants as described by the benefit sharing mechanism	ELDOWAS, TNC
Managing Plan Vivo Certificates in the Plan Vivo Registry	ELDOWAS (Project Coordinator)
Preparing annual reports and coordinating validation and verification events	ELDOWAS, TNC
Securing certificate sales and other means of funding the project	ELDOWAS, TNC
Assisting project participants to secure any legal or regulatory permissions required to carry out the project	Consultant, ELDOWAS, TNC, KFS, WRA
Providing technical assistance and capacity building required for project participants to implement project interventions	Consultant, KFS, KEFRI, WRA, ELDOWAS, TNC, University of Eldoret, Moi University
Monitoring progress indicators, livelihood indicators and ecosystem indicators and providing ongoing support to project participants	ELDOWAS, TNC, Consultant, KFS, WRA, CFAs, WRUAs, Eldoret University, Moi University
Measurement, reporting and verification of carbon benefits	ELDOWAS, TNC, KFS, WRA, Moi University

**The organization appearing first in the list in each management function is the lead organization of that management function.

Experience of the Project Coordinator and other Organizations listed in Table 2.2 is highlighted in Table 2.3.

Table 2.3: Experience of Project Coordinator and other Organizations

Institution	Relevancy to Carbon project development
Eldoret Water and Sanitation Company (ELDOWAS)	The carbon project is coordinated by ELDOWAS, which is a government agency entrusted and highly experienced in water sources development, water abstraction, treatment and distribution in the EIWF project intervention area. ELDOWAS was also the first water service provider in Kenya to attain certification in International Quality Management Standards, ISO 9001:2008.
The Nature Conservancy (TNC)	With more than 20 years of experience in pioneering Natural Climate Solutions and carbon projects around the world, TNC is uniquely positioned to understand this evolution and use its experience to advance best practices.
Kenya Forest Service (KFS)	KFS is in-charge and highly experienced in forest policy implementation, management and protection of gazetted forests reserves, management of forest plantations, and promotion of on-farm forestry and ecotourism.
Ministry of Water and Irrigation and Water Resource Authority (WRA)	Mandated and experienced government agency in water conservation, awareness creation, protection and conservation of water catchment areas, promotion of irrigation, and coordination of water trust fund
Kenya Wildlife Service (KWS)	Government agency that is experienced and in-charge of wildlife policy implementation, and protection of wildlife and their habitats
Kenya Forestry Research Institute (KEFRI)	Mandated and experienced government agency in research for sustainable development of forests and allied natural resources
University of Eldoret	State university that is highly experienced in conducting research and capacity building on a wide array of thematic areas, including climate change, carbon trading, and other environmental related thematic areas.
Moi University	State university that is highly experienced in conducting research and capacity building on a wide array of thematic areas, including climate change, carbon trading and other environmental related thematic areas.

2.3 Project Participants

Table 2.4: Types of project participants and interventions

Intervention Type	Project Intervention	Project participants
Riparian restoration, agro-forestry, soil and water conservation	**Riparian restoration:** • Establishment, demarcation and securing of buffer areas around wetlands, rivers, and	• Water Resource Users Associations (WRUAs) for the following sub-catchments: Upper Sosiani, Middle Sosiani, Lower Sosiani • Individual smallholder farmers that are private landowners within the landscape whose lands have riparian buffer zones (rivers, streams, wetlands, spring heads).

	other riparian reserve areas • Capacity building and environmental awareness creation • Water conservation and harvesting • Rehabilitation of the riparian reserves • Development of access paths to rivers and drinking troughs for livestock	
	Agroforestry: • Support in fruit tree production • Promotion of soil and water conservation • Promotion of pasture production and zero grazing	Individual smallholder farmers owning private farmlands, practicing crop farming, livestock production, etc of about 30,000 households The 30,000 households that the project will engage will represent adjacent to 11 target forest stations through Community Forest Associations (CFAs), each representing about 2,000 – 3,000 households in forest-adjacent communities. It will also include Indigenous Peoples and Local Communities (IPLCs), specifically the Sengwer (about 2,000 households in Cherangani, Cheptongei, Embobut), Cherangany (about 1,500 households in Cherangani, Cheptongei), and Ogiek (about 1,000 households in Nabkoi). These IPLCs, recognized as vulnerable and marginalized, will be engaged through Free, Prior and Informed Consent (FPIC) and an Indigenous Peoples' Action Plan (IPAP) to safeguard their rights, ensure cultural respect, and guarantee equitable participation and benefit-sharing.
Landscape Protection and Enabling Measures	• Sensitizing community members on the importance of riparian buffer zone and its protection, sustainable land management,	• *Individual landowners adjacent to the 11 target forest stations (Nabkoi, Kaptagat, Kessup, Elgeyo, Cheptongei, Cherangani, Embobut (*Chesoi forest station & Kapyego forest station*), Sabor, Penon, Kipkabus) • **Cherangany IPLCs in Cherangany forest station, Cheptongei forest station. • **Sengwer IPLCs in Cherangani forest station, Cheptongei forest station and Embobut forest station • **Ogieks IPLCs in Nabkoi forest station

	destocking and improving livestock breeds and biodiversity conservation. • Promotion of improved livestock management practices, including zero grazing and pasture improvement, to reduce overgrazing and protect riparian buffers and agroforestry plots. • Advocacy • Strengthening governance of local institutions • Securing forest and riparian buffer zones' boundaries to guard against encroachment • Conducting coherent knowledge management, monitoring and evaluation	
Improved land use management	• Livelihood improvement to provide alternative means of livelihoods and reduce pressure on the forest ecosystems	• KFS – Government agency in-charge of management of state forests • WRA – Government agency in-charge of management of water resources • * Individual landowners adjacent to the 11 target forest stations (Nabkoi, Kaptagat, Kessup, Elgeyo, Cheptongei, Cherangani, Embobut (*Chesoi forest station & Kapyego forest station*), Sabor, Penon, Kipkabus)

	and riparian reserves • Promoting ecotourism	• **Sengwer IPLCs in Cherangani forest station, Cheptongei forest station and Embobut forest station • **Cherangany IPLCs in Cherangany forest station, Cheptongei forest station • **Ogieks IPLCs in Nabkoi forest station • WRUAs for the following sub-catchments: Upper Sosiani, Middle Sosiani, Lower Sosiani • Individual smallholder farmers owning private farmlands, practicing crop farming, livestock production, etc of about 30,000 households. • Individual smallholder farmers that are private landowners within the landscape whose lands have riparian buffer zones (rivers, streams, wetlands, spring heads).

**Cherangany, Sengwer, and Ogieks are IPLCs that historically lived inside the forests but were later relocated by the national government of Kenya to alternative lands outside of the forests. The IPLCs are members of the CFAs, and they have representatives in the CFA decision-making CFA committees.

In conclusion, all potential project participants are resident within the project area.

2.4 Participatory Design

Stakeholders were identified and engaged during the stakeholder engagement physical meetings held. However, further identification of key stakeholders will be guided by the project goal, objectives, expected outcomes, defined project area maps, project boundaries, and government planning documents. The identification will consider the various categories of government agencies, private organizations, local communities, indigenous peoples, and smallholder farmers in the defined project intervention area. A stakeholders engagement strategy will be developed. The strategy will ensure gender equality for a balanced representation of men, women, youth, ethnic groups, and religions representatives in the project sites.

A Free, Prior and Informed Consent (FPIC) exercise and an indigenous peoples' Action Plan has been developed to guide on engagement of the IPLCs. Attention will also be paid to ensuring that mainstreaming themes such as gender, women and youth empowerment, the poor, and vulnerable are well addressed through the proposed activities.

2.5 FPIC Process

Given that the Cherangany, Sengwer and Ogieks who are indigenous peoples are found in the two catchments of Cherangani and North Mau Forest ecosystems, respectively, the project has undertaken a Free, Prior and Informed Consent (FPIC) exercise and developed an indigenous peoples Action Plan to guide their engagement in the project. The process of undertaking FPIC involved well-recorded consultations, including community meetings, workshops, and focus group discussions. Consent was documented through signed attendance registers, meeting minutes, and photographic records. An Indigenous Peoples Action Plan (IPAP) was developed to guide ongoing engagement. In cases where concerns were raised, these were addressed through

dialogue and adjustments to the project design, ensuring that participation remained entirely voluntary. Supporting documentation, including FPIC reports and agreements.

3 Project Design

3.1 Baseline Scenario

Elgeyo Marakwet County lacks a spatial land use plan. However, consultation with the Elgeyo Marakwet County Integrated Development Plan (CIDP II), 2018 – 2022, shows that there are three major land ownership categories within the county namely Private, Public and Community land. Private land ownership is majorly in the agriculturally rich highlands and parts of the escarpment that have fair terrain that supports agricultural activities. Public land entails mostly gazetted forests within the county, while public institutional lands and urban areas are scattered all over the county. Community land is majorly in the Kerio Valley where adjudication has not taken place.

The project intervention area is faced with deforestation and forest degradation. This is caused by commercial and illegal logging, forest encroachment, and overgrazing which has led to the destruction of natural vegetation, leading to soil erosion and siltation of rivers and water reservoirs. These land uses and drivers are bound to continue being sustained, resulting in further deforestation and forest degradation if there will be no interventions by a carbon project. The land cover types and baseline scenarios under which the potential project activities could be applied are described in Table 2.4.

Table 2.4. Baseline scenarios

Project Activity	**Applicable Land Cover Type**	**Likely Baseline Scenario***
Component 1: Riparian restoration, agro forestry		
Riparian restoration	Degraded parts of the riparian zones of wetlands, rivers, streams, dams, where tree canopy cover loss has been more than 40%, where density of naturally regenerated tree seedlings is not adequate for assisted natural regeneration (ANR) activities	Riparian restoration activities should target degraded areas of wetlands, rivers, streams, and dams that would not regenerate without the project, either because they lack the capacity for natural regeneration, or because the drivers of degradation would continue to affect these areas. In areas that meet these conditions, it would be conservative to assume no change in pre-project carbon stocks under the baseline scenario.
Assisted Natural Regeneration (ANR) along riparian zones	Areas that have been destroyed by logging, overgrazing, cattle tracks and other livestock or areas where tree canopy cover loss is between 20% and 40%	
Agro-forestry – fruit farming	Peri and rural urban farmlands	Agroforestry activities should target existing farmlands with conventional annual cropping systems and limited tree planting. Under these conditions no significant increase in woody biomass or soil organic carbon would be
Agro-forestry – inter-planting trees with crops, and pasture production; soil and water conservation		

		expected under the baseline scenario.
Component 2: Landscape Protection and Enabling Measures		
Strengthened governance of local institutions	Peri and rural urban farmlands	Continued conventional annual cropping and open grazing on smallholder farmlands, characterized by low tree density and limited adoption of structured agroforestry systems. Tree planting remains sporadic and primarily for subsistence purposes, with no systematic expansion of woody biomass. Ongoing continuous cultivation, crop residue removal, and soil erosion contribute to stagnant or gradually declining soil organic carbon levels. In the absence of project intervention, no significant or measurable increase in above- or below-ground carbon stocks is expected over the crediting period.
Advocacy and enforcement of relevant policies and regulations		
Securing forest and riparian buffer zones' boundaries		
Component 3: Improved land use management		
Community livelihood improvement to reduce pressure on forests and natural resources	All forested areas and landscapes within the proposed project area.	Continued deforestation and forest degradation driven by lack of alternative means of livelihoods and increasing levels of unemployment
Promote ecotourism		

* Determination of the baseline scenario for each project area would need to be determined using the approach described in the selected methodology.

3.2 Livelihood Baseline

There are two local stakeholder groups as described in Section 2.1 above: (i) Local community and CSOs and (ii) Small-holder farmers. Their livelihood status prior to the start of the project and how their livelihood status is expected to change under the baseline scenario are similar, as described in Table 3.1.

Table 3.1. Livelihood status and Likely baseline scenario

Livelihood Status[1]	Likely Baseline Scenario**
Population Density & Distribution - There is an average population density of 166 persons per km^2, wherefore the highest population density of 185 persons per km^2 is around the sub-counties along the highlands, around the forests ecosystems, thus having favourable climatic conditions; while the sub-counties in the lower lands had the lowest population density at 136 persons per km^2.	• Continued deforestation and forest degradation driven by lack of alternative means of livelihoods and increasing levels of unemployment. • Agroforestry activities should target existing farmlands with conventional annual cropping systems and limited tree planting. Under these conditions no significant increase in woody biomass or soil organic carbon would be expected under the baseline scenario.
Land ownership categories - There are three major land ownership categories within the county namely Private, Public, and Community land. Private land ownership is majorly in the agriculturally rich highlands and parts of the escarpment that have fair terrain that supports agricultural activities. Public land entails most gazette forests and public institutional lands and urban areas. Community land is majorly in the Kerio Valley where adjudication has not taken place.	
Mean holding land size - The average holding size for land in the highlands is approximately 0.4 Ha per household whereas in the escarpment is about 0.2 Ha.	
Energy access - The main sources of household cooking energy in the county are firewood, charcoal, and paraffin. The renewable energy share in the total energy consumption is quite negligible: the population with primary reliance on clean fuels, such as solar energy and biogas, is less than 1%.	
Crops and fruit trees produced • About 25% of the population experience seasonal food insecurity caused by over-reliance on rain-fed agricultural production coupled with poor storage and distribution systems. • Major food crops include maize, beans, wheat, bananas, green grams, groundnuts, sorghum, millet, and cowpeas. • Main fruit trees include avocado, passion, and mangoes.	
Acreage under food and cash crops - Total acreage under crop production by 2017 was 64,100 ha *(48,490ha under food crops; 15,610 hectares under cash crops)* with yields of about 1,288 tons *(1,059 tons of food crops and 229 tons of cash crops).*	
Average farm sizes - Averaging 2.08 hectares. The small-scale farmers own an average of 1.36 ha while the large-scale farmers own 17.3 ha.	
Livestock breeds and facilities - Average dairy farm size is 1.7ha with average milk production per cow per day of 4 litres.	

1chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://maarifa.cog.go.ke/sites/default/files/2022-08/CIDP%20-%20Elgeyo%20Marakwet%20-%202018%20-%202022.pdf

Apiculture (Beekeeping) - There are about 53,000 indigenous log hives, 1,000 Kenya Top Bar (KTB) and 950 langstroth hives. The average yield is 20kg, 10kg and 5 kg of raw honey per year per hive for langstroth, KTB and indigenous, respectively.	
Fishing activities - Annual estimated yield realized is 5.6 tons valued at Kshs 3.7 million. The main fish types reared are tilapia, mudfish, and trout.	
Agroforestry - Planting configurations adopted by farmers include boundary planting, woodlot establishment, roadside planting, and plantation establishment.	
Tourism - The total bed capacity currently stands at about 300 which are still insufficient to meet the demand at peak seasons. About 23,650 tourists visit various tourist sites in the project site annually with Rimoi National Park having 3,150 and other areas attracting 20,500 persons, annually.	
Water sources and Access - The average walking distance to the nearest water points is 2.5 kilometres.	

3.3 Ecosystem Baseline

Table 3.2. Ecosystem Baseline

Project Region	Ecological Conditions / Status	Likely Baseline Scenario**
Cherangani Hills landscape (farm & riparian interface)	• Project intervention areas are primarily smallholder farmlands and adjacent riparian buffer zones within the wider Cherangani landscape. • The smallholder cultivation on sloping land in North Rift highlands is associated with elevated soil erosion and sediment export where vegetation cover is reduced (Recha et al., 2012)[2]. • Agricultural land use contributes significantly higher sediment loads to streams compared to	• Continued dominance of conventional annual cropping systems on sloping land with limited tree integration. • Persistent soil erosion and sediment export due to low vegetative cover and absence of structured soil and water conservation measures. • Riparian zones remain partially cultivated or grazed, with weak enforcement of buffer protection regulations. • No systematic increase in above-ground woody biomass on farms. • Soil organic carbon stocks remain stable at low

2 Recha, J. W., Lehmann, J., Walter, M. T., Pell, A., Verchot, L., & Johnson, M. (2012). Stream discharge in tropical headwater catchments as a result of forest conversion to agriculture. Hydrology and Earth System Sciences, 16(9), 3435–3449. https://doi.org/10.5194/hess-16-3435-2012

	forested land due to exposed soils and runoff processes (Wilkinson et al., 2009)[3]. • Removal or degradation of riparian vegetation reduces bank stability and filtration capacity, increasing nutrient and sediment delivery to waterways (Omondi et al., 2016)[4]. • Continuous cultivation and residue removal contribute to declining soil fertility and soil organic matter in intensively farmed highland systems (Recha et al., 2012).	levels or decline gradually due to continuous cultivation and residue removal.
North Mau Forest landscape (agricultural interface)	• While the North Mau Forest remains a critical water tower, project activities are limited to surrounding agricultural lands and riparian corridors on private or community-managed land. • Conversion of the forest to agriculture in headwater catchments alters hydrological responses and increases runoff and sediment transport (Recha et al., 2012). • Agricultural expansion adjacent to forest ecosystems is associated with reduced woody cover and altered soil and water quality parameters (Omondi et al., 2016).	• Agricultural production continues under conventional practices with limited on-farm tree planting. • No structured expansion of agroforestry systems without project incentives or technical support. • Ongoing pressure on riparian corridors from grazing and small-scale cultivation. • Runoff and sediment transport patterns remain elevated relative to forested conditions. • Carbon stocks in agricultural interface areas remain low, with no measurable increase in woody biomass over the crediting period.

3 Wilkinson, S. N., Prosser, I. P., Rustomji, P., & Read, A. M. (2009). Modelling and testing spatially distributed sediment budgets to relate erosion processes to sediment yield. Journal of Hydrology, 367(1–2), 23–34. https://doi.org/10.1016/j.jhydrol.2008.12.019

4 Omondi, P., Obiri, J., & Shisanya, C. (2016). Effects of land use activities on riparian vegetation, soil and water quality: A case study of River Njoro, Kenya. Journal of Environmental Protection, 7(11), 1527–1543. https://doi.org/10.4236/jep.2016.711129

	• Mixed agriculture and grazing systems in riparian areas reduce vegetation structure and biodiversity relative to forested buffers (Omondi et al., 2016).	
Sosiani Sub-Catchment (Keiyo Escarpment & Two Rivers Dam zone)	• Water sources serving Eldoret and surrounding areas originate largely from privately owned farmlands and associated riparian areas. • Agricultural topsoils are often the dominant source of suspended sediments in cultivated headwater catchments lacking intact riparian buffers (Wilkinson et al., 2009). • Riparian degradation from livestock access and cultivation increases sediment and nutrient loading into streams (Omondi et al., 2016). • Forest-to-agriculture conversion in tropical headwater systems significantly alters stream discharge patterns and watershed function (Recha et al., 2012).	• Continued cultivation and livestock access in riparian areas with minimal natural regeneration. • No coordinated riparian restoration or controlled buffer establishment. • Seasonal variability in streamflow persists due to degraded catchment conditions. • On-farm tree density remains low under business-as-usual management. • Above-ground and soil carbon stocks remain unchanged or decline slightly over time in the absence of structured agroforestry adoption.

**Determination of the baseline scenario for each project area would need to be determined using the approach described in the selected methodology.

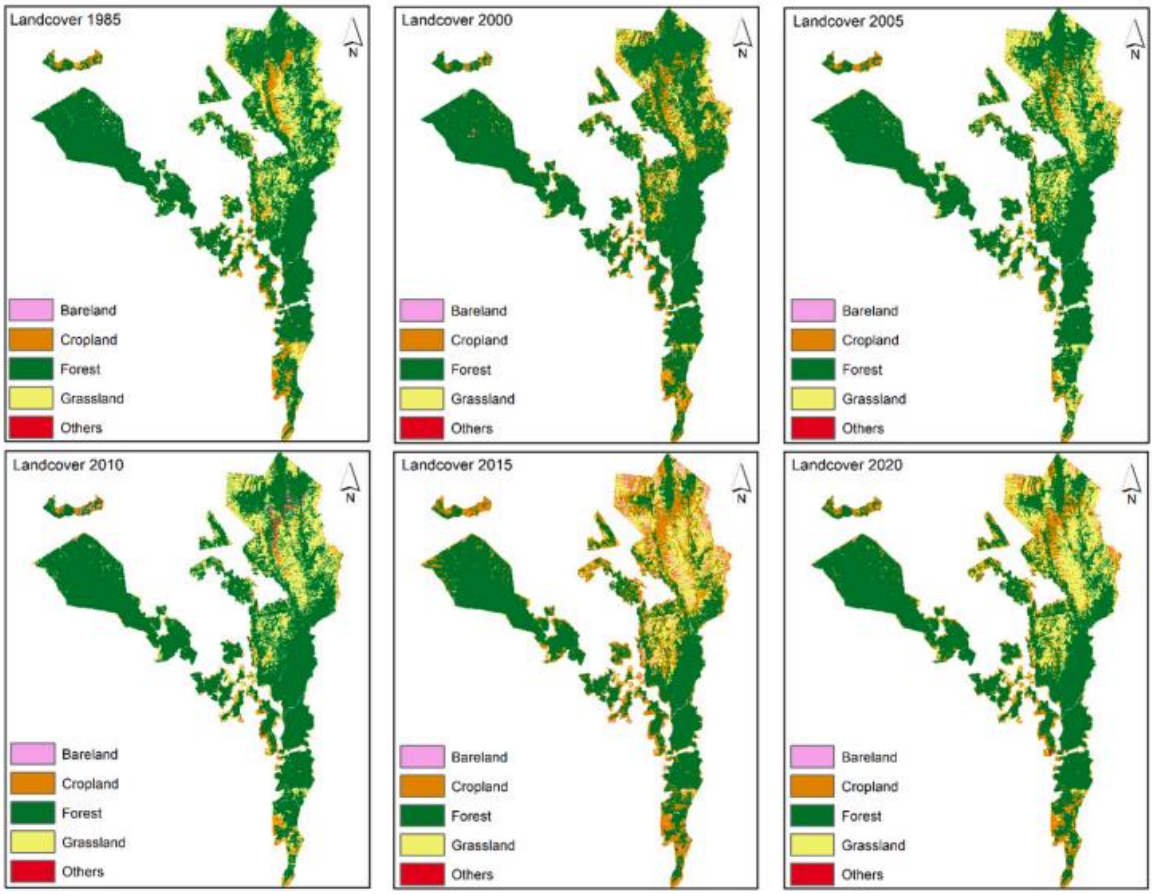
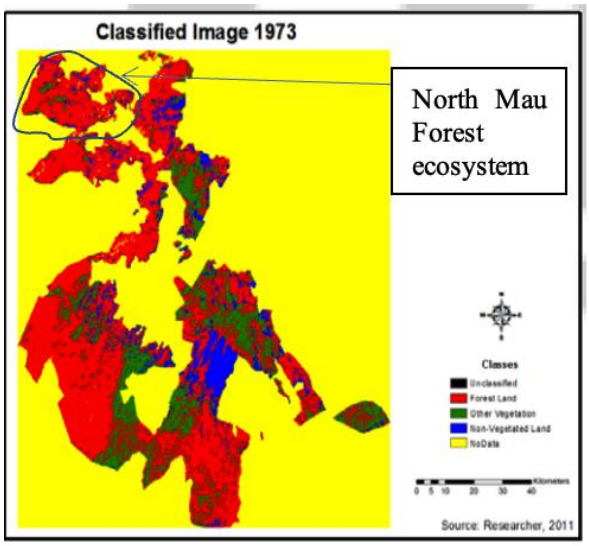
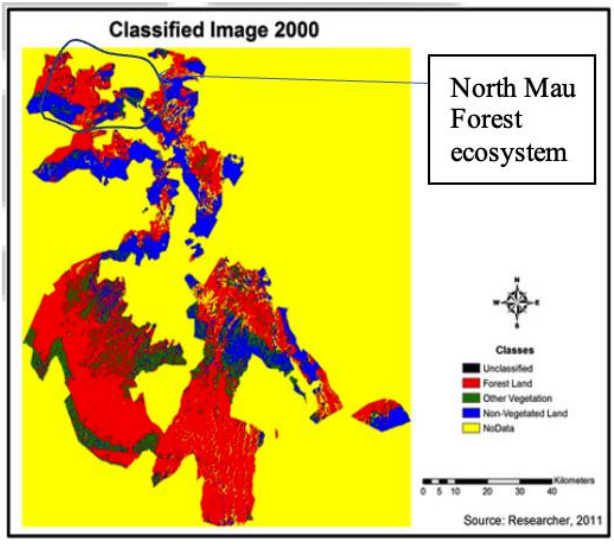


Figure 2. Land cover maps of the Cherangani forest ecosystem for the years 1985, 2000, 2005, 2010, 2015 and 2020

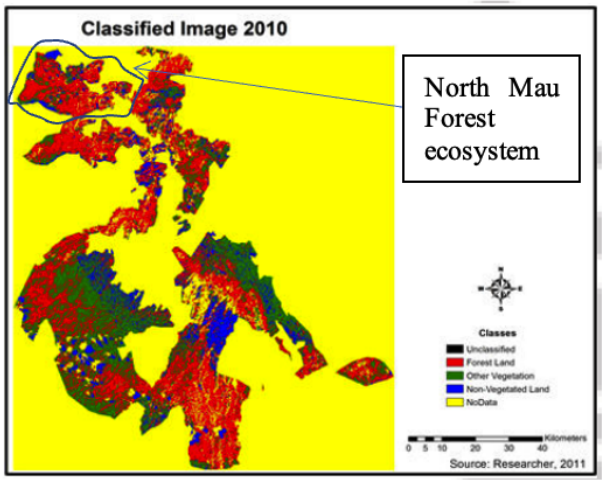
Table 3.3. Area (ha) and proportion of the land cover categories in the study area in 1985, 2000, 2005, 2010 and 2020

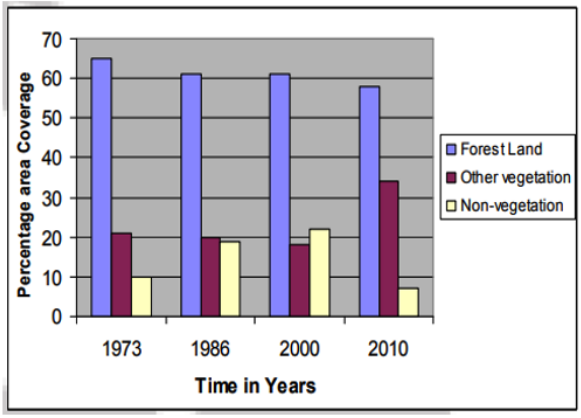
	1985		2000		2005		2010		2015		2020	
Land cover	**Area (Ha)**	**%**	**Area (Ha)**	**%**	**Area (Ha)**	**%**	**Area (Ha)**	**%**	**Area (Ha)**	**%**	**Area (Ha)**	**%**
Bareland	283.0	0.3	472.6	0.5	500.5	0.5	1,878.2	1.9	3,560.8	3.6	668.3	0.7
Cropland	7,593.3	7.8	13,270.8	13.6	8,083.8	8.3	5,537.0	5.7	25,697.9	26.3	15,537.7	15.9
Forest	75,818.8	77.7	71,960.9	73.7	69,766.3	71.5	67,586.5	69.2	53,029.3	54.3	62,036.5	63.6
Grassland	13,673.4	14.0	10,991.7	11.3	18,972.6	19.4	21,690.5	22.2	15,269.0	15.6	19,289.2	19.8
Others	237.4	0.2	909.9	0.9	282.8	0.3	913.8	0.9	49.1	0.1	74.2	0.1





