Project Title: FCPF REDD+ Readiness Grant
Project Number: 00099178
Implementing Partner: Ministry of Environment and Forestry
Start Date: 1/6/2018 **End Date:** 31/10/2020 LPAC **Meeting date:** 24/5/2018

BRIEF DESCRIPTION

Kenya's forest resources are of immense importance for their contribution to economic development, rural livelihoods, and for the environmental and ecosystem services they provide. Forests help support the operations of most key economic sectors, including agriculture, horticulture, tourism, wildlife, and energy. Kenya loses about 12,000 hectares of forest each year through deforestation. About 12% of the land area which was originally covered by closed canopy forests has been reduced to about 1.7% of its original size, due to demand for fuelwood and charcoal, population pressure for settlements, infrastructure, demand for wood products and conversion to agriculture.

A coordinated approach, coupled with incentives for forest conservation and management, is needed to manage and conserve forests sustainably and to reduce greenhouse gas emissions to meet national targets - to increase forest cover to 10% of the land area - as set out in the Vision 2030, the National Climate Change Response Strategy and the Nationally Determined Contribution. To help realize these goals, Kenya has applied for funds from the World Bank's Forest Carbon Partnership Facility for REDD+ readiness to operationalize its REDD+ architecture, as per the requirements described in the REDD+ rule book prescribed by the Conference of Parties to the United Nations Framework Convention on Climate Change in various decisions (Decision 2/CP.13, the Warsaw Framework, Decision 1/CP.16 and most recently Article 5 of the Paris Agreement).

This proposed project aims to put in place mechanisms to enable Kenya to reach its overall REDD+ goal to improve livelihoods and wellbeing, conserve biodiversity, contribute to the national aspiration of attaining a minimum 10% forest cover and mitigate climate change for sustainable development. To achieve this objective the following outcomes are envisaged:
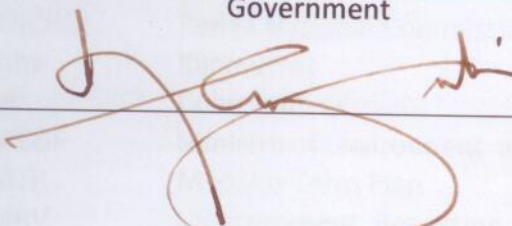
1. An operational national REDD+ strategy and investment plan;
2. An operational safeguards information system for REDD+;
3. Functional multi-stakeholder engagement and capacity building for REDD+; and
4. Technical support provided for improvement to the National Forest Monitoring System and Forest Reference Level.

The project shall be implemented by UNDP through the National Implementation Modality (NIM) with the Ministry of Environment and Forestry, in its official role as the coordinator of all climate change activities in Kenya. The Ministry and UNDP will work with collaborating partners drawn from other national and county-level institutions and agencies, independent commissions, the private sector, civil society organizations (CSOs), research/academic institutions and forest dependent communities.

The project objectives fall under both UNDAF's Strategic Result 3. Inclusive and Sustainable Economic Growth and Result 4. Environmental Sustainability, Land Management and Human Security. The project is also relevant for Outcome 4 of the Country Programme Document: 'Environmental sustainability, renewable energy and sustainable land management'.

Contributing Outcome (UNDAF/CPD, RPD or GPD): **Draft UNDAF 2018-22 (dated November 2017):** *Economic Pillar Outcome 3:* By 2022, a progressive and resilient green economy is underpinned by robust evidence based pro-poor policies and strategies contributing to sustainable economic growth. *Draft indicative Output 3.2.:* Improved institutional (public and private) and communities' capacities to ensure pro-poor, sustainable, effective and efficient natural resource management. **UNDP strategic plan 2018-2021 output:** *Output 1.4.1:* Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains *Indicator:* Natural resources that are managed under a sustainable use, conservation, access and benefit-sharing regime: Area of land and marine habitat under protection (hectares), Area of existing protected area under improved management (hectares).	**Total resources required:**		
	Total resources allocated:$		
		UNDP TRAC:	
		FCPF:	3.8M
		Donor:	
		Government:	
		In-Kind:	
	Unfunded:		

