

# Vanga Blue Carbon Project

## VALIDATION REPORT



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05/07/2019



# VANGA BLUE CARBON PROJECT

DOCUMENT PREPARED BY

## EPIC Sustainability Services Private Limited



<b>Project Title</b>	Vanga Blue Carbon Project
<b>Report Title</b>	Vanga Blue Carbon Project
<b>Version</b>	01
<b>Report ID</b>	ESSPL/PV/2019/05
<b>Client</b>	Association of Coastal Ecosystem Service (ACES), Mark Huxham, School of Life, Sport and Social Sciences, Edinburgh Napier University
<b>Pages</b>	35
<b>Date of Issue</b>	05/07/2019
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<b>Work Carried Out By</b>	Dr.D.Siddaramu (Lead Auditor)

**Name of Reviewers:**

Dr.D.Siddaramu

**Date of Review:**

28/02/2019 to 02/03/2019

**Project Name:**

Vanga Blue Carbon Project

**Project Description:**

Vanga Blue Carbon Project aims project aims at maintaining a sustainable flow of goods and services provided by mangrove forests by halting further deforestation and degradation, and contribute to improved community livelihood. Project is to prevent the emissions of over 93,077 tCO<sub>2</sub> in the 20 years crediting period. The main objectives of the project are:

- To restore the degraded mangroves of Vanga pilot area through community participation.
- To prevent continued emissions from the deforestation and degradation in a way that can be measured, reported and verified
- To promote long-term socio-economic development of the local communities through income generation from mangrove forest resources, including sales of carbon credits.
- To enhance community capacity on co-management of mangrove areas

The project is located in Kwale County (4° 39'00"S and 39°13'00"E), South coast of Kenya. The project area is part of the trans-boundary mangroves extending from Shikoni in Kenya to Tanga in Tanzania; and includes a mosaic of mangroves of Vanga, Jimbo, Kiwengu, Majoreni and Sii Island, covering a total surface area of ~5000 ha. Sii Island is an important buffer zone of the Kisite Mpunguti Marine Protected Area, owing to its biodiversity and contribution to fisheries.

Mangroves of the area are exploited for wood and non-wood resources. Over the last two decades, the loss of mangroves in Vanga has been estimated at 1.2% by area per year; translating to a loss of 60ha/yr. The loss is higher than the 0.7% National average for mangroves in Kenya. The root causes of mangrove degradation and transformation in Vanga have been identified as population increase, poverty status of the resident community, poor governance and lack of awareness on true values of mangrove ecosystem. Poor governance manifests itself through illegal harvesting and encroachment of mangrove areas for agriculture and human settlement.

Vanga pilot area is endowed with a wide spectrum of natural resources including mangroves, terrestrial coastal forests, seagrass beds, corals and fisheries. Community access to these resources is governed by local governance structures; enshrined in the Forest Act (2005) for forestry and the Fisheries Act (2008) for marine associated resources. The Law permits community exploitation of natural resources through development of localized participatory forest management plan (PFMP). An approved PFMP already exists for the Vanga pilot area.

The Project targets Vanga, Jimbo and Kiwegu villages in Vanga location. The total households in these villages are 2,418, with a combined population of ~13,546 people. There are six ethnic groups with high Muslim5 population. A majority of the houses are semi-permanent in nature(mud/wood walls, earthen floors and 'makuti' or corrugated iron sheet for roofing). About 87% of households use firewood as the main source of energy. Only 6% of the households are connected to the National grid and the sanitation is generally poor.

**Land tenure & Carbon Rights:** All mangrove forests in Kenya are gazetted, protected and managed as forest reserves under the Forest Act 2005. The Act requires that all national forests, including mangroves, be managed through approved management plans and participation of stakeholders. More specifically, Part IV (Articles 45–48) of the Forest Act provides for comprehensive community participation in forest management. The Forest Act also encourages communities living adjacent to forest reserves to register community forest associations (CFAs) in order to co-manage and conserve the forest in collaboration with the Kenya Forest Service. In addition, Article 40 of the Act provides for management of forests for the purpose of carbon sequestration and other environmental services. The Forest Act encourages CFAs to develop management plans for local forests and prescribes traditional forest user rights in terms of goods and services.

**List of Principal documents reviewed (including list of sites visited and individuals/groups interviewed):**

**Visited sites:**

Vanga, Jimbo and Kiwegu villages in Vanga location

**List of individuals interviewed:**

The following persons were interviewed.

SI No	Person's interviewed	Designation / Company	Topic discussed
1.	Dr. James Kairo	Director, KMFRI	➤ Project Design ➤ Project Implementation status ➤ Baseline Scenario ➤ Management, Monitoring, documentation and reporting system ➤ Roles and responsibility
2.	Ms. Lilian Mwihaki	KMFRI	
3.	Mr. Fredrick Mungai	KMFRI	
4.	Mr. Kama Abdallah	SNR chief Vanga village	➤ Project Design ➤ Baseline Scenario ➤ Project Implementation status ➤ Roles and responsibility
5.	Mr. Kombo Mahamod	Chairman	
6.	Mr. Harith Mohammed	Vanga village	
7.	Mr. Hamisi J. Vunde	Kiwegu village	
8.	Mr. Rashid Said	Jimbo village	

The list of community persons/stakeholders interviewed is attached as Appendix 1.3

**Description of field visit:**

The on-site field inspection was carried out between 28/02/2019 to 02/03/2019; it included meetings and interviewing 50+ people from the villages of Vanga, Jimbo and Kiwegu. The meeting was in the form of community gathering in the active presence of Association of Coastal Ecosystem Services (ACES), on behalf of the Community Forest Association (CFA) of Vanga, Jimbo and Kiwegu, hereinafter referred to as VAJIKI, who are the owners of the carbon credits derived from the Vanga Blue Forest project.

**Validation Opinion:**

EPIC has performed the validation of the proposed PV project “Vanga Blue Carbon Project” against Plan Vivo criteria (viz; Governance; Carbon performance; Ecological performance; and Livelihoods improvement). The review of the project description, supporting documentation and interviews has provided EPIC with the evidence to validate the project in fulfillment to the stated criteria of the Plan Vivo Foundation.

In summary, it is the opinion of EPIC that the project documents represent an accurate and clear description of the project and its activities and meets the Plan Vivo Standard.

Based on an evaluation of the project proponent’s management systems and performance in the field across the defined audit scope, EPIC validation team concludes that project proponent has clearly “Demonstrated compliance with the PV standard”.