Figures 3. (Left & Right): Land cover and land use maps of Mau in 1973 and 2000, respectively





Figures 4. (Left) Land cover and use map of Mau in 2010; (Right) Percentage cover class areas against time

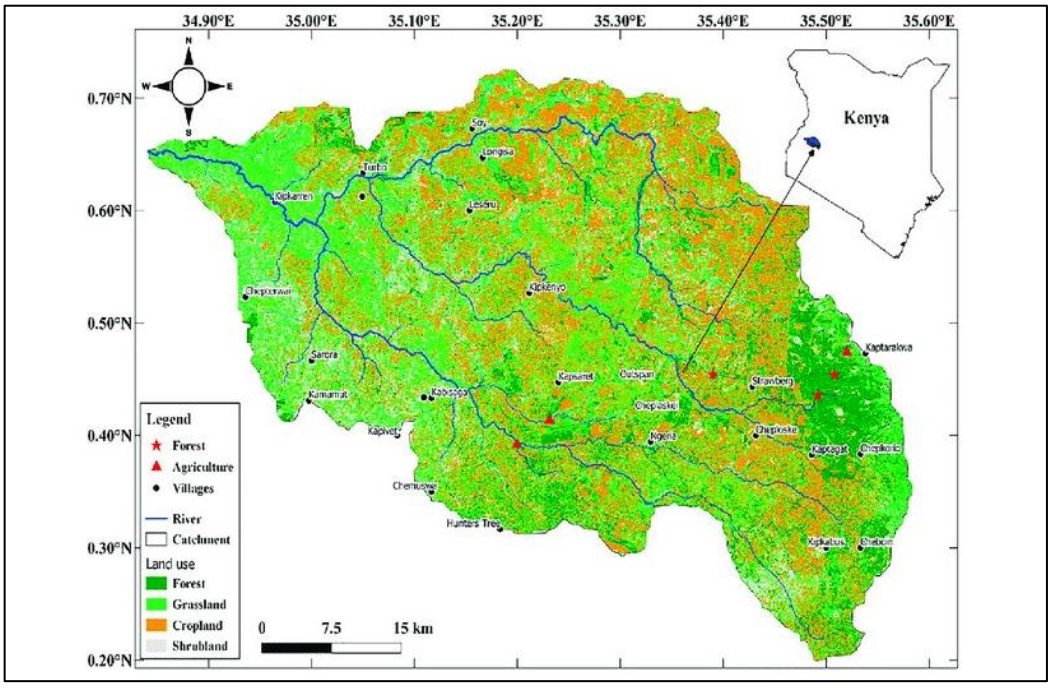


Figure 5. Hydrology of Sosiani River sub-catchment

3.4 Project Logic

Table 3.4 Initial Project Logic

Aim

The Eldoret–Iten Water Fund (EIWF) project area faces ongoing forest degradation and declining ecosystem function in upper catchments. Key drivers include agricultural expansion into forest margins, unsustainable woodfuel harvesting, illegal logging, forest excision for settlements, weak law enforcement, invasive species, rapid urbanization, and rising demand for timber and charcoal. These pressures have reduced forest cover, degraded riparian systems, and lowered above-ground and soil carbon stocks. Land degradation is increasing soil erosion and sedimentation of downstream water infrastructure, reducing reservoir capacity and raising water treatment costs for Eldoret and nearby communities. At the same time, declining soil fertility and increasingly erratic rainfall linked to climate change are weakening the resilience and productivity of upstream smallholder farms. Under a business-as-usual scenario, tree cover would remain low, soil carbon would stagnate or decline, and pressure on natural forests would persist. In addition, degradation of riparian zones and forest margins has reduced habitat quality and ecological connectivity across the landscape, contributing to fragmentation of biodiversity corridors between agricultural lands and adjacent forest ecosystems. The EIWF project responds by promoting agroforestry, riparian restoration, and improved land management to increase biomass and soil carbon, restore ecological connectivity through increased canopy cover in riparian areas and farmlands, enhance water regulation, strengthen livelihoods, and deliver climate mitigation and biodiversity co-benefits. The Project aims are to promote:

- Sustainable natural resources management
- Strengthen enabling environment for transformational change in the smallholder production sector
- Adopt water funds as a tool for sustainable financing in areas upstream from the towns of Eldoret and Iten

	Description	Assumptions/Risks

Outcomes – Intended overall project aim

- Increased environmental goods and services from the forest ecosystems
- Increased water flow from the water catchments
- Increased household per capita among local community members, indigenous people and small-holder farmers
- Reduced pressure on forest products from forest adjacent communities following poverty reduction
- Reduced soil erosion and water sedimentation in riverine systems and water reservoirs
- Increased soil fertility and agricultural productivity
- Increased percentage of vegetative/ forest canopy cover and habitats for biodiversity
- Increased biodiversity corridors and healthy biodiversities
- Replication of lessons learnt and best practices from the EIWF water fund in other forest and agricultural landscapes

Carbon Benefit

Carbon benefits of riparian restoration

Since the areas suitable for the different types of riparian restoration are defined by their degradation status, if we assume that intact riparian buffer zone in the proposed project area has an average carbon stock of 100 tC/ha (equivalent to 367 tCO_2e), and that reduction in canopy cover generates an equivalent reduction in aboveground and belowground biomass, potential carbon benefits from riparian restoration activities that result in successful regeneration to a relatively intact state are summarised in Table 3.5. The length of time taken to achieve these carbon benefits will depend on the rate of regeneration achieved with the different project activities. There may also be further carbon benefits from increased storage of carbon in soils.

Table 3.5. Potential carbon benefits from riparian restoration activities

Project Activity	Pre-Project Carbon Stock Estimate	Potential Carbon Benefits
Riparian restoration *(tree planting)*	50 tC/ha (50% of intact value)	50 tC/ha restored
Assisted Natural Regeneration (ANR) along riparian zones	70 tC/ha (70 % of intact value)	30 tC/ha restored

* Assuming restoration results in carbon stock of 100 tC/ha

- Peace will prevail in the project intervention area
- Each stakeholder will effectively play their roles/ mandates, including co-financing of the carbon project
- Timely validation of the carbon project
- National and global laws and regulations will continue being favourable to carbon trading

Livelihood Benefit	**Carbon benefits of agroforestry** The carbon benefits of agroforestry will depend on the baseline scenario and environmental conditions in the planting area, and details of the agroforestry system established such as the species planted, planting density and management of trees. These factors will affect the total carbon accumulation in trees and soils, and the rate of accumulation. A review of examples of carbon accumulation in African agroforestry systems, shows a considerable range of potential carbon benefits depending on the agroforestry system established, with a total carbon accumulation potential that ranges from 21 tC/ha for a Mango plantation, 32 tC/ha for avocado, 7.69 tC/ha for orange, to 84 tC/ha with timber trees planted for shade. There is a scarcity of studies from agroforestry systems in Kenya, however, and results from other parts of Africa may not give a true representation of potential carbon benefits in the proposed project area. Tree or stand-based modelling should therefore be used to estimate carbon benefits from specific agroforestry interventions when these are determined. If the agroforestry system includes harvesting of planted trees, the average carbon stock over one or more rotations would be used to estimate the carbon benefits.	• There will be favorable weather conditions to sustain tree seedlings production, agroforestry, beekeeping, bamboo production, among other nature-based enterprises that are rain-dependent. • Favorable conditions for inflow of visitors
Ecosystem Benefit	**Carbon, Biodiversity and Connectivity** The EIWF carbon project enhances carbon stocks in smallholder farms and degraded riparian corridors across the Cherangani–North Mau–Sosiani catchment while delivering biodiversity and ecosystem co-benefits. Under business-as-usual conditions, annual cropping on sloping land with limited tree cover increases soil erosion and sediment export (Recha et al., 2012)[5,] and agricultural land uses generate higher sediment loads than forests (Wilkinson et al., 2009)[6.] Continuous cultivation reduces soil	• There will be favourable weather conditions to sustain tree growing • Increase in biodiversity will not lead to wildlife conflicts and crop destruction

5 Recha, J. W., Lehmann, J., Walter, M. T., Pell, A., Verchot, L., & Johnson, M. (2012). Stream discharge in tropical headwater catchments as a result of forest conversion to agriculture. Hydrology and Earth System Sciences, 16(9), 3435–3449. https://doi.org/10.5194/hess-16-3435-2012

6 Wilkinson, S. N., Prosser, I. P., Rustomji, P., & Read, A. M. (2009). Modelling and testing spatially distributed sediment budgets to relate erosion processes to sediment yield. Journal of Hydrology, 367(1–2), 23–34. https://doi.org/10.1016/j.jhydrol.2008.12.019

	organic carbon, while riparian grazing and farming degrade vegetation and increase sediment and nutrient delivery to waterways (Omondi et al., 2016)[7]. Through agroforestry, riparian buffer restoration, assisted natural regeneration, and improved soil and water conservation, the project increases above- and below-ground carbon stocks and restores ecological function. Rehabilitated riparian buffers improve bank stability, reduce runoff, and enhance habitat connectivity for terrestrial and aquatic species. The project delivers measurable climate mitigation and biodiversity co-benefits, aligning with Article 6 safeguard principles and Kenya's national carbon governance requirements.	
Outputs		
Output 1	5,500 ha of degraded riparian buffer zones restored with indigenous trees in the EIWF project intervention area by 2042.	• Degradation of wetlands and riparian zones of rivers and streams through overgrazing. This will be mitigated through carrying out livestock carrying capacities, destocking, zonation of grazing areas in the forest, pasture production in farmlands and construction of water troughs to avoid entry of livestock to rivers. The project will develop grazing strategy to guide on the grazing rights of the local communities, resolution of any grazing related conflicts, and also

7 Omondi, P., Obiri, J., & Shisanya, C. (2016). Effects of land use activities on riparian vegetation, soil and water quality: A case study of River Njoro, Kenya. Journal of Environmental Protection, 7(11), 1527–1543. https://doi.org/10.4236/jep.2016.711129

		safeguard the agroforestry investments. • Catchment degradation, especially along the Keiyo escarpment which serves as main source for Two-Rivers sub-catchment and yet falls in private farmlands. This risk will be mitigated by securing the riparian buffer area around springs/ stream heads through surveying, fencing and rehabilitating the spring/ stream heads and riparian reserves through planting of indigenous trees, bamboo spp. and other water-friendly trees.
Output 2	3,500 ha of degraded farmlands restored with agroforestry, fruit trees, soil and water conservation measures in the EIWF project intervention area by 2042	• Farming with no agroforestry practices in the private farmlands, leading to increased soil erosion and siltation of rivers and dams. This would be mitigated through promotion of agroforestry, soil and water conservation ensures in the project area. • Increased livestock by smallholder

		farmers, leading to overgrazing in the landscape. Awareness would need to be created towards land uses that are environmentally friendly. • Farming on high-gradient/ sloppy landscapes that would lead to increased soil erosion and cases of landslides. The Environmental Management and Coordination (Amendment) Act (EMCA), 2015 and Agriculture, Livestock, Fisheries, Food Authority Act, 2013 would need to be enforced to restrict land use in high-gradient/ sloppy landscapes.
Output 3	85,138 ha of forest put under improved forest management in the EIWF project intervention area by 2042.	• Though not very common, cases of forest excision have been reported in some forest blocks of Cherangani forest ecosystem; and misuse of Special user license to encroach on forest by government institutions (case of Embobut and Sabor forest blocks). Advocacy by the local community groups, led by CFAs, and by other relevant

		stakeholders, will reverse the trends of forest excision considering that in the country, the Forest Conservation and Management Act 2016 provides very stringent procedures prior to any further forest excision(s). • Weak law enforcement, which poses high risks on forest encroachment, deforestation, illegal water abstraction. Advocacy and enhanced forest protection through involvement of community forest scouts will reduce trend of forest degradation.
Output 4	Livelihoods of 30,000 households of local community, indigenous peoples and smallholder farmers in the EIWF project intervention area improved by 20% by 2042.	• Local communities are engaged in deforestation through illegal logging, poaching of trees, charcoal production, due to lack of alternative means of livelihoods. To mitigate this risk, nature-based enterprises will be promoted for improved community livelihoods. Clean energy technologies and cookstoves and biogas plants will also be promoted to reduce the ever-

		increasing demand on fuelwood. • Illegal water abstraction, which poses a risk on regular flow of water to the constructed water reservoirs serving Eldoret and Iten towns. The WRA will monitor and regulate water abstraction.