Agreed by (signatures)[1]:

Government	UNDP
	Siddharth Chatterjee Resident Representative
Print Name: HENRY BOTICH CS/NT&P	Print Name:
Date: 6/7/2018	Date: 30/5/18

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[1] Note: Adjust signatures as needed

AWP	Annual Work Plan
BUR	Biennial Update Report
CBR+	Community Based REDD+
CCCSAP	Climate Change Strategy and Action Plan
CFAs	Community Forest Associations
CI	Conservation International
COP	Conference of Parties to the UNFCCC
CSOs	Civil Society Organizations
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
FAO	Food and Agriculture Organisation of the United Nations
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Programme
FPIC	Free, Prior and Informed Consent
FREL	Forest Reference Emission Level
FRL	Forest Reference Level
GEF	Global Environment Facility
GHG	Greenhouse Gas
Ha	Hectares
ICCA	Indigenous and Community Conserved Areas
ICRAF	World Agroforestry Centre
INDC	Intended Nationally Determined Contribution
IPCC	Intergovernmental Panel on Climate Change
IPs	Indigenous Peoples
JICA	Japanese International Cooperation Agency
KFS	Kenya Forest Service
KEFRI	Kenya Forest Research Institute
KNCHR	Kenya National Commission on Human Rights
Kms	Kilometres
M^3	Cubic metres
ME&F	Ministry of Environnent and Natural Resources
MTP	Medium Term Plan
MRV	Measurement, Reporting and Verification System
NCCC	National Climate Change Council
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NFI	National Forest Inventory
NFMS	National Forest Monitoring System
NFP	National Forestry Programme
NLC	National Land Commission
NGO	Non-Governmental Organisation
NSC	National Steering Committee
NRS	National REDD+ Strategy
NRTF	National REDD+ Taskforce
NTFP	Non-Timber Forest Product
PEB	Project Executive Board

PLRs	Policies, Laws, and Regulations
RBP	Results Based Payments
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDD+	and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
REL	Reference Emission Level
SESA	Strategic Environment and Social Assessment
SBSTA	Subsidiary Body for Scientific and Technological Advice
SDGs	Sustainable Development Goals
SIS	Safeguard Information System
ToR	Terms of Reference
TWGs	Technical Working Groups
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries.
USAID	United States Agency for International Development
WWF	World Wildlife Fund

Definition of terms and concepts

For purposes of this project document, the following terms have been adopted to guide identification of forest communities. These definitions have been agreed on by the Taskforce constituted to draft this project document.

1. "marginalised community" as provided for in the Constitution of Kenya article 260 - means—
   (a) a community that, because of its relatively small population or for any other reason, has been unable to fully participate in the integrated social and economic life of Kenya as a whole;
   (b) a traditional community that, out of a need or desire to preserve its unique culture and identity from assimilation, has remained outside the integrated social and economic life of Kenya as a whole;
   (c) an indigenous community that has retained and maintained a traditional lifestyle and livelihood based on a hunter or gatherer economy; or
   (d) pastoral persons and communities, whether they are— (i) nomadic; or (ii) a settled community that, because of its relative geographic isolation, has experienced only marginal participation in the integrated social and economic life of Kenya as a whole;

2. ''Forest Dependent communities means'': Communities directly drawing their livelihoods from forest both organised and not organised around community forests associations and marginalised communities.

3. "Forest community" means a group of persons who have a traditional association with a forest for the purposes of livelihood, culture or religion;

4. ''minority community'' means a group due to being too small in a given locality are not able to adequately participate in decision making process about the forest resources

around them and are outnumbered by the dominant community in the area (NGEC report)

NB: In addition to the above guide UNDP guideline on indigenous people will be applied.