*Table 1. Summary of major and minor Corrective Actions*

Theme	Major CARs	Minor CARs	Observations
Governance	01	03	05
Carbon	0	01	0
Ecosystem	01	01	0
Livelihoods	02	05	0

*Table 2 - Report Conformance*

Theme	Conformance of Draft Report	Conformance of Final Report
Governance	Yes/No	Yes/No
Carbon	Yes/No	Yes/No
Ecosystem	Yes/No	Yes/No
Livelihoods	Yes/No	Yes/No

Theme	1. Effective and Transparent Project Governance
<i>Ensuring that the project meets requirements 3.1-3.16 of the Plan Vivo Standard (2013)</i>	
A. Requirement	<b>1.1 Administrative capabilities</b> Is there a legal and organisational framework in place that has the sufficient capacity and a range of skills to implement all the administrative requirements of the project? Aspects of this framework

	<p>may include:</p> <ul style="list-style-type: none"> <li>1.1.1 A legal entity (project coordinator) that is able to enter into sale agreements with multiple producers or producer groups for carbon services</li> <li>1.1.2 Standard sale agreement templates for the provision of carbon services</li> <li>1.1.3 Systems for maintaining transparent and audited financial accounts able to the secure receipt, holding and disbursement of payments to producers</li> <li>1.1.4 All necessary legal permissions to carry out the intended project activities</li> <li>1.1.5 Mechanisms for participants to discuss issues associated with the design and running of the project</li> <li>1.1.6 Procedures for addressing any conflicts that may arise</li> <li>1.1.7 Ability to produce reports required by Plan Vivo on a regular basis and communicate regularly with Plan Vivo</li> </ul>
<b>B. Guidance Notes for Validators</b>	<p>Organizational and administrative capacity may be demonstrated through:</p> <ul style="list-style-type: none"> <li>• A record of managing other projects - especially those involving the receipt, safeguarding and management of funds and disbursement of these to smallholders/community groups</li> <li>• Project staff who can explain the legal status of the organisation and its management and financial structure i.e. how funds will be held and transferred – backed up by evidence of setting up bank accounts and record-keeping systems etc.</li> <li>• The views of others who have worked with the organisation in the past (such as government, other project partners or other NGOs)</li> <li>• A visibly efficient and functioning office with all necessary staff</li> </ul>
<b>C. Findings (describe)</b>	<p>1.1.1 Two entities have been established to ensure the sale of carbon credits and distribution of carbon finance back to suitable community projects, once monitoring criteria have been met.</p> <p>Association for Coastal Ecosystems Services (ACES), a Scottish registered Charity (SC043978), is responsible for selling Vanga blue Carbon project carbon credits to the market and distributing these funds to the VAJIKI once monitoring criteria are met.</p> <p>Community Forest Association (CFA) of Vanga, Jimbo and Kiwegu, hereinafter referred to as VAJIKI, a registered community producer organization. Governed representatives from Vanga, Jimbo and Kiwegu villages are responsible for organization of village barazas to discuss distribution of funds, collection of funds from ACES, facilitating the choice of supported projects, distribution of funds to projects.</p> <p>The project will be implemented by VAJIKI CFA in partnership with KFS. Technical support will be through KMFRI, who have knowledge and experience of developing and implementing similar Blue Carbon Projects in the region; with additional expertise from partners at Edinburgh Napier University and ACES.</p>

	<p>1.1.2 Not Applicable - As Vanga blue Carbon project is distributing funds to community projects, rather than to individuals. Sale agreement templates are not required.</p> <p>1.1.3 VAJIKI CFA holds a bank account, and has processed salary payments to project coordinators, seedling nursery and administration costs. Payments will be made through this account when community projects are selected.</p> <p>1.1.4 ACES submitted. However, Kenya Forest Services Letter confirming Forest User Agreement for Vanga, Jimbo and Kiwegu villages CFA is not submitted for verification.</p> <p>1.1.5 Village meetings (barazas) are called by the village chief, usually in response to a particular issue. These will continue to be a forum for inclusive discussion of Vanga blue Carbon project. Due to their personal involvement and interests, the 07 members of the Vanga blue Carbon project committee informally represent a voice for a number of community groups such as those involved in education, fishing, conservation and the women's boardwalk. A four-stage process has been designed to ensure benefit sharing: 1. VAJIKI CFA members collect ideas from their community 2. A full VAJIKI CFA meeting determines priorities and ranks costs 3. Ranked priorities are made public and a month is allowed for response 4. Confirmation meeting of VAJIKI CFA.</p> <p>1.1.6 Document to support "Procedures for addressing any conflicts that may arise" is not submitted for verification</p> <p>1.1.7 Project Coordinator, with technical support from KFS and KMFRI, will develop a record keeping system which will document the following:</p> <ul style="list-style-type: none"> <li>a) Minutes of the village barazas held</li> <li>b) Financial income and expenditures</li> <li>c) Environmental and socio-economic monitoring indicators and</li> <li>d) Reports from forest patrols and other project activities</li> </ul>
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p><u>Minor CAR01</u> Contractual agreement between ACES and VAJIKI CFA is not submitted for verification to understand the Governance structure.</p> <p><u>Minor CAR 02</u> Kenya Forest Services Letter confirming Forest User Agreement for Vanga, Jimbo and Kiwegu villages CFA is not submitted for verification.</p> <p><u>Minor CAR03</u> As indicated in section I.4 of the PDD, please submit the following for review</p> <p>a) Minutes of the village barazas held</p>

	<p>b) Financial income and expenditures        c) Environmental and socio-economic monitoring indicators and        d) Reports from forest patrols and other project activities</p> <p><b><u>Observations CL01</u></b></p> <p>In section I.4 of the PDD, it is indicated that "<i>In accordance with Plan Vivo guidelines, independent validation of the project will be undertaken every 5 years</i>" and on page no.55 it indicated "<i>September 2023 - Project 5 year's validation</i>". Check and reward</p>
<b>F. ACES/VAJIKI Response</b>	<p><b><u>Minor CAR01:</u></b></p> <p>The signed contractual agreement between ACES and VAJIKI, previously submitted for validation, is attached alongside this document – please see documents '01 11.1 Documentation of free prior and informed consent from identified stakeholder groups' and '02 4.2 Memorandum of Understanding between Project Coordinator and other coordinating entities'.</p> <p>'01 11.1 Documentation of free prior and informed consent from identified stakeholder groups' is the cover and signatory page to '02 4.2 Memorandum of Understanding between Project Coordinator and other coordinating entities'. Therefore document 01 contains the signatures requested, and document 02 contains the T&amp;Cs.</p> <p>The full document, containing the signatures and the T&amp;Cs, is held by VAJIKI CFA. However at this time, the COVID-19 pandemic is restricting mobility in Kenya and it is not possible to access a full, signed and scanned document. We request that the two documents are read together as documentation of both the T&amp;Cs and the consent of the parties.</p> <p><b><u>Minor CAR02:</u></b></p> <p>The Forest User Agreement will be signed at an event to launch the Vanga Blue Forest, which will be attended by Kenya Forest Service. This is expected to take place at the end of June, but VAJIKI CFA are currently awaiting confirmation from KFS on a date. All parties understand that the Agreement will be signed at this event. The signed document can be provided to EPIC once it is available. Please see attached document 02 VBF - KFS User group agreement</p> <p><b><u>Minor CAR03:</u></b></p> <ul style="list-style-type: none"> <li>(a) Please see minutes of baraza in attached documents '03 Vanga PDD stakeholder's meeting-May 2017' and '04 Upscaling Mangroves Carbon Project - Vanga workshop report'.</li> <li>(b) These do not yet exist as the project has not yet initiated.</li> <li>(c) Please see Table 17 of the PDD: Methods of measurement of expected socio-economic impacts of the project'.</li> <li>(d) These do not yet exist as the project has not yet initiated.</li> </ul>