3.5 Additionality

Table 3.5 Initial Barrier Analysis

Project Intervention	Main Barriers	Activities to Overcome Barriers
Component 1: Riparian restoration, agro forestry, soil and water conservation	• Low capacity on water harvesting • Local communities are involved in illegal poaching of wildlife due to low awareness • Poor monitoring and evaluation and knowledge management for natural resources • Local communities and other stakeholders lack resources to mitigate spreading of invasive tree species • Degradation of wetlands and riparian zones of rivers and streams through overgrazing, etc • Catchment degradation, especially along the Keiyo escarpment which serves as main source for Two-Rivers sub-catchment, which is manifested through the following ways: Wetland encroachment; Riparian land encroachment; Cultivation of fragile hill slopes; Soil erosion along livestock footpaths; Settlement on the	• Capacity building of Water Resource Authority, WRUAs and other relevant stakeholders for Catchment conservation and protection • Carry out an environmental awareness programme in the catchment • Identify and create awareness to tree owners to remove the eucalyptus trees on all spring heads feeding the rivers, riparian areas and wetland zones. • Promote water harvesting, especially in schools and homesteads. • Coherent knowledge management, monitoring and evaluation, to prepare the enabling environment, to provide sustainable resources and to inform policy and decision making in favor of integrated natural resource management

	riparian land of Sosiani River • Local communities are factors of forest degradation and destruction of young trees, mainly through overgrazing and forest fires especially during dry seasons, due to poor monitoring of livestock stocking capacities and grazing in the forest ecosystems	• Enhance capacity of stakeholders • Promote rehabilitation of degraded riparian lands. • Increase the production of appropriate and site matching indigenous tree seedlings • Promote assisted natural forest regeneration. • Enhance conservation of biodiversity. • Research on control invasive tree species • Establish and demarcate wetlands and riparian reserve areas • Secure the riparian buffer area around dams, swamps, and springs/ stream heads through surveying and fencing. • Water conservation and harvesting through construction/ repair of dams, water pans and roof-water harvesting • Rehabilitate the riparian reserve along Rivers and streams through planting of indigenous trees and other water-friendly trees. • Promote soil conservation and establish terraces and make access paths to rivers for livestock • Promote on-farm tree planting and fruit tree production. • Pasture production in farmlands and promote zero-grazing • Construct water troughs to avoid entry of livestock to rivers • Plant water-friendly trees, bamboos and

		nappier grass, vetivar grass, etc. • Carry out livestock stocking rates • Zonation of livestock grazing sites • Promote cut and carry of grass for pasture • Promote dairy farming & zero-grazing
Component 2: Landscape Protection and Enabling Measures	• Low capacity on catchment conservation and protection • Low funding to facilitate conservation of forests and the water sources • Low community involvement in forest protection • Lack of clarity on some of the forest and riparian buffer zone boundaries • Illegal water abstraction • Poor law enforcement	• Sensitizing community members on the importance of riparian buffer zone and its protection, sustainable land management, destocking and improving livestock breeds and biodiversity conservation. • Promotion of improved livestock management practices, including zero grazing and pasture improvement, to reduce overgrazing and protect riparian buffers and agroforestry plots. • Enhance community involvement in forest and riparian protection • Advocacy • Enforcement of relevant policies and regulations • Monitor and regulate water abstraction • Securing forest and riparian boundaries
Component 3: Improved land use management	• Low capacity on establishment and sustenance of IGAs among local community members	• Build capacity on business planning, value chain analysis and diversification of IGAs

	• Poverty and lack of alternative means of livelihoods, increasing pressure on natural resources (forest products, water resources, etc). • Lack of markets for IGA products • Local communities are engaged in deforestation through illegal logging, poaching of trees, charcoal production, etc due to lack of alternative means of livelihoods	• Develop and enhance nature-based enterprises for improved community livelihoods, (Beekeeping, tree seedlings production, dairy farming/ zero grazing, regenerative agriculture). • Develop and enhance nature-based enterprises for improved community livelihoods, (Beekeeping, tree seedlings production, dairy farming/ zero grazing, regenerative agriculture) • Enhance IGAs to reduce pressure on the forest • Promote Nature-Based Enterprises (NBEs)- E.g. Tree seedlings production, Beekeeping, etc). • Promote ecotourism • Develop business plans, value chains, marketing plans for the IGAs • Promote clean energy technologies and cookstoves and biogas plants.

3.6 Exclusion List

The potential project interventions were cross checked with the Plan Vivo Exclusion List that describes activities that cannot be implemented in Plan Vivo projects. None of the proposed activities are included on the exclusion list, assuming that:

- Tree planting activities do not include the planting or introduction of invasive species. Currently, all the species planted in EIWF are indigenous and native to the ecosystem and none is invasive. The main species planted are Juniperus procera, Podocarpus falcutus, Olea Africana, Prunus Africana, Croton macrostachyus, Cordia abbysinica, syzygium spp among others.
- The project ensures that vulnerable groups are well defined, gender consideration taken into account, labour and working conditions are respected, and project activities supported do not include harmful child labour.
- Areas of critical biodiversity are defined, maintained and protected for biodiversity values.
- Free, Prior and Informed Consent (FPIC) as a concept is well understood and is always applied by the project in selection of planting sites and erection of protection barriers. A Free, Prior Informed Consent (FPIC) and action plan is established by the project for engagement of the Cherangany, Sengwer and Ogieks who are IPLCs in the project activities[8].

See a complete Exclusion List in Annex 3.

3.7 Environmental and Social Screening

Table 3.7 Environmental and Social Risks

Risk Area	Potential Risks
Vulnerable Groups	The widows, orphans, elderly, and children are vulnerable to exploitation and marginalization. They also have inadequate information on human rights.
Gender Equality	Women and girls have been exposed to physical exploitation when going into forests, to search for firewood and in their long journeys to rivers to fetch drinking water.
Human Rights	Low incidences of gender-based violence and discriminatory traditions and cultures may affect the number of women who participate in productive ventures
Community, Health, Safety & Security	The project will support law enforcement activities through engagement of community forest scouts to regularly monitor and patrol in the forests and provide intelligence. The scouts will be exposed to possible danger if they are not trained and equipped. The project promotes biodiversity conservation and therefore there is likelihood for human wildlife conflicts if KWS is not involved in the project.

8 Plan Vivo Foundation exclusion list item – 'Production or activities that encroach on lands owned, or claimed or occupied by Indigenous Peoples, without full documented consent of such peoples'.

Labour and Working Conditions	Increased unemployment among youth and women, leading to increased pressure and degradation of forests, water resources, and other natural resources, without the carbon project.
Resource Efficiency, Pollution, Wastes, Chemicals and GHG emissions	The project intends to establish ecotourism and construct additional KFS outposts in identified forest hotspots. If no environmental screening, impact assessments, and audits are undertaken, that will pose risks to the local communities living along the project sites.
Access Restrictions and Livelihoods	The project has proposed project activities on improved forest management through restricted entry and usage of the forest goods and services. However, the local communities will still be allowed to access and sustainably use the resources as guided by the user rights assigned to them by the relevant laws.
Cultural Heritage	There is no foreseen risk. The forest ecosystems in the project site serve as sacred sites for prayers and also for circumcision of young boys, which is allowed by the current Forest Conservation and Management Act 2016, as one of the user rights.
Indigenous Peoples	There are Indigenous people in the project area (Cherangany, Sengwer and Ogieks) that previously lived inside the forests. However, the Kenyan government relocated them to alternative lands outside the forest ecosystems. Their access to the forests is still guaranteed but regulated by the user rights as guided by the Forest Conservation and Management Act 2016. There is therefore minimal risk.
Biodiversity and Sustainable Use of Natural Resources	There is no foreseen risk because the project activities will increase vegetative and forest cover that will provide safe habitats for biodiversity. It will also increase forest cover along farmlands and riparian zones that will serve as safe dispersal areas and wildlife corridors. The project will also plant native tree species.
Land Tenure Conflicts	No foreseen risk. The forest ecosystems in the project site are state forests which are owned by the Kenya Forest Service (KFS) as the custodians, on behalf of the national government of Kenya. The land ownership and co-management of the forests by the CFAs can be demonstrated through assigned user rights in negotiated and signed Forest Management Agreements (FMAs). On the other hand, the farmlands and the riparian lands are owned by individual people, majority of them being local community members, and smallholder farmers.
Risk of Not Accounting for Climate Change	For rain-dependent project activities like tree planting and agroforestry, there must be good timing of rainy seasons to mitigate risks of low tree survival rates of the young trees.
Other – e.g. Cumulative Impacts	No risk

3.8 Double Counting

The EIWF carbon project operates on smallholder farms and degraded riparian corridors within the Cherangani–North Mau–Sosiani catchment. While several initiatives operate in the Cherangani and North Mau ecosystems, including Kenya's national REDD+ programme and other ecosystem restoration efforts supported by government agencies, donors, and NGOs. While these overlap geographically, they do not create risks of double counting for carbon credits generated through structured agroforestry and riparian interventions. The EIWF project will be

registered under Plan Vivo with clearly defined boundaries, georeferenced farm plots, and riparian buffer boundaries, as well as household-level farm plans to ensure unique accounting.

Carbon rights are secured through legally binding agreements with participating households and IPLCs, which assign the Project Coordinator exclusive rights to aggregate and sell credits. Where government or donor programmes finance similar activities, such areas will be excluded from carbon accounting or adjusted in the baseline to avoid double claiming.

Following the establishment of the Kenya National Carbon Registry (KNCR), the EIWF project will coordinate closely with Kenya's REDD+ Secretariat and Ministry of Environment to align with national carbon market regulations, NDC reporting, and government oversight, and ensure that credits sold are not also reported toward Kenya's NDC. Independent verification, transparent benefit-sharing mechanisms, and publication of monitoring reports on the Plan Vivo registry will further safeguard against double issuance and enhance credibility for both domestic and international carbon buyers.

Table 3.8 National Level Legislation, Policies and Instruments

	Yes/No/Unsure	Details
Is there a national registry for land-based carbon projects?	☒ Yes ☐ No ☐ Unsure	Kenya's Carbon Credit Trading and Benefit Sharing Act 2023 established a national carbon registry as well as continued to provide the guiding principles governing trade in the carbon market in Kenya.
Are carbon rights defined in national legislation?	☒ Yes ☐ No ☐ Unsure	Kenya's Carbon Credit Trading and Benefit Sharing Act 2023 and Forest Conservation and Management Act 2016 define carbon rights
Are there any carbon pricing regulations existing or in development (e.g. emissions trading scheme or carbon tax)	☐ Yes ☒ No ☐ Unsure	The Kenya's Carbon Trading Act 2023 does not regulate on carbon pricing.
Does the country receive or plan to receive results-based climate finance through bilateral or multilateral programs?	☒ Yes ☐ No ☐ Unsure	Kenya relies on various sources of climate finance, including international, public, and private sources. Public sources of international finance come from bilateral development partners and multilateral agencies.
Are there any other relevant regulations, policies, or instruments?	☒ Yes ☐ No ☐ Unsure	**Other relevant laws and regulations:** • **Environmental Management and Coordination (Amendment) Act (EMCA), 2015 -** The Act addresses environmental concerns and safeguards against environmental degradation within and outside protected areas. Its second schedule Section 58(1) (4) outlines

		activities that will require an Environmental Impact Assessment before being undertaken. • **Forest Policy and Forest Conservation and Management Act, 2016 -** The Act supports the participation of stakeholders in the conservation and management of the forest resources through collaborative management, including recognition of forest adjacent communities as key stakeholders and users of natural resources. • **Water Act, 2016 -** The Act provides for the regulation, management and development of water resources, water and sewerage services; and for other connected purposes. • **Energy Act, 2019 -** The Act provides framework for promotion and management of sustainable energy sources including alternative energy sources. It provides an enabling environment for the provision of green energy. • **Climate Change Act, 2016 -** The Act establishes a National Climate Change Response Strategy for handling climate change aspects such as weather information release and advice to resource managers and community, investment in carbon business including REDD+ • **Agriculture, Livestock, Fisheries, Food Authority Act, 2013 -** The Act seeks preservation of soil fertility, promotion and maintenance of developed agricultural land in accordance with the rules of husbandry.

4 Governance and Administration

4.1 Governance Structure

As part of the initial project preparations, a 12-member Eldoret - Iten Water Fund (EIWF) stakeholder steering committee was set up. This committee was involved in initial preparatory activities, including contributing to the feasibility studies and stakeholder mobilisation. This body shall be maintained throughout the project and serve as the local-level Stakeholder Steering Committee for the project. This committee is made up of a consortium of public and private sector entities with an interest in water and conservation issues. The project shall cooperate with these organizations in instituting the EIWF organizational and governance structures, including the Water Fund Board of Trustees and the Management Board. Upon the full establishment of the Fund structures, the EIWF stakeholder steering committee will be transformed into a Water Fund Advisory Council to support the Board of Trustees and the Board of Directors. It is intended that the project will be institutionalized into a Water Fund. Along these lines, a Board of Trustees would be responsible for the governance issues of the Fund; a Board of Management would provide guidance and oversight over the operations of the Fund, and a Secretariat would be responsible for the day-to-day activities of the Fund. This will not only ensure a smooth handover of activities to the new body but also provide for a transfer of institutional knowledge. Once completed, activities under the project will be transferred to the Water Fund for the remaining period of the project under the overall oversight of The Nature Conservancy (TNC).

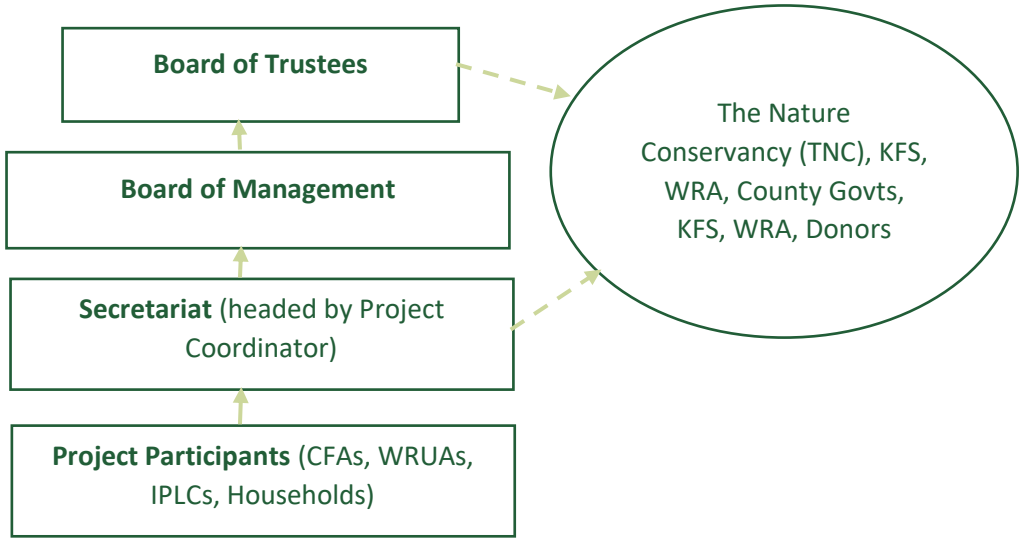


Figure 2: Governance structure organogram

Notes:
The Eldoret–Iten Water Fund is governed by a multi-tier structure. At the top, the Board of Trustees provides strategic leadership, accountability, and policy direction. The Board of Management offers operational oversight, while the Secretariat, led by the Project Coordinator, manages day-to-day operations, compliance, and reporting. Project participants (CFAs, WRUAs, IPLCs, and Households) implement agroforestry, conservation, and livelihood activities. The Nature Conservancy (TNC), KFS, WRA, KWS, and County Governments, provides technical backstopping, fundraising support, and oversight until full transition to local Water Fund governance

The selection of Eldoret–Iten Water Fund representatives follow transparent, inclusive processes. Water Resource Users Associations (WRUAs) nominate members through their own nomination forums, while Indigenous Peoples are engaged via culturally appropriate FPIC processes to nominate one of their representatives. County governments appoint technical officers from relevant departments, while private sector actors and NGOs are selected based on active conservation roles. All categories uphold gender and social inclusion, requiring 30–40% women/youth participation and provisions for persons with disabilities. This ensures balanced, accountable, and representative governance.

The indigenous Sengwer, Cherangany, and Ogiek people living adjacent to Forest Reserve would actively participate and benefit from project activities. As forest-dependent people, they have a keen interest in preserving the natural resource they depend upon and the project will protect important water sources, restore and replant trees of relevance for Cherangany, Sengwer, and Ogiek traditional herbal medicine and expand on beekeeping in the catchments; honey being a significant part of the IPs life and diet. As agreed, upon with IPs representatives from the three communities, the project has established a Free, Prior Informed Consent (FPIC) and action plan for their engagement in project activities. Both TNC and IFAD have policies for engagement with indigenous peoples, emphasizing their ownership, access to and rights on natural resources and FPIC for any project activities.

4.2 Legal and Regulatory Compliance

Table 4.1. Government agencies and their relevance to the Carbon project

Institution	Relevancy to Carbon project development
Kenya Forest Service (KFS)	Forest policy implementation, management and protection of gazetted forests reserves, management of forest plantations and promotion of on-farm forestry and ecotourism Engagement Approach: • Collaborate on restoration workplans, training, and technical support for tree planting and soil/water conservation. • Provide guidance on forest protection measures near riparian corridors and private farmlands to prevent encroachment and degradation.
Kenya Wildlife Service (KWS)	Wildlife policy implementation, and protection of wildlife and their habitats Engagement Approach: • Collaborate on monitoring biodiversity co-benefits of the carbon project. • Engage in awareness creation on human–wildlife conflict mitigation.

Kenya Forestry Research Institute (KEFRI)	Research for sustainable development of forests and allied natural resources Engagement Approach: • Partner with KEFRI to identify indigenous tree species for reforestation and agroforestry systems. • Utilize KEFRI's expertise in carbon stock assessments and sustainable forest management. • Involve KEFRI in training farmers on seedling production and management.
Kenya Water Towers Agency (KWTA)	Conservation and restoration of water catchment ecosystems Engagement Approach: • Formal collaboration on watershed restoration in line with national water tower strategy. • Co-develop community-based catchment management plans. • Use KWTA's data for hydrological monitoring and ecosystem health indicators.
National Environment Management Authority (NEMA)	Overall supervision and co-ordination of environmental matters and regulation and the principal instrument of Government in the implementation of all policies relating to environment. Engagement Approach: • Seek Environmental Impact Assessment (EIA) approvals for restoration interventions. • Engage NEMA in participatory monitoring and evaluation of environmental safeguards.
Ministry of Agriculture, Livestock and Fisheries	Promotion of sustainable agriculture, creation of awareness, promotion of agroforestry, soil and water conservation, and livelihood improvement through livestock production Engagement Approach: • Integrate climate-smart agriculture practices into the carbon project (e.g., conservation agriculture, fodder banks, improved livestock breeds). • Provide extension officers to support farmer training. • Link project to national food security and livelihood improvement programs.
Ministry of Water and Irrigation; and Water Resource Authority (WRA)	Mandate of water conservation, awareness creation, protection and conservation of water catchment areas, promotion of irrigation and coordination of water trust fund Engagement Approach: • Collaborate with WRA on catchment protection, riverbank rehabilitation, and regulation of water abstraction. • Engage WRA in hydrological monitoring and compliance with water permits.

	• Work with the Ministry on sustainable irrigation and water conservation structures.
Ministry of interior and coordination of national services	Its mandate is law enforcement, provision of security and creation of awareness to the citizenry Engagement Approach: • Provide support in law enforcement against illegal logging and charcoal burning. • Facilitate local administration involvement (chiefs, assistant chiefs) in mobilizing community participation.
Ministry of Lands	Adjudication of land, registration and policy Engagement Approach: • Ensure clarity of land tenure before project interventions. • Support land mapping to define project boundaries and community land ownership.
Elgeyo Marakwet County Government; Uasin Gishu County Government	Management of natural resources within their jurisdiction (trust land) on behalf of local communities, and Coordination of environmental matters at the county level Engagement Approach: • Partner on County Environment Action Plans (CEAPs) and align with County Integrated Development Plans (CIDPs). • Facilitate resource mobilization and co-financing for project activities. • Provide technical staff (environmental officers, agricultural officers, water officers) to support implementation.
University of Eldoret	Conduct research, innovation and capacity building Engagement Approach: • Collaborate on baseline studies, carbon stock modeling, and biodiversity assessments. • Offer training programs for community groups and technical staff.
Eldoret Water and Sanitation Company (ELDOWAS), Iten Tambach Water and Sanitation Company (ITEWASCO)	Both ELDOWAS and ITEWASCO are government agencies which are entrusted with water sources development, water abstraction, treatment and distribution in the EIWF project intervention area. ELDOWAS is coordinating the carbon project Engagement Approach: • Act as key beneficiaries and co-financiers of watershed restoration • Support community mobilization through water user associations.

	• ELDOWAS to take lead coordination role in carbon project development and link to buyers of carbon credits.

4.3 Financial Plan

The project's financial plan combines IFAD/GEF investment with private sector contributions to ensure sustainability and phased implementation. IFAD/GEF funding will support PIN development, community engagement, capacity building, and carbon certification. Private sector contributions will focus on restoration activities, monitoring and verification, and capacity building through training. The plan emphasizes diversified funding sources and risk mitigation through blended finances and monitoring.

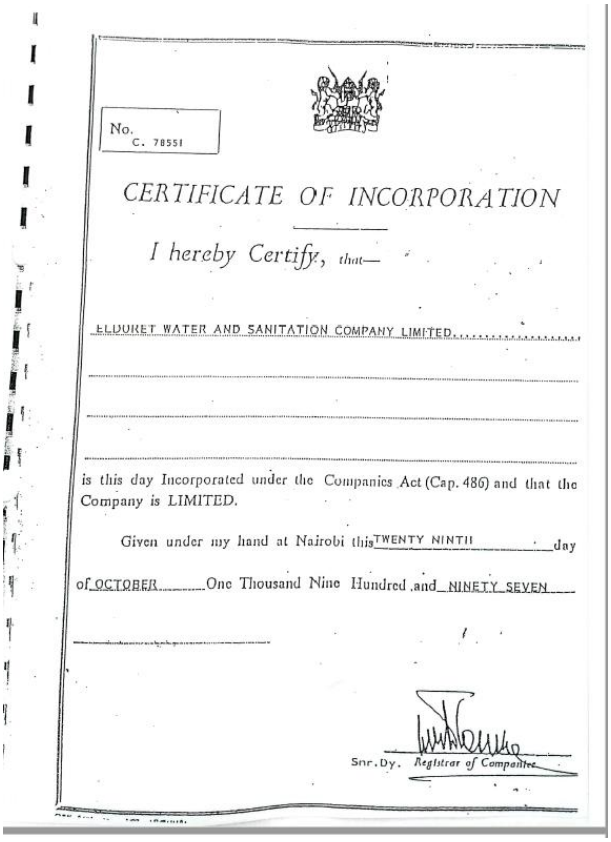
ANNEXES

Annex 1 – Project Boundaries

Cherangani hills forest ecosystem is located within an area defined by $1^0$16′ North $35^0$26′ East.

North Mau Forest complex, particularly Nabkoi forest station which forms part of the forest complex, lies between Latitude $0^0$04′46.68″N, $0^0$10^{0}17.89″N and Longitude $35^0$24′02.39″ E,$35^0$30′28.82″E

Annex 2 –Registration Certificate



No. C. 78551

CERTIFICATE OF INCORPORATION

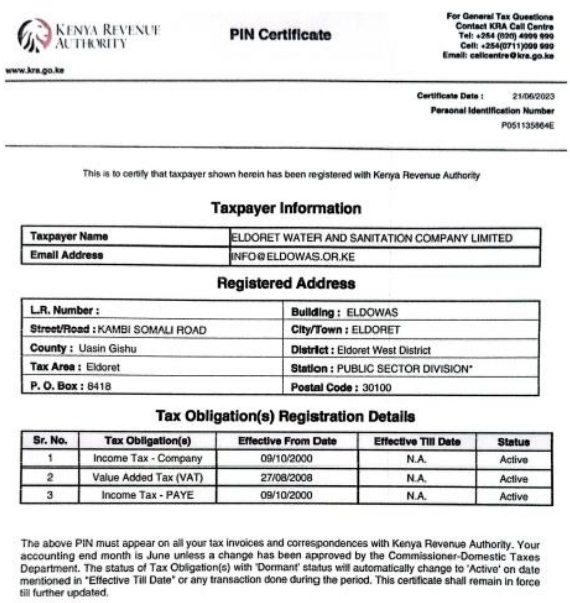
I hereby Certify, that—

ELDORET WATER AND SANITATION COMPANY LIMITED.....

is this day Incorporated under the Companies Act (Cap. 486) and that the Company is LIMITED.

Given under my hand at Nairobi this TWENTY NINTH day of OCTOBER One Thousand Nine Hundred and NINETY SEVEN

Snr. Dy. Registrar of Companies



KENYA REVENUE AUTHORITY

PIN Certificate

For General Tax Questions Contact KRA Call Centre Tel: +254 (020) 4999 999 Cell: +254(0711)099 999 Email: callcentre@kra.go.ke

www.kra.go.ke

Certificate Date : 21/06/2023

Personal Identification Number P051135864E

This is to certify that taxpayer shown herein has been registered with Kenya Revenue Authority

Taxpayer Information

Taxpayer Name	ELDORET WATER AND SANITATION COMPANY LIMITED
Email Address	INFO@ELDOWAS.OR.KE

Registered Address

L.R. Number :	Building : ELDOWAS
Street/Road : KAMBI SOMALI ROAD	City/Town : ELDORET
County : Uasin Gishu	District : Eldoret West District
Tax Area : Eldoret	Station : PUBLIC SECTOR DIVISION"
P. O. Box : 8418	Postal Code : 30100

Tax Obligation(s) Registration Details

Sr. No.	Tax Obligation(s)	Effective From Date	Effective Till Date	Status
1	Income Tax - Company	09/10/2000	N.A.	Active
2	Value Added Tax (VAT)	27/08/2008	N.A.	Active
3	Income Tax - PAYE	09/10/2000	N.A.	Active

The above PIN must appear on all your tax invoices and correspondences with Kenya Revenue Authority. Your accounting end month is June unless a change has been approved by the Commissioner-Domestic Taxes Department. The status of Tax Obligation(s) with 'Dormant' status will automatically change to 'Active' on date mentioned in "Effective Till Date" or any transaction done during the period. This certificate shall remain in force till further updated.