	<p>The 2014 and 2017 workshop reports serve as minutes to the meetings (barazas) relating to the Vanga Blue Forest project. The 2014 workshop report has been submitted as it was the initial workshop/meeting relating to the launch of VBF. The process to establish the project has been ongoing since this date. The 2017 workshop report built on this previous meeting with community stakeholders.</p> <p>Where section I.4 of the PDD states that 'Minutes of the barazas held' will be documented, this refers not only to these initial meetings but to barazas to be held throughout the project lifespan. As the project is newly launched, these have not yet been held and minutes are therefore not available.</p> <p><u>Observations CL01:</u></p> <p>This error has been corrected to read that "<i>In accordance with Plan Vivo guidelines, <u>independent verification</u> of the project will be undertaken every 5 years</i>" and "<i>September 2023 - Project 5 year's <u>verification</u></i>".</p>
<b>G. Status</b>	<i>Closed</i>
<b>A. Requirement</b>	<p><b>1.1 Technical capabilities</b></p> <p>Is the project through its staff or partners able to provide timely and good quality technical assistance to producers and/or communities in planning and implementing the productive, sustainable and economically viable forest management, silvicultural and agroforestry actions proposed for the project and for any additional livelihoods activities that are also planned?</p>
<b>B. Guidance Notes for Validators</b>	<p>Technical capabilities may be determined through:</p> <ul style="list-style-type: none"> <li>• Discussions with project staff who should be able to define clearly who is responsible for the provision of technical support</li> <li>• Interviews with project staff to demonstrate that they are familiar with the content of project technical specifications e.g. species to be planted, spacing requirements, management systems and any potential issues</li> <li>• Feedback from farmers/communities who have been supported in the past</li> <li>• On-site evidence of project activities (possibly from other projects) that have benefited from technical support</li> </ul>
<b>C. Findings (describe)</b>	<p>Vanga Blue Forest (VBF) project will be implemented by a registered community organization with membership derived from VAJIKI CFA and shall receive technical support from KMFRI with additional expertise from partners at Edinburgh Napier University and ACES, KFS and other actors (Figure 11, Table 14 of PDD). ACES has previously supported the successful implementation of its first pioneering mangrove carbon project, Mikoko Pamoja, that was set up by the communities of Gazi and Makongeni to conserve nearby mangrove forests. The design of the project has been participatory with a series of consultation workshops in order to guarantee</p>

	the involvement and commitment of all stakeholders.			
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>	
<b>E. Corrective Actions (describe)</b>	<u>Major CAR01</u> Contractual agreement of VAJIKI CFA with ACES, KMFRI, KFS and others is not submitted for verification to understand the role and responsibilities for the successful implementation of the project			
<b>F. ACES/VAJIKI Response</b>	<u>Major CAR01:</u> The contractual agreement exists only between VAJIKI CFA and ACES. This is attached in documents '01 11.1 Documentation of free prior and informed consent from identified stakeholder groups' and '02 4.2 Memorandum of Understanding between Project Coordinator and other coordinating entities'.  KMFRI will provide in-kind support to VAJIKI CFA as they have done with MPCO; however this will not be governed by a contractual agreement.  The agreement between VAJIKI CFA and KFS will be formalised by the signing of the Forest User Agreement (see Minor CAR02). Please see attached document 01 VBF - KFS User group agreement			
<b>G. Status</b>	<i>Closed</i>			
<b>A. Requirement</b>	<b>1.2 Social capabilities</b> Is the project, through its staff or partners able to demonstrate an understanding of the social conditions of the target groups/communities and likely implications of the project for these? This might include: <ul style="list-style-type: none"> <li>1.2.6 A demonstrated ability to select appropriate target groups through stakeholder analysis and to understand the implications of the project for specific groups e.g. poor, women, socially disadvantaged etc.</li> <li>1.2.7 Groups/communities that are well-informed about the Plan Vivo System and the nature of carbon and ecosystem services</li> <li>1.2.8 Local groups/communities that can demonstrate effective self-governance and decision-making</li> <li>1.2.9 Well-established and effective participatory relationships between producers and the project coordinator</li> <li>1.2.10 Demonstrated ability to establish land-tenure rights through engaging with producers/communities and other relevant organisations</li> <li>1.2.11 Ability to consult with and interact with producers/communities on a sustained basis through participatory 'tools' and methods</li> <li>1.2.12 Established system for conflict resolution</li> </ul>			
<b>B. Guidance Notes for Validators</b>	Social capabilities may be determined through: <ul style="list-style-type: none"> <li>• Records/minutes/photographs of community meetings and training</li> </ul>			

	<p>workshops etc.</p> <ul style="list-style-type: none"> <li>• Project staff able to explain (in line with PDD) how land tenure is checked by the project</li> <li>• Project staff and communities able to explain how communities/target groups were selected and involved in the development of the project and in the choice of activities</li> <li>• Project staff able to demonstrate that they are familiar with the communities/target groups and able to interact with them easily through meetings facilitated during the validation</li> <li>• Meetings held with specific target groups e.g. women, socially disadvantaged etc.</li> </ul>					
<b>C. Findings (describe)</b>	<p>The VAJIKI CFA team has undertaken a wide range of engagement activities with local groups throughout the project development phase like.,</p> <ul style="list-style-type: none"> <li>➢ Identifying the active community partners</li> <li>➢ 07 members of the VAJIKI CFA committee are active in these groups</li> <li>➢ barazas: meetings are held approximately twice a month. Vanga blue project has been discussed on a number of occasions. It will be one forum for discussion of fund distribution</li> <li>➢ Though the PDD indicates that a qualified Project Coordinator (PC) is recruited in December 2018 for day to day running of the project according to the workplan. The PC will be trained on coordination and reporting procedures and will be responsible for reporting of project activities. Information on how much carbon funds has been generated will flow from the coordinator to the committee and lastly to the community members through village barazas and also displayed on strategic located village notice boards. His availability with e spends a large proportion of his work time engaging with local groups actively. However availability of PC on full time at site and such arrangements were found missing at site</li> <li>➢ VAJIKI CFA has a newly built office at Vanga village. However, It does not contain information about the importance of mangroves</li> </ul>					
<b>D. Conformance</b>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Yes</td> <td style="width: 25%; text-align: center;"><input checked="" type="checkbox"/></td> <td style="width: 25%; text-align: center;"><input type="checkbox"/></td> <td style="width: 25%; text-align: center;">N/A</td> <td style="width: 25%; text-align: center;"><input type="checkbox"/></td> </tr> </table>	Yes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	N/A	<input type="checkbox"/>		
<b>E. Corrective Actions (describe)</b>	<p><u>Observations CL02</u>  VAJIKI CFA has a newly built office at Vanga village. However, It does not contain information about the importance of mangroves</p> <p><u>Observations O3</u>  In PDD, section B.1, page no.11 the following is mentioned "<i>The project area also includes Sii Island, a small uninhabited island near Vanga whose mangroves have not yet been heavily exploited due to its inaccessibility by cutters using small boats.</i>" Please justify</p>					

	<p><u>Observations 04</u></p> <p>In section I.4 of the PDD is silent on “who will be in charge of business development, sales and managing transactions on the Markit environmental registry (Markit)”</p>
<b>F. ACES/VAJIKI Response</b>	<p><u>Observations CL02</u></p> <p>When a Project Coordinator is in place at VBF, materials will be developed for the communication of the importance of mangrove forests. These will include, but not be limited to, murals, posters and books. The Project Coordinator, Mwanarusi Mwafrica, is now in post and stationed at Vanga</p> <p><u>Observations CL03</u></p> <p>We are unclear as to whether the validator is seeking justification of the claim that Sii island has not been heavily exploited, or justification that Sii island be included if it has not been heavily exploited.</p> <p>If the validators are seeking justification for the former, this is a personal observation of the team members who have visited the island and spent time establishing permanent monitoring plots, among other activities. This has involved observing a sufficient area of the island to ascertain that little to no extraction has taken place in the mangroves, evidenced by no evidence of clear cutting, few stumps and complete canopy closure in most of the forest.</p> <p>If the validators are seeking justification that Sii island be included: including Sii island was a decision that was deliberated during the development of the VBF PDD. It was decided, through discussion with Plan Vivo, that it would be prudent to include Sii island as although it has not yet been exploited, it is at risk of this as it contains excellent stands of <i>Rhizophora mucronata</i>, a species that has been exploited heavily for mangrove poles for construction and fuel wood in adjacent areas. The island has not been heavily exploited to date due to its relative isolation in comparison to adjacent mangrove forests and associated challenges in navigating stronger waves with relatively small boats, but this may change as the local population increases. It was decided that Sii island be included on a precautionary basis to allow the mangrove forest to continue to deliver the ecosystem services that it currently provides as an undisturbed ecosystem, particularly fisheries enhancement for fringing reefs that form part of the most important fishing ground in southern Kenya. Because Sii island is less degraded than the mainland forest, we make a further conservative assumption and use 50% (i.e. 8.65 t ha-1yr-1) as the sequestration rate for Sii island. This justification is expanded on in section G1. of the PDD.</p> <p><u>Observations CL04</u></p> <p>Section I.4 of the PDD has been amended to include a statement that</p>

	ACES will be responsible for business development, sales and managing transactions on Markit. Please see attached document "Vanga Blue forest PDD Revised May 2019".				
<b>G. Status</b>	<i>Closed</i>				
<b>A. Requirement</b>	<p><b>1.3 Monitoring and Reporting capabilities</b>            Does the project have an effective monitoring and reporting system in place that can regularly monitor progress and provide annual reports to the Plan Vivo Foundation according to the reporting schedule outlined in the PDD?</p> <p>1.3.6 Accurately report progress, achievements and problems experienced            1.3.7 Transparently report sales figures and demonstrate resource allocation in the interest of target groups</p>				
<b>B. Guidance Notes for Validators</b>	<p>Monitoring and reporting systems and capabilities may be determined through:</p> <ul style="list-style-type: none"> <li>• Staff and participating communities able to explain the monitoring system (how each of the indicators in the PDD will be monitored)</li> <li>• Records of any monitoring already undertaken e.g. baselines or other information</li> <li>• Project staff showing an understanding of the importance of annual reporting to Plan Vivo as a requirement for issuance of certificates</li> <li>• Demonstrated ability to produce simple reports (e.g. for other projects)</li> </ul>				
<b>C. Findings (describe)</b>	<p>The project has an effective monitoring and reporting system in place, PP is regularly monitor progress and submits annual reports to the Plan Vivo Foundation according to the reporting schedule outlined in the PDD. The annual reports includes</p> <p>➤ Accurately report progress, achievements and problems experienced            ➤ Transparently report sales figures and demonstrate resource allocation in the interest of target groups</p>				
<b>D. Conformance</b>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Yes</td> <td style="width: 25%; text-align: center;"><input checked="" type="checkbox"/> X</td> <td style="width: 25%; text-align: center;"><input type="checkbox"/> No</td> <td style="width: 25%; text-align: center;"><input type="checkbox"/> N/A</td> </tr> </table>	Yes	<input checked="" type="checkbox"/> X	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Yes	<input checked="" type="checkbox"/> X	<input type="checkbox"/> No	<input type="checkbox"/> N/A		
<b>E. Corrective Actions (describe)</b>	<p><u>Minor CAR04</u>            Availability of PC on full time at site and his arrangements were found missing at site</p>				
<b>F. ACES/VAJIKI Response</b>	<p><u>Minor CAR04:</u>            A full-time Project Coordinator will be recruited upon confirmed validation of VBF. Kenya Marine and Fisheries Research Institute (KMFRI) and VAJIKI will lead on the recruitment of this position. In the interim period, the Mikoko Pamoja Community Organisation and Kenya Marine and Fisheries Research Institute (KMFRI) team, based in nearby Gazi, will assist with duties that would otherwise be undertaken by the</p>				

	Project Coordinator.
<b>G. Status</b>	<i>Closed</i>

Theme	<b>2 Carbon Benefits</b>		
<i>Ensuring that the project meets requirements 5.1-5.20 of the Plan Vivo Standard (2013)</i>			
<b>A. Requirement</b>	<b>2.1 Accounting methodology</b> Have the carbon benefits been calculated using recognised carbon accounting methodologies and/or approved approaches and are the estimates of carbon uptake/storage conservative enough to take into account risks of leakage and reversibility?		
<b>B. Guidance Notes for Validators</b>	Check the carbon accounting methodology used including: <ul style="list-style-type: none"> <li>• The level of understanding of the methodology used amongst technical project staff</li> <li>• Whether all references and sources of information are available (include copies with the validation report if possible)</li> <li>• Whether the carbon accounting models are clear and transparent i.e. are the spreadsheets available and readily understandable? Can project staff answer and explain any technical questions about these?</li> <li>• Are local experts able to comment on the accounting methodology and on the sources of information used?</li> </ul>		
<b>C. Findings (describe)</b>	For the carbon benefits calculations, PP has used a recognized carbon accounting methodology with approved approaches and the estimates of carbon uptake/storage are conservative enough to take into account risks of leakage and reversibility.		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<u>Minor CAR05</u> Section G.7 of the PDD is not as per PDD template (i.e., Summary of key parameters, equations and assumptions not provided)		
<b>F. ACES/VAJIKI Response</b>	<u>Minor CAR05:</u> Section G.7 of the revised PDD is as per the PDD template and includes a summary of key parameters, equations and assumptions. Please see attached document "Vanga Blue forest PDD Revised May 2019".		
<b>G. Status</b>	Closed		
<b>A. Requirement</b>	<b>2.2 Baseline</b> Are the carbon benefits of the project measured against a clear and credible carbon baseline (for each project intervention)?		
<b>B. Guidance Notes</b>	Check the baseline scenario in the technical specifications of the PDD:		

<b>for Validators</b>	<ul style="list-style-type: none"> <li>Check that baseline measurements have been carried out and information properly recorded</li> <li>Check that the information from the baseline matches that in the PDD/Technical specifications and corresponds to the situation on the ground (by discussing with local experts and others)</li> </ul>
<b>C. Findings (describe)</b>	<p>The assumed baseline scenario for this project area, in the absence of intervention, is deforestation and forest degradation due to illegal logging and encroachment at the frontier of human expansion, as recorded at similar sites on the coast and predicted using modelling approaches. The total mangrove area designated for this project is 460ha. To estimate the carbon emission within the avoided deforestation site, PP has used recommended IPPC sequestration rates for dry tropical mangroves. The carbon losses from sediment due to forest clearance are based on carbon flux experiment in mangrove forest in Gazi Bay, an ecosystem adjacent to Vanga ecosystem.</p> <p>The project expects to reduce mangrove deforestation by 22.1 ha over the 20 years project period. With project intervention, emissions will be reduced by 80% assuming non-permanence and leakage buffer of 20%. The average annual carbon benefits of project eligible for crediting will be 5347 tCO<sub>2</sub>/yr while the total creditable carbon benefits expected over the 20 years project period will be 106,929 tCO<sub>2</sub>.</p>
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p>None</p>
<b>F. ACES/VAJIKI Response</b>	<p>-</p>
<b>G. Status</b>	<p><i>CLOSED</i></p>
<b>A. Requirement</b>	<p><b>2.3 Additionality</b>            Are the carbon benefits additional? Would they be generated in the absence of the project? Will activities supported by the project happen without the availability of carbon finance?</p>
<b>B. Guidance Notes for Validators</b>	<p>Assess whether the project simply owes its existence to legislative decrees or to commercial land-use initiatives that are likely to be economically viable in their own right i.e. without payments for ecosystem services.</p> <p>Also, assess whether without project funding there are social, cultural, technical, ecological or institutional barriers that would prevent project activities from taking place.</p>