Annex 3 – Exclusion List

Activities	Included in Project ('Yes' or 'No')
Any project activities leading to or requiring the destruction [1] of critical habitat [2] or any forestry project which does not implement a plan for improvement and/or sustainable management.	☐ Yes ☒ No
Any activity which could be associated with the significant impairment of areas particularly worthy of protection of cultural heritage (without adequate compensation in accordance with international standards).	☐ Yes ☒ No

Trade in animals, plants or any natural products not complying with the provisions of the CITES/Washington convention [3].	☐ Yes ☒ No
Illegal, harvesting or trading in any wildlife resources.	☐ Yes ☒ No
Destructive fishing methods or drift net fishing with a net more than 2.5 km in length, explosives and/or poison.	☐ Yes ☒ No
Large-scale commercial logging operations for use in primary tropical moist forest.	☐ Yes ☒ No
Production or trade in wood or other forestry products other than from sustainably managed forests [4].	☐ Yes ☒ No
Exploitation of diamond mines and marketing of diamonds where the host country has not adhered to the Kimberley Process, and exploitation of other conflict minerals [5].	☐ Yes ☒ No
Activities involving harmful or exploitative forms of forced labour, [6] harmful child labour [7], modern slavery and human trafficking [8].	☐ Yes ☒ No
Projects that include involuntary physical displacement and/or forced eviction.	☐ Yes ☒ No
Production or activities that encroach on lands owned, or claimed or occupied by Indigenous Peoples, without full documented Free, Prior and Informed Consent (FPIC) of such peoples [9].	☐ Yes ☒ No
Harmful and unsafe production, use, sale or trade of pharmaceuticals, ozone layer depleting substances [10], and other toxic [11] or dangerous materials such as asbestos or products containing PCB's [12], wildlife or products regulated under CITES, including all products that are banned or are being progressively phased out internationally.	☐ Yes ☒ No
Production or trade of arms, ammunition, weaponry, controversial weapons, or components thereof (e.g., nuclear weapons and radioactive ammunition, biological and chemical weapons of mass destruction, cluster bombs, anti-personnel mines, enriched uranium).	☐ Yes ☒ No
Procurement and use of firearms.	☐ Yes ☒ No
Provision of finances to military institutions involved in conservation or security activities.	☐ Yes ☒ No
Production or trade of strong alcohol intended for human consumption or other alcoholic beverages (excluding beer and wine).	☐ Yes ☒ No
Production or trade of tobacco and other drugs.	☐ Yes ☒ No
Gambling, gaming establishments, casinos or any equivalent enterprises and undertaking [13].	☐ Yes ☒ No
Any trade related to pornography, prostitution or sexual exploitation of any form.	☐ Yes ☒ No
Production or trade in radioactive material. This does not apply to the procurement of medical equipment, quality control equipment, or other application for which the radioactive source is insignificant and/or adequately shielded.	☐ Yes ☒ No
Production or trade in unbound asbestos. This does not apply to the purchase or use of cement linings with bound asbestos and an asbestos content of less than 20%.	☐ Yes ☒ No
Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals. Hazardous chemicals include gasoline, kerosene, and other petroleum products.	☐ Yes ☒ No

Transboundary trade in wastes, except for those accepted by the Basel Convention and its underlying regulations [14].	☐ Yes ☒ No
Any activity leading to an irreversible modification or significant displacement of an element of culturally critical heritage [15].	☐ Yes ☒ No
Production and distribution, or investment in, media that are racist, antidemocratic or that advocate discrimination against a part of the population.	☐ Yes ☒ No
Projects involving the planting or introduction of invasive species.	☐ Yes ☒ No
Projects that increase the dependency of primary participants and other stakeholders on fossil fuels.	☐ Yes ☒ No

Notes:

1. Destruction means (1) the elimination or severe reduction in the integrity of a habitat/area caused by a major and long-term/prolonged change in land-use or water resources or (2) the modification of a habitat such that this habitat's ability to fulfil its function/ role is lost.

2. The term critical habitat encompasses natural and modified habitats that deserve particular attention. This term includes (1) spaces with high biodiversity value as defined in the IUCN's classification criteria, including, in particular, habitats required for the survival of endangered species as defined by the IUCN's red list of threatened species or by any national legislation; (2) spaces with a particular importance for endemic species or whose geographical range is limited; (3) critical sites for the survival of migratory species; (4) spaces welcoming a significant number of individuals from congregatory species; (5) spaces presenting unique assemblages of species or containing species which are associated according to key evolution processes or which fulfil key ecosystem services; (6) and territories with socially, economically or culturally significant biodiversity for local communities. Primary forests or high conservation value forests must also be considered as critical habitats

3. https://cites.org/eng/disc/text.php

4. Sustainably managed forests are forests managed in a way that balances ecological, economic, and socio-cultural needs.

5. Conflict minerals, including tin, tungsten, tantalum and gold, can be used to finance armed groups, fuel forced labour and other human rights abuses, and support corruption and money laundering. See the EU Regulation on conflict minerals: https://policy.trade.ec.europa.eu/development-and-sustainability/conflict-minerals-regulation/regulation-explained_en

6. Forced labour means all work or service, not voluntarily performed, that is extracted from an individual under threat of force or penalty.

7. Harmful child labour means the employment of children that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development. Employees must be at

least 14 years of age, as defined in the ILO's Declaration on the Fundamental Principles and Rights at Work (C138 – Minimum Age Convention, Article 2), unless local laws require compulsory school attendance or a minimum working age. In such circumstances, the highest age requirement must be used.

8. Modern slavery is comprised of two key components: forced labour and forced marriage. These refer to situations of exploitation that a person cannot leave or refuse due to threats, violence, deception, or coercion. (https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---ipec/documents/publication/wcms_854733.pdf)

9. https://www.fao.org/indigenous-peoples/our-pillars/fpic/en/

10. Any chemical component which reacts with, and destroys, the stratospheric ozone layer leading to the formation of holes in this layer. The Montreal Protocol lists Ozone Depleting Substances (ODS), their reduction targets and deadlines for phasing them out.

11. Including substances included under the Rotterdam Convention, Stockholm Convention, and WHO "Pharmaceuticals: Restrictions in Use and Availability".

12. PCBs (polychlorinated biphenyls) are a group of highly toxic chemical products that may be found in oil-filled electrical transformers, capacitors and switchgear dating from 1950 to 1985.
13. Any direct financing of these projects or activities involving them (for example, a hotel including a casino). Urban improvement plans which could subsequently incorporate such projects are not affected.

14. Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their disposal (1989).

15. "Critical cultural heritage" is considered as any heritage element recognised internationally or nationally as being of historical, social and/or cultural interest.

Annex 4 - Environmental and Social Screening

Guidance on use

Background

- The questionnaire includes questions aligned with the Plan Vivo Cabron Standard (PV Climate) Environmental and Social Safeguards (Section 3.9, V5.0) and other Safeguard Provisions that are embedded in PV Climate (namely Stakeholder Engagement, Stakeholder Consultation, Free Prior and Informed Consent, Grievance Mechanism).
- The questionnaire also draws from the Plan Vivo Environmental and Social Policy Framework (ESPF).
- The questionnaire is structured around the IUCN ESMS Questionnaire, which itself is designed to be aligned with the IUCN ESMS (2016), and the World Bank Environmental and Social Framework (2017), including World Bank Standards 1-10.
- The number of questions has been limited in this version of the questionnaire to ensure that it is practical and user-friendly.
- The purpose of the questionnaire is to establish: 1) the project risk rating; 2) the significance of risks and impacts; 3) alignment with safeguard provisions; 4) the need for further E&S assessment during project design; 5) the likely safeguard plans that should be developed.
- Due to the early stage in project design, the questionnaire is not designed to assess alignment with PV Climate requirements, but rather prompt projects as to what will be expected regarding those requirements that relate to E&S safeguards.
- Any social and environmental risks must inform the design of the *project*.

Requirement

- As per PV Climate V5.0 every project must conduct a screening of environmental and social risks and impacts at the PIN stage of project design. The questionnaire and screening report are to be submitted alongside the PIN to the Plan Vivo Foundation.

Process for use of the E&S questionnaire

- The Project Coordinator is to fill in the “Project coordinator response” section of the questionnaire. This is the column shaded light grey.
- Once completed by the Project Coordinator, the Plan Vivo Foundation Project Officer and E&S reviewer is to fill in the “E&S reviewer comments” section of the questionnaire. This includes filling in the “E&S reviewer conclusions”.
- The screening report is then completed at the end by the Plan Vivo Foundation E&S reviewer, and the results are shared and discussed with the Project Coordinator.

Establishing significance of risks and impacts

Table 1 illustrates how risk significance can be established based on an estimate of likelihood of something happening, and the impact should it occur. This likelihood-magnitude matrix can be used by the Project Officer and the E&S reviewer to estimate the risk and impact significance of the E&S risk

areas indicated in the E&S questionnaire **Section B**, below. Note that while the questionnaire focuses on key topics and issues that are common to natural resource management projects, the project coordinator should include other known E&S risks and impacts associated with the planned project.

Likelihood represents the possibility that a given risk event is expected to occur. The likelihood should be established using the following five ratings:

Very unlikely to occur (1)
Not expected to occur (2)
Likely – could occur (3)
Known to occur - almost certain (4)
Common occurrence (5)

Impact (or consequence) refers to the extent to which a risk event might negatively affect environmental or social receptors – see below criteria distinguishing five levels of impacts:

Severe (5)	Adverse impacts on people and/or environment of **very high magnitude**, including **very large scale** and/or spatial extent (large geographic area, large number of people, transboundary impacts), cumulative, **long-term (permanent and irreversible**); **receptors** are considered **highly sensitive**; examples are severe adverse impacts on areas with high biodiversity value; severe adverse impacts to lands, resources and territories of Indigenous Peoples; significant levels of displacement or resettlement with long-term consequences on peoples' livelihood; impacts give rise to severe and cumulative social conflicts with long-term consequences.
Major (4)	Adverse impacts on people and/or environment of **high magnitude**, including **large scale** and/or spatial extent (large geographic area, large number of people, transboundary impacts), of certain duration **but still reversible** if sufficient effort is provided for mitigation; receptors are considered sensitive; examples are adverse impacts on areas with high biodiversity value; adverse impacts to lands,

	resources and territories of Indigenous Peoples; significant levels of displacement or resettlement with temporary consequences on peoples' livelihood; impacts give rise to social conflicts which are expected to be of limited duration.
Medium (3)	Adverse impacts of **medium magnitude**, **limited in scale** (small area and low number of people affected), **limited in duration** (temporary), impacts are relatively predictable and can be avoided, managed and/or mitigated with known solutions and straight forward measures.
Minor (2)	Adverse impacts of **minor magnitude, very small scale** (e.g. very small, affected area, very low number of people affected) and only short duration, may be easily avoided, managed, mitigated.
Negligible (1)	Negligible or no adverse impacts on communities, individuals, and/or on the environment.

Table 1: Rating significance of a risk area (Source: IUCN ESMS questionnaire, 2020)

		Likelihood of occurrence				
		Very unlikely to occur (1)	*Not expected to occur (2)*	*Likely – could occur (3)*	*Known to occur - almost certain (4)*	*Common occurrence (5)*
Magnitude	*Severe (5)*	Moderate	Substantial	High	High	High
	Major (4)	Low	Moderate	Substantial	Substantial	High
	Medium (3)	Low	Moderate	Moderate	Moderate	Substantial
	Minor (2)	Low	Low	Moderate	Moderate	Moderate
	Negligible (1)	Low	Low	Low	Low	Low

Establishing project risk category

The project risk category will be determined based on an understanding of the types of potential E&S risks and impacts associated with the project, and the availability of appropriate and known mitigation measures. Most Plan Vivo projects are thought to be of either low or moderate risk. If high risk projects are identified, the E&S impact assessment would look to understand the alternative project designs available to reduce the potential risks and impacts.

Table 2: Rating significance of a risk area (Source: IUCN ESMS questionnaire, 2020)

Risk Category	Definition
Low	Insignificant or low potential environmental and social risks and impacts have been identified. No additional management measures are required; no Environmental and Social Management Plan (ESMP) section of the PDD required.
Moderate	Moderate and/or substantial potential adverse risks and impacts have been identified in one or more risk areas. These risks and impacts can be mitigated through known mitigation measures, such as a Stakeholder Engagement Plan, livelihood restoration plan, or through the project's ESMP.
High	High risks and impacts that are potentially diverse and irreversible, and for which standard solutions are not sufficient to manage, and for which specialist safeguard plans and expertise is required.

Alignment with safeguard provisions

Section C of the questionnaire refers to PV Climate safeguard provisions which are integrated into the Standard. These include:

- *Stakeholder engagement and consultation*
- *Free, Prior and Informed Consent*
- *Grievance Redress Mechanism*

The project coordinator will answer the questions related to these provisions and clarify the project's intentions to meet these Standard requirements during the project design phase.

Environmental and Social Assessment

The E&S questionnaire should determine what E&S assessment is required during the project design phase (PDD development). For low and moderate risk projects, a tailored E&S assessment is required. For high-risk projects, an Environmental and Social Impact Assessment (ESIA) is required. The project coordinator should consider in responses what further assessment of risks and impacts is required, and the E&S reviewer will comment on this and include a summary in the Screening Report section.

Safeguard Plans

The E&S questionnaire should determine which Safeguard Plans are required by the project. For low-risk projects, it is unlikely that an ESMP will be required. For moderate risk projects, an ESMP will be required. Projects will, according to the Standard, also require a mandatory Stakeholder Engagement Plan and a Grievance Redress Mechanism.

Some projects might require specialist plans, such as an Indigenous Peoples Plan (IPP) or a Livelihood Restoration Plan.

SECTION A: PROJECT INFORMATION	
Project title:	Eldoret - Iten Water Fund (EIWF)
Project coordinator:	Eldoret Water and Sanitation Company (ELDOWAS)
Country:	Kenya
Geography/ landscape:	Three of Kenya's water towers (catchment areas): The Cherangani Hills, North Mau, and the Elgeyo Hills and their adjacent farmlands and riparian buffer zones. The project site is located in Elgeyo County and Uasin Gishu County, Kenya. Figure 1 below shows the project region.
Project summary:	Kenya's Eldoret-Iten Water Fund (EIWF) was established to address threats to important water supplies. Administered through The Nature Conservancy, the EIWF's objectives include partnering with thousands of local

	farmers to adopt sustainable soil and water conservation practices, restoring and protecting more than 120,000 hectares (300,000 acres) of degraded forests and farmlands, planting more than 1 million trees, reducing sediment flow into rivers and supporting farmers with rainwater harvesting.
Name and role of project coordinator staff member filling this questionnaire:	Norah Maiyo Project Manager, Eldoret-Iten Water Fund (EIWF)
Confirm that the Plan Vivo Exclusion List is appended to this E&S questionnaire:	Yes

SECTION B: POTENTIAL E&S RISKS AND IMPACTS			
Topic	**Question**	**Project coordinator response**	**E&S reviewer comments**
E&S Risks and Impacts			
Vulnerable Groups	Are there vulnerable or disadvantaged groups or individuals, including people with disabilities (consider also landless groups, lower income groups less able to cope with livelihood shocks/ stresses) in the project area, and are their livelihood conditions well understood by the project?	Yes. The widows, orphans, elderly, and children have special needs due to their vulnerability to exploitation and marginalization. The project will identify them, build their capacities, and initiate income generating activities to address their identified needs and expected benefits.	OK – please provide complete and detailed evidence of this engagement, capacity building, and addressing of socioeconomic needs throughout project design and PDD stage.
	Is there a risk that project activities disproportionately affect vulnerable groups, due to their vulnerability status?	No. The prioritization and design of the project activities was informed by stakeholders' consultations with various local community groups, including the vulnerable groups. The project will continue engaging them in the planning, to implementation phases through their involvement in decision-making platforms.	OK – looking forward to seeing evidence of this at PDD stage.