<b>C. Findings (describe)</b>	<p>The barriers faced by the project, additionality tests have been defined and met by the project (Appendix 3). Mangrove conservation and prevention of illegal harvesting were established by VAJIKI CFA community with assistance from a group of National and International stakeholders (KMFRI, KFS, ACES and Edinburgh Napier).</p> <p>Forest Conservation and Management Act (2016) provides the legal framework for the management of forest resources in the country. The Act provides for the establishment, development, sustainable management, utilization as well as conservation of forest resources using approved management plans and participation of stakeholders. This blue carbon project will empower communities in Vanga to successfully implement the approved participatory forest management plan (PFMP) of the area.</p> <p>Activities would not occur without the intervention of VAJIKI CFA forest management plan and the CFA agreement. It does not owe its existence to legislative decrees or commercial land-use initiatives. Illegal harvesting and legal extraction were the baseline case before the intervention of VAJIKI CFA. Hence, this project identifies important role played by mangroves for fishery production, biodiversity conservation and shoreline protection; and the need to manage in an integrated manner.</p> <p>In the absence of project development funding and continued carbon finance, a number of barriers would have prevented the project activity. These include the granting of licences to harvest wood mangroves with little or no natural regeneration. This would leave these areas increasingly deforested and degraded. These financial, technical and institutional implementation barriers have been overcome by the project.</p>
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None
<b>F. ACES/VAJIKI Response</b>	-
<b>G. Status</b>	<b>CLOSED</b>
<b>A. Requirement</b>	<p><b>2.4 Permanence</b></p> <p>Are potential risks to the permanence of carbon stocks identified in the project technical specifications and are effective and feasible mitigation measures included in the project design?</p>
<b>B. Guidance Notes for Validators</b>	Assess whether members of the community/producers are aware that they will enter into formal sale agreements with the project coordinator

	<p>and that they therefore need to comply with the monitoring and mitigation requirements of the project.</p> <p>Check whether the risk buffer proposed in the PDD and technical specifications for each intervention (that will be deducted from the saleable carbon of each producer) conforms to the recommended percentages in the Plan Vivo Standard or other Plan Vivo documentation. Check with Plan Vivo if this is unclear.</p>
<b>C. Findings (describe)</b>	<p>Risks to permanence of the carbon stocks include loss of planted or naturally regenerated trees through illegal harvest or loss to natural events such as wave damage, storm damage or pests. A full analysis of risks has been undertaken by PP by</p> <ul style="list-style-type: none"> <li>✓ training and capacity building</li> <li>✓ skill enhancement for coping with the changes</li> <li>✓ community barazzas for local support</li> <li>✓ Capacity building for the project team and optimal communication and involvement of the community in every stage of project development and implementation</li> <li>✓ Restoration and protection of degraded areas,</li> <li>✓ using natural processes of regeneration</li> <li>✓ mixed species- each with different vulnerabilities and hence with combined higher resilience,</li> <li>✓ surveillance team will be formed and taught to identify signs of stress and pest infestations</li> </ul> <p>A 20% non-permanence risk buffer is deducted from the net-emission reduction of the project</p>
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	None
<b>F. ACES/VAJIKI Response</b>	-
<b>G. Status</b>	<i>CLOSED</i>
<b>A. Requirement</b>	<p><b>2.5 Leakage</b></p> <p>Have potential sources of leakage been identified and are effective and feasible mitigation measures in place for implementation</p>
<b>B. Guidance Notes for Validators</b>	<p>Check the sources of leakage and the effectiveness of mitigation measures:</p> <ul style="list-style-type: none"> <li>• By discussions with local experts, the project coordinator and others.</li> <li>• Assess whether there is a good understanding of the importance of addressing leakage amongst project participants</li> <li>• Assess whether the mitigation measures proposed are really effective and likely to be implemented. Have they already started?</li> </ul>

<b>C. Findings (describe)</b>	<p>Potential sources of leakage include the firewood and poles from areas other than the newly protected mangrove</p> <p>This is being mitigated by PP from establishment of Community woodlots and avoidance of leakage where participating communities will be trained on establishment of nurseries and plantations of fast-growing tree species (such as <i>Casuarina equisetifolia</i>) and use of energy-saving stoves would be promoted to enhance efficiency and reduce carbon emissions. In partnership with relevant agencies, we will explore promotion of sustainable agricultural activities in areas adjacent mangroves through provision of training and extension services.</p> <p>The woodlots are not part of the carbon benefit activities and will not be used for issuing carbon certificates.</p>				
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
<b>E. Corrective Actions (describe)</b>	None				
<b>F. ACES/VAJIKI Response</b>	-				
<b>G. Status</b>	<i>CLOSED</i>				
<b>A. Requirement</b>	<p><b>2.6 Traceability and double-counting</b></p> <p>Are carbon sales from the project traceable and recorded in a database?</p> <p>Are the project intervention areas covered by any other projects or initiatives (including regional or national initiatives)? Are there formal mechanisms in place to avoid double counting?</p>				
<b>B. Guidance Notes for Validators</b>	<p>Check the possibility of double counting and whether the carbon sales are traceable:</p> <ul style="list-style-type: none"> <li>• By discussions with local experts, the project coordinator and other projects (including any national or regional level GHG coordination unit)</li> <li>• Understanding the project system for maintaining records of carbon sales and keeping records and determining whether this is sufficiently robust and transparent (through discussions with project staff and local participants)</li> </ul>				
<b>C. Findings (describe)</b>	<p>Vanga Blue Forest project is the only carbon offset facility in the area as such there is no risk of double accounting expected. While most of the drivers of change are human mediated, there has been no deliberate degradation of the forest in order to meet the applicability conditions.</p>				
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		

E. Corrective Actions (describe)	None		
F. ACES/VAJIKI Response	-		
G. Status	CLOSED		
A. Requirement	<p><b>2.7 Monitoring</b></p> <p>Does the project have a monitoring plan in place? Is it being implemented and does it seem to be an effective system for monitoring the continued delivery of the ecosystem services?</p> <p>Does the project coordinator prescribe and record corrective actions where monitoring targets are not met and are these effectively followed up in subsequent monitoring?</p>		
B. Guidance Notes for Validators	<p>Check whether the monitoring plan is effective and likely to be fully implemented:</p> <ul style="list-style-type: none"> <li>• Assess the level of understanding of project staff and participating communities of the monitoring system and ensure that there are responsibilities for monitoring are matched by sufficient capacity</li> <li>• Are the selected indicators (covering all aspects of monitoring) SMART? I.e. Specific, Measurable, Achievable, Relevant and Time-bound?</li> <li>• Do the selected indicators properly measure impacts of the project or are they only able to measure inputs/activities?</li> <li>• Are communities effectively involved in monitoring and do they understand their role?</li> </ul>		
C. Findings (describe)	The project monitoring has just started and “Part K: Monitoring” of the PDD has details on monitoring and frequency with reporting.		
D. Conformance	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
E. Corrective Actions (describe)	None		
F. (Insert Project Coordinator' Name) Response	-		
G. Status	CLOSED		
A. Requirement	<p><b>2.8 Plan Vivos</b></p> <p>Are the <i>plan vivos</i> (or land management plans) clear, appropriate and consistent with approved technical specifications for the project? Will the implementation of the plans cause producers' overall agricultural production or revenue potential to become unsustainable or unviable?</p>		
B. Guidance Notes for Validators	Where small-holder farmers have prepared individual <i>plan vivos</i> , check a sample of these on the ground (in the company of the farmer) to determine whether they have really been prepared by the farmer and		

	what the farmer expects to be the results of implementation. For community-projects managing a common (forest) resource, check the management plan for the forest area and assess the extent to which target groups within the community have been involved in preparing it (especially women and disadvantaged groups) and the extent to which its future impacts have been discussed and agreed.			
<b>C. Findings (describe)</b>	A Forest Management Plan has been developed for the project area. This fulfills the criteria of Plan Vivos.			
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>	
<b>E. Corrective Actions (describe)</b>	None			
<b>F. ACES/VAJIKI Response</b>	-			
<b>G. Status</b>	<i>CLOSED</i>			