	Is there a risk that the project discriminates against vulnerable groups, for example regarding access to project services or benefits and decision-making?	No. The project coordination team is well experienced in community development. The vulnerable groups were integrated in the decision-making platforms.	OK. Please elaborate when preparing the PDD how benefits to under-represented groups will be prioritised.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – Not expected to occur due to the projects plans to engage with and include vulnerable groups in the project design process.*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – Minor, very small number of people affected*** ***Risk significance: Reviewer conclusions Low***			
Gender equality	Is there a risk of adverse gender impacts due to the project/ project activities, including, for example, discrimination or creation/exacerbation or perpetuation of gender-related inequalities?	No. The project coordinator has organizational policies on gender equality and mainstreaming. Therefore, the most vulnerable gender categories, being women and the youth, will be empowered on their rights and involved in decision-making.	Ok – please state these policies in the PDD.
	Is there a risk that project activities will result in adverse impacts on the situation of women or girls, including their rights and livelihoods? Consider for example where access restrictions disproportionately affect women and girls due to their roles and positions in accessing environmental goods and services?	No. the project will apply the policies and legislations regulating on access to environmental goods and services. For instance, Forest Conservation and Management Act 2016, Water Act 2016. These laws are gender sensitive, and they also advocate for gender mainstreaming, and hence they will not disadvantage the women and girls.	Ok
	Is there a risk that project activities could cause or contribute to gender- based violence, including risks of sexual exploitation, sexual abuse or sexual harassment (SEAH)? Consider partner and	No. Without the carbon project, women have suffered from physical exploitation when going	OK. Please, when elaborating the PDD, describe the training,

	collaborating partner organizations and policies they have in place. Please describe.	into forests, searching for firewood and on their long journeys to rivers to fetch water. The project aims to reverse this trend by availing water to their homesteads and firewood through promotion of agroforestry/ farm forestry.	monitoring and reporting of this topic.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – Not expected to occur due to project's actions to include women*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – Minor, very small number of people*** ***Risk significance: Reviewer conclusions Low***			
Human Rights	Is there a risk that the project prevents peoples from fulfilling their economic or social rights, such as the right to life, the right to self-determination, cultural survival, health, work, water and adequate standard of living?	No. the project coordination team is aware of the human rights, and it is guided by the Kenyan Constitution 2010, which provides a well elaborated bill of rights. It is also guided by the Sustainable Development Goals (SDGs) related to promotion of human rights.	Ok.
	Is there a risk that the project prevents peoples from enjoying their procedural rights, for example through exclusion of individuals or groups from participating in decisions affecting them?	No. The decision-making committee for the Water Fund project has representation from the public and private sectors and local community representatives, including the indigenous people.	Ok.
	Are you aware of any severe human rights violations linked to project partners in the last 5 years?	There are no such violations.	OK.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 1 – Negligible due to project's participatory approaches*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 4 – Would affect a large number of people*** ***Risk significance: Reviewer conclusions Low***			

Community, Health, Safety & Security	Is there a risk of exacerbating existing social and stakeholder conflicts through the implementation of project activities? Consider for example existing conflicts over land or natural resources, between communities and the state.	No. Benefit-sharing will be clearly discussed, agreed, and spelt out among the producers, project coordinator and other key stakeholders as guided by the Plan Vivo standard and the national laws and regulations.	Ok – are there any risks beyond the distribution of benefits? Do any social or stakeholder conflicts exist in the project area already? Response: There are no stakeholder conflicts. The area has been enjoying peace.
	Does the project provide support (technical, material, financial) to law enforcement activities? Consider support to government agencies and to Community Rangers or members conducting monitoring and patrolling. If so, is there a risk that these activities will harm communities or personnel involved in monitoring and patrolling?	Yes, the project supports law enforcement activities like community scouts to regularly monitor and patrol in the forests and provide intelligence. However, the scouts will be trained and equipped to be able to play their roles effectively. The Forest Act does not allow them to arrest suspects, considering that they are not well armed with guns. Instead, they provide intelligence to the mandated government agencies to take appropriate actions.	Ok – please include a detailed description of the mitigation activities described here in section 3.9.4 of the PDD.
	Are there any other activities that could adversely affect community health and safety? Consider, for example, exacerbating human-wildlife conflict, affecting provisioning ecosystem services, and transmission of diseases.	The project promotes biodiversity conservation and therefore there is likelihood for human wildlife conflicts. However, with guidance by Kenya Wildlife Service (KWS), which is a government agency mandated to manage wildlife, the communities will be well guided	Ok.

		on mutual co-existence with the wildlife.	

E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 3 – where benefit-sharing distribution seems to be well-managed, the project does not identify whether social or stakeholder conflicts exist within the project area. The project should investigate this further and provide a detailed explanation of any findings at PDD stage. Risk of human-wildlife conflict is also well identified by the project. This risk is therefore considered likely at this stage.*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – small number of people affected*** ***Risk significance: Reviewer conclusions Moderate***			
Labour and working conditions	Is there a risk that the project, including project partners, would lead to working conditions for project workers that are not aligned with national labour laws or the International Labor Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work (discriminatory working conditions, lack of equal opportunity, lack of clear employment terms, failure to prevent harassment or exploitation, failure to ensure freedom of association etc.)?	No. The project will ensure that labour laws and working conditions are respected and project activities supported do not include harmful child-labour, or discriminatory working conditions, as guided by the national and international labour laws.	Ok.
	Is there an occupational health and safety risk to project workers while completing project activities?	The project coordinator has staff members that are well trained and experienced on personnel management, that will guarantee safety in occupational health among its project workers.	Ok.
	Is there a risk that the project supports or is linked to forced labour, harmful child labour, or any other damaging forms of labour?	No. The project will ensure that labour and working conditions are respected and project activities supported do not include harmful child-labour.	Ok.
E&S reviewer conclusions			

Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 1 – Not expected to occur ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – Minor, very small number of people affected*** ***Risk significance: Reviewer conclusions Low***

Resource efficiency, pollution, wastes, chemicals and GHG emissions	Is there a risk that project activities might lead to releasing pollutants to the environment, cause significant amounts of waste or hazardous waste or materials?	No. Screening of project will be done through conducting environmental impact assessments and audits especially when developing the eco-tourism projects activities and other physical development that may have negative impact on the environment, as guided by the Kenya's Environmental Management and Coordination (Amendment) Act 2015.	Ok – please provide copies of the environmental impact assessments and audits at PDD stage, these would be great to see.
	Is there a risk that the project will lead to significant consumption of energy, water, or other resources, or lead to significant increases of greenhouse gases?	No. All the project activities are designed to either reduce or remove greenhouse gases emissions.	Ok.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 1 – Negligible due to project design*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – Very small affected area*** ***Risk significance: Reviewer conclusions Low :***			
Access restrictions and livelihoods	Will the project include activities that could restrict peoples' access to land or natural resources where they have recognised rights (customary, and legal)? Consider projects that introduce new access restrictions (e.g. creation of a community forest), reinforce existing access restrictions (e.g. improve management effectiveness and patrolling of a community forest), or alter the way that land and natural resource access restrictions are	Yes. The project has proposed project activities on improved forest management through restricted entry and usage of the forest goods and services. However, the local communities will still be allowed to access and	Ok – thanks for this explanation. The plan to keep the project area and community forests accessible and useable for the local community should be described at PDDs stage.

	decided (e.g. through introducing formal management such as co-management).	sustainably use the resources as guided by the user rights assigned to them by the relevant laws.	Participatory land mapping is a great way of engaging positively with communities in the project design phase, you can find our Participatory Toolkit under the 'resources' tab on our website if you'd like further guidance on this.
	Is there a risk that the access restrictions introduced /reinforced/altered by the project will negatively affect peoples' livelihoods?	No. The restrictions to access are only meant to allow sustainable use of the forest resources and still promote the livelihoods of the local communities and IPLCs	Ok.
	Have strategies to avoid, minimise and compensate for these negative impacts been identified and planned?	Yes. The local communities and IPLCs will be supported with alternative means of livelihoods to reduce the high dependency on forest resources	Ok – please provide further explanation of this at PDD stage.
Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 3 – project design and interventions in the project area mean that this risk is considered likely, despite the positive engagement and management provisions planned by the project. ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 3 - if this risk were to occur it would have a significant impact on a substantial number of people.*** ***Risk significance: Reviewer conclusions Moderate***			
Cultural heritage	Is the Project Area officially designated or proposed as a cultural site, including international and national designations?	There are known and identified sacred grooves and shrines in the forest ecosystems that will be developed and marketed for tourism attraction.	Ok – please describe how the project aims to respect and protect these areas at PDD stage. Consultations with the community to make these plans are advised and should be evidenced in the PDD.
	Does the project site potentially include important physical cultural resources, including burial sites and monuments, or natural features or resources of cultural significance (e.g. sacred	The forest ecosystems in the project site serve as sacred sites for prayers and for circumcision of	Ok – please provide further explanation of this access agreement at PDD stage,

	sites and species, ceremonial areas) and is there risk that the project will negatively impact this cultural heritage?	young boys. The project appreciates these services and during zonation of the forests, such areas were identified, and access is allowed by giving notice to the area KFS forest manager.	ensuring consent from the community at all stages.
	Is there a risk that the project will negatively impact intangible cultural heritage? Consider for example cultural practices, social and cultural norms in relation to land and natural resources.		Ok.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions_3 - despite the engagement and management provisions described by the project, the presence of cultural heritage sites in the project area, mean that this risk is moderate*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions_ 3 - if this risk were to occur it would have a significant impact on a fair number of people.*** ***Risk significance: Reviewer conclusions_ Moderate***			
Indigenous Peoples	Are there Indigenous Peoples living within the Project Area, using the land or natural resources within the project area, or with claims to land or territory within the Project Area?	Yes, there are Indigenous people in the project area (Cherangany, Sengwer, and Ogieks) that were previously living inside the forests. However, the Kenyan government relocated them to alternative lands outside forest ecosystems. Their access to the forests is still guaranteed but regulated by the user rights as guided by the Forest Conservation and Management Act 2016.	Ok – a description of these access rights and how they are impacted by project activities should be included at PDD stage.
	Is there a risk that the project negatively affects Indigenous Peoples through economic displacement, negatively affects their rights (including right to FPIC), their self- determination, or any other social or cultural impacts?	No marginalization of IPLCs, especially the Cherangany, Sengwer, and Ogieks, during project planning, implementation, and decision-making. Free, Prior	Ok – please provide evidence of stakeholder consultations and engagement with these groups, as well as descriptions

		and Informed Consent (FPIC) as a concept is well understood and it is always applied by the project in selection of planting sites and erection of protection barriers. A Free, Prior Informed Consent (FPIC) and action plan has been established by the project for engagement of the Cherangany, Sengwer, and Ogieks who are IPLCs in the project activities.	of their impact on project design, at PDD stage.
	Is there a risk that there is inadequate consultation of Indigenous Peoples, and/or that the project does not seek the FPIC of Indigenous Peoples, for example leading to lack of benefits or inappropriate activities?		Ok. Please include the action plan in the PDD.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 3 - due to the presence of indigenous groups in and around the project area, despite the consultation and engagement efforts of the project coordinator, this risk must still be considered likely to occur.*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 3 – should this risk occur; it would have a significant impact on a fairly small number of people.*** ***Risk significance: Reviewer conclusions Moderate***			
Biodiversity and sustainable use of natural resources	Is there a risk that project activities will cause adverse impacts on biodiversity (both in areas of high biodiversity value, and outside of these areas) or the functioning of ecosystems? Consider issues such as the use of pesticides, construction, fencing, disturbance, etc.	No. The project activities will increase vegetative and forest cover that will provide safe habitats for biodiversity. It will also increase forest cover along farmlands and riparian zones that will serve as safe dispersal areas and wildlife corridors.	Ok.
	Is there a risk that the project will introduce non-native species or invasive species?	No. The project will plant native tree species that are already identified as guided by the ecological zones and the well	Ok. Thanks for this info! The technical specifications, including a detailed list of tree

		experienced KFS personnel. The project will also address the menace of invasive tree species through research and control.	species being planted, will be required at PDD stage.
	Is there a risk that the project will lead to the unsustainable use of natural resources? Consider for example projects promoting value chains and natural resource-based livelihoods.	No. The income generating activities that will be promoted are nature-based enterprises.	Ok.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: 1 – Negligible due to project activities*** ***Estimated magnitude of risks (1-5) & justification: 2 – small area affected should this risk occur*** ***Risk significance: Low***			
Land tenure conflicts	Has the land tenure and use rights in the project area been assessed and understood?	The forest ecosystems in the project site are state forests which are owned by the Kenya Forest Service (KFS) as the custodians, on behalf of the national government of Kenya. The land ownership and co-management of the forests by the CFAs can be demonstrated through assigned user rights in negotiated and signed Forest Management Agreements (FMAs). On the other hand, the farmlands and the riparian lands are owned by individual people, majority of them being local community members, and smallholder farmers. The riparian zones which in most cases fall within private farmlands have restricted usage as guided by the Water Act 2016.	Ok.
	Is there a risk that project activities will exacerbate any existing land tenure conflicts, or lead to land tenure or use right conflicts?		Ok. Please provide documentation in the PDD confirming that the farmers are landowners.

E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – not expected to occur due to the fact that farmers own the land*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – very small areas*** ***Risk significance: Reviewer conclusions Low***			
Risk of not accounting for climate change	Have trends in climate variability in the project areas been assessed and understood?	Yes, the forest cover changes have been assessed and understood. Further assessments will be undertaken.	Ok. Please include these assessments int the PDD.
	Has the climate vulnerability of communities and particular social groups been assessed and understood?	Yes. Climate variability for IPLCs were assessed and further assessments will be undertaken.	Ok. Please include these assessments in the PDD.
	Is there a risk that climate variability and changes might influence the effectiveness of project activities (e.g. undermine project-supported livelihood activities) or increase community exposure to climate variation and hazards? Consider floods, droughts, wildfires, landslides, cyclones, etc.	Yes, there are such risks, especially on rain-dependent project activities like tree planting. To mitigate the risk, tree planting will be done during the onset of rainy seasons. It will also be guided by tree species choice depending on the ecological zones.	Ok. Please include this observation in the planting program and report the effectiveness of these measures in the PDD.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – unlikely but could occur; the project has established proper assessment and management measures to mitigate this risk (primarily of landslides and floods)*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2- very small area*** ***Risk significance: Reviewer conclusions Low***			
Risk of digital tool use	Is there a risk that communities and other local stakeholders, especially marginalised or conflict-affected groups, may be unaware of how and where digital technologies will be deployed and how the data will be used (refer back to relevant FPIC processes).	The Project recognizes that the use of digital tools may pose risks related to awareness, privacy, and potential unintended harm, particularly for marginalized or vulnerable groups. To mitigate this, all data collection activities will be undertaken in line	O.k. Please, include this information as part of the FPIC processes in the PDD.

		with established FPIC processes. Communities will be clearly informed, in accessible language, about what data is being collected, the purpose of collection, how it will be used, and their rights, including the option to decline participation.	
	If illegal or private activities are captured using digital technologies, will it increase the likelihood of conflict within the community or cause harm to vulnerable groups? Consider the potential for captured data to be shared with government authorities, leading to marginalization and/or exploitation.	The project will not intentionally capture or monitor illegal or private activities. Data collection will be strictly limited to information necessary for project implementation and monitoring, such as tree planting, land use practices, and restoration activities. Sensitive or personally identifiable information will be minimized and, where required, anonymized or aggregated to prevent identification of individuals or groups. The project will not share data with third parties, including government entities, in ways that could expose communities to risk, marginalization, or exploitation.	O.k. Please include this information in the PDD, especially as part of Section 4.10. Record Keeping and Annex 14. Project Database.
	Is the project able to store data in a way that protects the privacy of individuals? Are there existing national laws and/or regulations that support data protection and privacy, which the project should comply with (for example, GDPR regulations)? Please describe the measures in place to ensure this (e.g. Data Management Plan).	Data management will comply with the Kenyan Data Protection Act (2019) and align with international best practice. All data will be stored in secure, password-protected systems with	O.k. Please include this information in the PDD, especially as part of Section 4.10. Record Keeping and Annex 14. Project Database.

		restricted access limited to authorized personnel. A clear data management plan is already in place and will guide data collection, storage, access, sharing, and retention procedures. Field teams will receive training on ethical data handling, confidentiality, and responsible use of digital tools to ensure consistent application of these safeguards.	
E&S reviewer conclusions *Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – unlikely but could occur; the project will be including proper measures in the FPIC processes, record keeping and project database management to mitigate this risk.* *Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 3 - if this risk were to occur it would have a significant impact on an important number of people.* *Risk significance: Reviewer conclusions **Moderate**.*			
Other – e.g. cumulative impacts	Is there a risk that the project will contribute cumulatively to existing environmental or social risks or impacts, for example through introducing new access restrictions in a landscape with existing restrictions and limited land availability?	Agroforestry activities and riparian restoration will limit unrestricted cultivation and grazing within designated riparian buffer areas, but these measures will be designed to enhance ecosystem services and soil/forest protection while respecting land tenure. Overall, cumulative social and environmental risks will be minimal, and any restrictions will be implemented with community consultation and zoned management plans.	Ok – please provide descriptions of these plans and evidence of community consultation on them at PDD stage.

	Are there any other environmental and social risks worthy of note that are not covered by the topics and questions above?	None.	Ok.
E&S reviewer conclusions ***Estimated likelihood of risks (1-5) & justification: Reviewer conclusions 2 – not likely to occur due to the nature of the project activities*** ***Estimated magnitude of risks (1-5) & justification: Reviewer conclusions 2 – if this risk were to occur it would have a relatively minor impact on a small number of people*** ***Risk significance: Reviewer conclusions Low***			

SECTION C: SAFEGUARD PROVISIONS			
Stakeholder engagement: requirements 2.1.1-2.1.3	Has a stakeholder analysis been conducted that has identified all stakeholders that could influence or be affected by the project, or is this still to be completed? Please describe.	Stakeholder engagements were already done. The primary, secondary, and tertiary stakeholders, including IPLCs, were identified, and their views, concerns, and expected carbon benefits collected through physical meetings.	Ok. Please provide evidence in the PDD.
	Are the local community and Indigenous Peoples statutory or customary rights to land or resources within the project area already clear and documented, or is further assessment required? Please describe.	The statutory and customary rights of the IPLCs were documented. A Free, Prior Informed Consent (FPIC) and action plan has been established by the project for engagement of the Cherangany, Sengwer, and Ogieks who are IPLCs in the project activities.	Ok. Please provide evidence in the PDD.
	Are local governance structures and decision-making processes described and understood (including details of the involvement of women and marginalised or vulnerable groups), or is further assessment required? Please describe.	Governance structures for the Water Fund are in place. The IPLCs and other vulnerable people like	Ok. Please provide evidence in the PDD

		women and the youth are well represented.	
	Are past or ongoing disputes over land or resources in the project area known and documented, or is there need for further assessment? Please describe.	Yes, past land disputes are well known and documented. The project will be implemented in sites with no historical land disputes.	Ok. Please provide evidence in the PDD. Descriptions of these disputes should be included in the 'community, health, safety and security section' of this screening.
Stakeholder consultation: requirements 2.5.1 and 2.5.2	Does the project have a Stakeholder Engagement Plan with clear measures to engage Vulnerable Groups, or is this plan still to be developed? Please describe.	There is a stakeholders engagement plan in place that has assessed the various strengths, weaknesses, opportunities, and threats (SWOT) of the stakeholders and their relevance, skill-levels, and influence on the carbon project. Further refinement of the plan is yet to be done.	Ok. Please include in the PDD
	Has the Project Coordinator informed all stakeholders of the project, through providing relevant project information in an accessible format, or does this still need to be completed? Please describe.	The key stakeholders were informed about the potential carbon project during the stakeholder engagement physical meetings.	Ok. Please provide evidence in the PDD and demonstrate their impact on project design going forward.
Free, Prior and Informed Consent: requirements 2.6.1-2.6.4	Has the project analysed and understood national and international requirements for Free Prior and Informed Consent (FPIC)? Please describe.	Yes, the project understands the provisions of the Free, Prior Informed Consent (FPIC). The project has established an FPIC and action plan for engagement of the Cherangany, Sengwer, and Ogieks who are IPLCs in the project activities.	Ok. Please provide a detailed description of the FPIC process enacted, as well as evidence of consultation, and the action plan in the PDD.
	Has the project identified potential FPIC rightsholders and potential representatives in local communities and among Indigenous Peoples, or is this still to be completed? Please describe.		Ok.

	Has the project worked with rightsholders and representatives of local communities and Indigenous Peoples to understand the local decision-making process and timeline (ensuring involvement of women and vulnerable groups), or is this still to be completed? Please describe.	Yes, the IPLCs were among the primary stakeholders that were met and consulted through the physical meetings. Their consent for the proposed carbon project was also sought. The IPLCs welcomed the project on condition that the FPIC and the action plan be established.	Ok. Please provide evidence of this consultation, as well as impacts on project design as a result of them, and the action plan in the PDD.
	Has the project sought consent from communities to 'consider the proposed project', and if so, where is this in principle consent documented? Please describe.		Ok

Grievance Redress Mechanism: requirements 3.16.1	Does the project already have a Grievance Redress Mechanism (GRM), or is this still to be established? Please describe.	A grievance/ conflict resolution mechanism is yet to be established. This will be done in consultation with the various stakeholders and have it documented and made accessible to the affected people.	Pending. Please include it in the PDD.
	For projects with a GRM, is this accessible to project affected people? Please describe.		Pending. Please include it in the PDD.

E&S reviewer conclusions for safeguard provisions

Are the project Safeguard Provisions adequately addressed, or to be adequately addressed during the project design phase? Yes, the Safeguard provision evidence needs to be included at the PDD stage. The project seems well-equipped and prepared to provide this and has already started on adequate community consultation to establish the relevant processes.
What additional actions need to be conducted during the project design phase? No additional just the ones mentioned above.
Any other comments: No more comments

SECTION D: SCREENING REPORT (NOT TO BE COMPLETED BY PROJECT: FOR USE OF PV E&S REVIEWER)	
Name of E&S reviewer	**Amelia Evans & Edwin Castillo**
Date of E&S screening:	**19/05/2025**
Project risk rating:	Low

Principle risks and impacts

Key risks:

The key risks facing the project are primarily focussed on the access restrictions facing indigenous communities in the forest where project activities are planned to take place. This includes risks of disputes and conflict impacting the security of the local community, as well as risks to access restrictions and livelihoods of forest users. The presence of both indigenous peoples and cultural heritage sites in and around the project area also present a moderate risk to the project. Extensive, thorough and evidenced community consultation to establish usage rights, fair access, protections for indigenous peoples, and respect of cultural heritage sites has already been initiated by the project and must be continued and built on throughout project design stage. These will be reviewed at PDD stage – please ensure each comment made in this screening is addressed in the PDD, particularly in section 3.9 and Annex 10.

E&S topic/ risk area	Likelihood (1-5)	Magnitude (1-5)	Significance (low, moderate, severe, high)
Vulnerable Groups	2	2	Low
Gender equality	2	2	Low
Human Rights	1	3	Low
Community, Health, Safety & Security	3	2	Moderate
Labour and working conditions	1	2	Low
Resource efficiency, pollution, wastes, chemicals and GHG emissions	1	2	Low
Access restrictions and livelihoods	3	3	Moderate
Cultural heritage	3	3	Moderate
Indigenous Peoples	3	3	Moderate
Biodiversity and sustainable use of natural resources	1	2	Low

	Land tenure conflicts	2	2	Low
	Risk of not accounting for climate change	2	2	Low
	Risk of digital tool use	2	3	Moderate
	Other – e.g. cumulative impacts	1	1	Low
E&S assessment required	E&S assessment required. You should focus on the risks identified as moderate and the comments made throughout this screening. Do keep building on the consultations and engagements already started and ensure they are evidenced in the PDD and their outputs have clear impacts on project design!			
Likely safeguard plans required	Yes, ESMP section of the PDD is necessary. Looking forward to seeing the development of the safeguard provisions at PDD stage too.			

Annex 5 – Notification of Relevant Authorities

The following institutions endorsed the project, and supporting documents were submitted to the Plan Vivo Standard and are available on request:

1. County Government of Elgeyo Marakwet
2. County Government of Uasin Gishu
3. Kenya Water Towers Agency
4. Kenya Forest Service
5. Eldoret Water and Sanitation Company
6. Water Resource Authority
7. Community within Upper Sosiani Catchment

Annex 6 – AI Tool use Disclosure

The Plan Vivo Foundation acknowledges the potential of Artificial Intelligence (AI) tools in preparing Project documentation.

Important Note: The use of AI tools does not absolve the Project Coordinator of the ultimate responsibility for the accuracy, completeness, and full compliance of all submitted documentation. All AI-generated content must undergo strict human review and verification. To ensure transparency, please complete the following:

Declaration of AI Tool use

1. Have AI tools been used in the creation or presentation of information within this PIN? ☐ Yes ☒ No
2. If 'Yes' (to Question 1), please specify how these tools were used and in which sections of this document:

Section	Purpose of AI Tool Use	AI-Tools Used
E.g. 1.3 Land and Carbon Rights	E.g. drafting initial text, summarising literature, assisting with data analysis	E.g. ChatGPT-4, Google Gemini, Microsoft Copilot.
Add additional rows as necessary	Add additional rows as necessary	Add additional rows as necessary

Annex 7 – Free Prior Informed Consent

Consent from three communities obtained, and copies available in the Plan Vivo database:

1. Cherenganyi Indigenous Community
2. Ogiek Indigenous Community
3. Sengwer Indigenous Community

Annex 8 – Abbreviations

ANR - Assisted Natural Regenerations
CFA - Community Forest Association
CSO - Civil Society Organization
EIWF - Eldoret-Iten Water Fund
ELDOWAS - Eldoret Water and Sanitation Company
FMA - Forest Management Agreement
FPIC - Free Prior Informed Consent
GEF - Global Environment Facility
GHG - Green-House Gases
IFAD - International Fund for Agricultural Development
IGA - Income Generating Activity
IPLCs - Indigenous People and Local Communities
JNR - Jurisdictional and Nested REDD+ framework.
KEFRI - Kenya Forestry Research Institute
KFS - Kenya Forest Service
KWS - Kenya Wildlife Service
KWTA - Kenya Water Towers Agency
NBE - Nature Based Enterprise
NEMA - National Environment Management Authority
PFM - Participatory Forest Management
PFMP - Participatory Forest Management Plan
REDD+ - Reduced Emissions from Deforestation and Degradation
TNC - The Nature Conservancy
UoE - University of Eldoret
VCS - Verified Carbon Standard
WRA - Water Resource Authority
WRUA - - Water Resource Users Association