Theme	3 Ecosystem benefits
<i>Ensuring that the project meets requirements 2.1-2.4 of the Plan Vivo Standard (2013)</i>	
<b>A. Requirement</b>	<b>3.1 Planting native and naturalised species</b> Are the planting activities of the project restricted to native and naturalised species? If naturalised species are being used are they invasive and what effects will they have on biodiversity? Have the species been selected because they will have clear livelihoods benefits?
<b>B. Guidance Notes for Validators</b>	Check this using a number of sources: <ul style="list-style-type: none"> <li>Visual observations of local tree-growing practices</li> <li>Discussions with communities and project staff</li> <li>Discussions with local experts (forestry and biodiversity experts)</li> <li>Published information (refer to this in the validation report if used)</li> </ul>
<b>C. Findings (describe)</b>	The project has designated ~ 460ha of Vanga mangroves for expected climate benefits from forest restoration and protection. <ol style="list-style-type: none"> <li>Restoration of the degraded forests of Vanga will play a critical role in restoring carbon profiles, protecting biodiversity and providing socio-economic and other co-benefits. The site designated for carbon enhancement under VBF is Sii Island, with mangrove coverage of 200ha.</li> <li>Avoided deforestation/forest recovery (area 2): 250 ha of mainland mangroves have been set aside for this activity.</li> <li>Ecosystem rehabilitation: Some 5.0 ha of mangrove forest near Jimbo village were destroyed during a failed attempt to establish salt pans. We will restore this area using a combination of hydrological methods and artificial replantation (using locally sourced and nursery raised seedlings) where necessary. We will achieve complete vegetation cover of the area within 20 years.</li> </ol>

	<p>4. Mangrove reforestation: The local community in Jimbo has worked with partners KFS and KMFRI in replanting 5 ha of mangrove forest in Jimbo, but this voluntary plantation has no formal or informal protection.</p> <p>5. Promotion of alternative income generating activities: Community organization and business training will be conducted to improve local capacity in forest management and mangrove-based enterprises such as beekeeping, ecotourism, crab farming, aquaculture and agroforestry. The project will support the youth in establishment of nurseries for fast growing trees such as <i>Casuarina spp</i> for sale. The community will be encouraged to initiate a microfinance credit scheme through which they can borrow small loans.</p> <p>Planting of new mangroves, will use only native and naturalized species, including <i>Rhizophora</i>, <i>Sonneratia</i>, <i>Avicennia</i>, <i>Bruguiera</i> and <i>Ceriops</i>. Species are being selected carefully for planting in suitable sites and based on site specific research in the area. <i>Casuarina equisitifolia</i> is a naturalized species (as its presence along the coast as wild trees), will be planted on the woodlots.</p>
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p><b>Major CAR02</b></p> <p>In Jimbo village, though the dominant species in the area is <i>Avicennia Marina</i>, but it was observed during the site visit that <i>Rhizophora Mucronata</i> and <i>Ceriopstagal</i> species were planted. Why?</p>
<b>F. ACES/VAJIKI Response</b>	<p><b>Major CAR02:</b></p> <p>Initially the communities of Vanga conducted the planting exercises, but they didn't know which species to plant. Now that scientific support is available through the initiation of this project, the communities now have the knowledge regarding mangrove species and appropriate species will be planted in future planting exercises.</p> <p><b>Rhizophora mucronata</b> and <b>Ceriopstagal</b> species were planted <b>prior to the initiation of this project</b>. This was solely a community effort, without the input or support of the scientific project partners involved in Vanga Blue Forest. The community did not have the scientific advice and support that is now available to select the appropriate species to plant, which is why <i>Avicennia</i> were not planted.</p> <p>Now that the project has started, more appropriate mangrove species will be planted in accordance with guidance from scientific and technical partners.</p>
<b>G. Status</b>	<i>Closed</i>
<b>A. Requirement</b>	<p><b>3.2 Ecological impacts</b></p> <p>Have the wider ecological impacts of the project been identified and considered including impacts on local and regional biodiversity and</p>

	impacts on watersheds?
<b>B. Guidance Notes for Validators</b>	<p>Check this using a number of sources:</p> <ul style="list-style-type: none"> <li>• Visual observations of the environment in the project area</li> <li>• Discussions with communities and project staff</li> <li>• Discussions with local experts (environmental experts)</li> <li>• Published information (refer to this in the validation report if used)</li> </ul>
<b>C. Findings (describe)</b>	The ecological impacts within the project area is expected to be positive. The project has established a system to monitor the ecological status of the project area using the community members of VBF Committee will record the status of ecological indicators, and this information is defined in the PDD.
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p><u>Observations CL06</u></p> <p>At a plantation site in Jimbo village, black plastic bags were lying all over the plantation area. The village committee members were informed not to throw the plastic bag after planting instead collect and dispose in an environmental safe manner.</p>
<b>F. ACES/VAJIKI Response</b>	<p><u>Observation CL06:</u></p> <p>This has been noted and during future activities, all participants will be instructed to remove all plastic bags and other waste from the forest and dispose of in an appropriate manner.</p>
<b>G. Status</b>	<i>Closed</i>

<b>Theme</b>	<b>4 Livelihood Benefits</b>
<p><i>Ensuring that the project meets requirements 4.1-4.14, 7.1-7.5 and 8.1-8.10 of the Plan Vivo Standard (2013)</i></p>	
<b>A. Requirement</b>	<p><b>4.1 Community-led planning</b></p> <p>Has the project has undergone a producer/community-led planning process aimed at identifying and defining sustainable land-use activities that serve the community's needs and priorities?</p>
<b>B. Guidance Notes for Validators</b>	Assess this by discussions with project staff and communities and by looking at any records of the planning process. It may be useful to conduct a time-line exercise with communities to understand the planning process that has taken place.
<b>C. Findings</b>	Vanga Blue project has been developed over five-year period, with wide consultation with the community throughout and further strengthened by

<b>(describe)</b>	<p>academic research. During this process, areas have been identified for conservation, restoration and planting. No significant opposition has been met. Ultimately, these preserved and new mangroves will best serve the needs of the community. Interviews with randomly selected village residents showed:</p> <ul style="list-style-type: none"> <li>✓ Aware of “Vanga Blue project”</li> <li>✓ Mangroves are importance source of wood for building and fuel</li> <li>✓ They all expect the PV project to bring financial benefits to the village and region</li> <li>✓ Little was known about the level of financial support likely through the project – but it was nevertheless expected to bring significant benefits to the village</li> <li>✓ All had same priorities: Water, education and improvements of livelihoods</li> </ul>			
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>	
<b>E. Corrective Actions (describe)</b>	<p><b>Major CAR03</b>        Section E.3 of the PDD, though describes “Grievance mechanism” of the project (refer to Plan vivo standard 4.13 &amp; 4.14), the documents/records to support the same not provided for verification.</p> <p><b>Minor CAR06</b>        Section J.1 of the PDD is silent on “how the project coordinator will ensure that PES obligations are met (PV requirement 8.5 &amp; 8.7)” and “any risks and associated mitigation measures regarding PES agreements (PV requirements 8.3, 8.4 &amp; 8.6)”</p> <p><b>Minor CAR07</b>        Section J.2 of the PDD does not</p> <ul style="list-style-type: none"> <li>• Describe how payments will be disbursed to participants and how they are linked to performance. Describe the conditions under which payments will be withheld</li> <li>• Describe the measures that will be taken to ensure equitable and transparent benefit sharing by the project (PV requirements 8.8-8.13)</li> </ul>			
<b>F. ACES/VAJIKI Response</b>	<p><b>Major CAR03</b>        The grievance policy has been amended in section E.3. Please see attached document “Vanga Blue forest PDD Revised May 2019”.</p> <p><b>Minor CAR06</b>        Section J.1 has been amended to include information regarding how PES obligations will be met, as well as risks and associated mitigation measures associated with PES agreements. Please see attached document “Vanga Blue forest PDD Revised May 2019”.</p> <p><b>Minor CAR07</b></p>			

	<ul style="list-style-type: none"> <li>• Please refer to section J.2 of the attached document "Vanga Blue Forest PDD Revised May 2019" detailing the process of how payments will be disbursed to participants and under what conditions payments will be withheld, with regards to payments made to community development projects.</li> </ul> <p>Please refer to section Table 16 of the attached document "Vanga Blue Forest PDD Revised May 2019" detailing the process of how payments will be disbursed to participants and under what conditions payments will be withheld, with regards to the release of PES from Markit based on forest monitoring and planting targets.</p> <ul style="list-style-type: none"> <li>• Section J.2 has been amended to include a statement that social surveys will be conducted every 5 years to ensure that benefits sharing is equitable. Please refer to section J.2 of the attached document "Vanga Blue Forest PDD Revised May 2019".</li> </ul>						
<b>G. Status</b>	<i>Closed</i>						
<b>A. Requirement</b>	<p><b>4.2 Socio-economic impact assessment/monitoring plan</b></p> <p>Is there a robust socio-economic impact assessment and monitoring plan in place that can measure changes against the baseline scenario?</p>						
<b>B. Guidance Notes for Validators</b>	<p>Discuss with project staff and communities to understand how the baseline assessment was conducted and how the socio-economic monitoring plan developed out of this. Assess in particular:</p> <ul style="list-style-type: none"> <li>• Whether the livelihoods indicators can effectively monitor socio-economic changes taking place</li> <li>• The extent to which women, disadvantaged people and other social groups have been involved in project processes and whether the selected indicators will enable impacts on them to be determined</li> <li>• Whether any groups in the community are likely to be adversely affected by the project and whether there are any mitigation measures in place to address this</li> </ul>						
<b>C. Findings (describe)</b>	<p>The project coordinators make frequent visits to the project area, have a dedicated project manager at Vanga from the same village, and have involved community members in the planning, provided training on some aspects of project management, and will continue to involve community members in project activities and training opportunities.</p>						
<b>D. Conformance</b>	<table border="1"> <tr> <td>Yes</td> <td><input checked="" type="checkbox"/></td> <td>No</td> <td><input type="checkbox"/></td> <td>N/A</td> <td><input type="checkbox"/></td> </tr> </table>	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>		
<b>E. Corrective Actions</b>	<p><u>Minor CAR08</u></p> <p>Section E1 of the PDD is silent on "how community groups are</p>						

<b>(describe)</b>	governed (PV requirement 4.4) and how any barriers to participation will be addressed to ensure the involvement of women, socially excluded communities etc. (PV requirement 4.2 & 4.3)		
<b>F. ACES/VAJIKI Response</b>	<p><b>Minor CAR08:</b>            Section E.1 has been revised to include the organisational structure of the VAJIKI CFA (previously in Annex XIII), and a statement on ensuring equality within leadership positions. Please refer to section E.1 of the attached document "Vanga Blue Forest PDD Revised May 2019".</p>		
<b>G. Status</b>	<i>Closed</i>		
<b>A. Requirement</b>	<p><b>4.3 Sale agreements and payments</b></p> <p>Does the project have clear procedures for entering into sale agreements with producers/communities based on saleable carbon from <i>plan vivos</i>? Does the project have an effective and transparent process for the timely administration and recording of payments to producers?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Check the systems that are being proposed by the project and make an assessment of whether these are fully functional already or whether they can be made functional when required? Are communities/producers aware of the system and do they understand it? Are documents and materials readily available to producers/communities?</p>		
<b>C. Findings (describe)</b>	<p>Through consultative meetings, the VBF Committee will engage community members (from all three villages), in prioritising local development projects to be supported through sales of carbon credits. The carbon funds will be split into three portions, where each village will use its share to implement their own development projects. The consultation process will involve the PC and VBF team collecting information on priority projects and costings, before presenting them for consideration at <i>barazas</i>. The PC and the committee will ensure timely implementation of agreed work plans and that the allocated community funds are utilised for the intended purposes. Any grievances will be addressed by the VBF Committee in the first instance. If no resolution can be found, then respective village heads will be involved, following established practice, through the village <i>barazas</i> as stipulated in the VBF constitution (refer in Figure 7 PDD).</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions</b>	<p><b>Major CAR04</b>            The sale agreements with producers/communities based on saleable carbon from <i>plan vivos</i> is not submitted for verification.</p>		

<b>(describe)</b>	
<b>F. ACES/VAJIKI Response</b>	<p><b>Major CAR04:</b></p> <p>Please see attached document "ACES-VAJIKI Contract Agreement UNSIGNED May 2019". As VAJIKI CFA are the sole 'producer' in this project, all sales will be covered by this agreement. See response to Minor CAR01 above</p>
<b>G. Status</b>	<i>Closed</i>
<b>A. Requirement</b>	<p><b>4.4 Benefit sharing and equity</b></p> <p>Will the project have livelihoods benefits for the local community? Are these benefits likely to accrue to all community members and/or are benefits targeted at particular groups within the community? What other actions is the project taking to ensure that disadvantaged groups e.g. women, landless households, poor people will benefit from sales of Plan Vivo certificates?</p>
<b>B. Guidance Notes for Validators</b>	<p>Whilst there may be livelihoods benefits resulting from the project aspects of benefit sharing are critical to ensure that benefits are equitably shared. This can be assessed by:</p> <ul style="list-style-type: none"> <li>• Checking whether a local stakeholder/well-being analysis has been conducted to identify socio-economic groupings in the communities</li> <li>• Assessing the level of governance of local groups (are issues of equity and benefit sharing discussed during meetings?)</li> <li>• Discuss with a small sample of households from different socio-economic groups to determine their level of understanding of the benefits they are likely to get from the project.</li> </ul>
<b>C. Findings (describe)</b>	<p>Vanga Blue Forest (VBF) project will be implemented by a registered community organisation with membership derived from VAJIKI CFA and shall receive technical support from KMFRI, KFS and other actors (Figure 10, Table 17 of PDD). The Association for Coastal Ecosystems Services (ACES), a Scottish registered charity, will serve as the link between VBF and carbon markets. ACES has previously supported the successful implementation of its first pioneering mangrove carbon project, Mikoko Pamoja, that was set up by the communities of Gazi and Makongeni to conserve nearby mangrove forests.</p>
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p><b>Minor CAR09</b></p> <p>Though "Part J" of the PDD mentions that "<i>Funds/payments acquired through the sale of Plan Vivo certificates will be used on projects that have been prioritised by the community</i>". However, it is silent on</p>

	<ul style="list-style-type: none"> <li>• Benefits likely to accrue to all community members and/or are benefits targeted at particular groups within the community.</li> <li>• What other actions is the project taking to ensure that disadvantaged groups e.g. women, landless households, poor people will benefit from sales of Plan Vivo certificates</li> </ul> <p><u>Minor CAR10</u></p> <p>In section I.5 of the PDD is silent on “whether the project is seeking, or has obtained, co-financing from partner organisations for the operational phase of the project”.</p> <p><u>FAR01</u></p> <p>PP to submit the following of the project area to the verifier during next verification</p> <ol style="list-style-type: none"> <li>1. Remote sensing SOPs and</li> <li>2. Remote sensing results</li> </ol>
<b>F. ACES/VAJIKI Response</b>	<p><u>Minor CAR09:</u></p> <ul style="list-style-type: none"> <li>• As stated, projects funded by payments acquired through the sale of Plan Vivo certificates will be decided on by the community. It is trusted that through the democratic process of voting at village barazas, funds will be spent according to the needs of the community and therefore the project has not prompted this by identifying specific groups within the community to receive funds.</li> </ul> <p>Benefits likely to accrue to all community members will emerge as a result of projects chosen for funding by the community, but may include improved educational opportunities, enhanced food security or fewer cases of water-borne diseases. However at this stage, and given the community-directed allocation of funds for community development, it would not be prudent to speculate on these benefits within the PDD.</p> <ul style="list-style-type: none"> <li>• As discussed above, the allocation of community development funds is directed by the community and so identification of specific groups, such as disadvantaged groups, has been avoided so as to not preempt these community decisions. However, it is recognised that these groups should be taken into consideration during the process of community <i>barazas</i>, where decisions on community spending are made.</li> </ul> <p>To ensure that disadvantaged groups benefit from the sale of Plan Vivo certificates, the VAJIKI CFA will implement a protocol to ensure that <i>baraza</i> discussions will explicitly include consideration of gender and other socio-economic factors within the communities, and how funding allocations can reflect</p>

	<p>the requirements of these groups.</p> <p><u>Minor CAR10</u> See amended section I.5 in PDD (version revised March 2020)</p> <p><u>FAR01</u> This will be submitted to the verifier during the next verification</p>
<b>G. Status</b>	Closed

Table 3. Site Visit Itinerary

### AUDIT PLAN

#### Day 1

Time	Activity	Responsibility
10.00- 10:15	Opening meeting	Lead Auditor
10:15-1:00	Documentation Review	Lead Auditor and technical expert
1:00-1:30	Lunch	-
1:30-18:00	Onsite visit to sample plots, conservation area and stakeholder consultation and visit the project area to verify project boundaries with a handheld GPS, confirm baseline conditions, assess tree health and planting locations, and gather supporting evidence through stakeholder interviews	Lead Auditor and technical expert

#### Day 2 and Day 3

Time	Activity	Responsibility
9.00-1:00	Onsite visit to sample plots, conservation area and stakeholder consultation and visit the project area to verify project boundaries with a handheld GPS, confirm baseline conditions, assess tree health and planting locations, and gather supporting evidence through stakeholder interviews	Lead Auditor and technical expert
1:00-1:30	Lunch	-
1:30-17:00	Onsite visit and stakeholder consultation -continue	Lead Auditor and technical expert

The Validator: (Insert Validator's Name)

Signature: Dr.D.Siddaramu \_\_\_\_\_ Date: 05/07/2019 \_\_\_\_\_

## Appendix 3:

### 1. Photos





## 2. Lists of participants

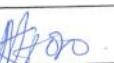
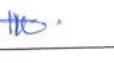
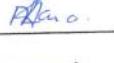
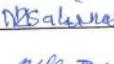
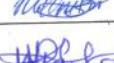
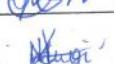
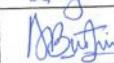
EPIC Sustainability

### ATTENDANCE LIST

Title of the project: Vanga Blue Carbon

Name of the client: ACES

Date of visit: 28/02/2019 - 02/03/2019

	Name	Designation /Company	Signature	
			Opening	Closing
1.	MUSIHAMBIKA JIMBO			
2.	RASHID SAID JIMBO			
3.	KOMBO PARI VANGA			
4.	HANISI J. NUNDE KIWEGU			
5.	FATIMA RAHIDAH KIWEGU			
6.	RAKIBU TSABA KIWEGU			
7.	MUNANAMVUA KASSIM JIMBO			
8.	MWASITI KIHAWA VANGA			
9.	MUHAMMAD TAMA MOHAMMO	JIMBO		
10.	HARITH MOHAMMO	VANGA		
11.	ABDALLA ROBOFA	VANGA		
12.	Lilian Mwihaki KMFRI			
13.	KAMA ABDALLAH SNR CHIEF VANGA			
14.	HAMADI MUHAMMADU	TECHNICAL EXPERT		
15.	KOMBO MOHAMMO	CHIEF CHIEF		

ATTENDANCE LIST

Title of the project: Vanga Blue Carbon

Name of the client: ACES

Date of visit: 28/02/2019 - 02/03/2019

	Name	Designation /Company	Signature	
			Opening	Closing
1	Athar Nawi Karim	Kinegu Yumile Ngwakazi	Abd	Kar
2	Nwanamkpa Hamisi	Kinegu Yumile Ngwakazi	Abd	Abd
3	Nsemu Ferunzi Mwambweje	VANGA	Abd	Abd
4	Mwanakombo SHEE	Vanga M. weje	Abd	Abd
5	Masika SHEE	Vanga M. weje	ms	m.s
6	Mwananugwamwanga	Vanga M. weje	Abd	Abd
7	Sauda Hassan	Jimbo	Abd	Abd
8	Mwanashamba Kai	Jimbo	Abd	Abd
9	Mwanamisi Omar	Vanga M. weje	Abd	Abd
10	Mwasiki Balcar	Vanga M. weje	M. B.	M. B.
11	Mwanishi Bandikas	Vanga	M. B.	M. B.
12	Ms. Sofia Mohamed	Vanga	Abd	Abd
13	Mwanasi, Mohamed	VANGA	Abd	Abd
	Mwasiki Mwagome	VANGA	Mwasiki	Mwasiki
	MPATIMWABA VANGA		M. M. Abd	M. M. Abd

~~ATTENDANCE LIST~~

Title of the project: Vanga Blue Carbon

Name of the client: ACES

Date of visit: 28/02/2019 - 02/03/2019

### 3. Table showing Project Barriers and Barrier Mitigation Actions

SL No.	Type of Barrier	Description of Barrier	Overcoming Barrier
1	Legislative/ Governance barrier	Lack of enforcement of existing laws and regulations governing forest conservation and management in Kenya	Joint patrols between KFS and community scouts will be initiated to enhance forest surveillance and protection
2	Financial/ Economic barriers	Lack of incentives to participate in mangrove restoration and protection activities; as well as lack of alternative livelihood	- Sale of mangrove carbon credits - Diversification of income generating activities such as bee keeping and ecotourism will be initiated
3	Technical barriers	There is inadequate capacity among communities for integrated mangrove management activities.	Partnerships will be sort from key institutions with expertise in mangrove management, including; KFS, KMFRI and NGO's through training and joint implementation of project activities.
4	Social barrier	The community involved in the project are drawn from three different villages and might disagree on location of sites for different activities	The project will facilitate education and awareness in order to sensitize the locals on a win-win approaches in implementation of the proposed activities

4. Scanned copies of receipts, etc.