CONTENTS

I.   DEVELOPMENT CHALLENGE

Kenya's Constitution, the National Development Plan-Vision 2030, and the Government's Priority Action Plan, which covers manufacturing, health, housing and food security, set out the development agenda for the country. The proposed Medium-Term Plan (MTP 2018-2022) prioritizes policies, programmes and projects which generate broad based inclusive economic growth, as well as faster job creation, reduction of poverty and inequality, taking into account climate change impacts, and meeting the Sustainable Development Goals (SDGs). It has identified climate change as one of the key challenges that will continue to exert negative effects on key sectors of the economy. It notes that the burden of extreme climatic events could cost Kenya's economy an annual loss of as much as 2% of the country's Gross Domestic Product (GDP). This is likely to stunt Kenya's long-term economic growth prospects as well as its ability to meet the targets set out in Kenya Vision 2030.

As a Party to the United Nations Framework Convention on Climate Change (UNFCCC), Kenya has taken bold measures to secure the country's development against the risks and impacts of climate change. Climate change related strategies have been developed, including a *National Climate Change Response Strategy*[2], the *National Climate Change Action Plan 2013-2017*[3], and the *Green Economy Strategy and Implementation Plan*[4]. Along with the Climate Change Act (2016) these documents all highlight forestry as one of the priority areas to move Kenya towards a low-carbon, climate-resilient development pathway. To do this, they recommend that the national forest cover must be increased to at least 10% as recommended and proposed in Constitution 2010.The National Forestry Programme[5] (2016-2030) a strategic framework for forest policy, planning and implementation to coordinate the sector's development, notes that REDD+ provides an opportunity to move towards more effective governance of the forest sector.

Kenya's forest resources are of immense importance for the environmental and ecosystem services they provide, their contribution to economic development and for contribution to rural livelihoods. According to a report on the economic value of forests (2011) forest resources account for 3.5% of the country's GDP. However, this underestimates their full value; forests support the productivity of most economic sectors, including agriculture, horticulture, tourism, wildlife, and energy. Kenya's vision for development cannot be achieved without the adequate protection and sustainable management of Kenya's forested lands.

Forests are not evenly distributed in the country (Figure 1). Over 80% of Kenya's land area is either arid or semi-arid with relatively low human population densities, as opposed to the wetter and more arable 20% where 70% of the population lives. According to the latest inventory undertaken in 2010 (KFS, 2013a), forests in Kenya cover 6.99% of the land area – 3.47 million hectares (ha) of forest and an additional 24.5 million ha of bush-land[6]. These forests are categorised as Montane, Western rainforest, Bamboo, Coastal and Dryland forests. The montane forest and the coastal forest regions are the most forested with 18% and 10% of total forest cover, respectively. Natural forests in Kenya are made up of montane forests, which occupy about 2% of the total land area (1.14 million hectares). A considerable area of 2.13

[2] Change Response Strategy, 2010 - NCCRS
[3] National Climate Change Action Plan, 2013-2017 - NCCAP
[4] Green Economy Strategy, 2016-2030 - GESIP
[5] National Forest Programme   NFP
[6] Kenya Country Report, Country Report 180, FAO Global Forest Resources Assessment 2005

million hectares consists of bushland and mangroves. Public and private plantations constitute 220,000 hectares (FAO, 2015d). Much of Kenya's biodiversity and wildlife resources depend on forests and woodlands, being a major factor in attracting tourism.

The population of Kenya is currently estimated at 48 million and with a growth rate of 2.8% (Weismann, 2014) is projected to rise to 66.3 million by 2030 (WPR, 2015). The increased population puts pressure on natural resources, a major challenge for the country. It is also estimated that about 10% of the population are forest-adjacent households and derive direct benefits from closed canopy forests[7]. In 2015, 35 million rural residents produced agricultural outputs for their consumption, for export and to feed 12 million urban residents. It is projected that by 2050 there will be 54 million rural residents expected to produce agricultural outputs for their own consumption, for export and also to feed 43 million urban residents. The implication of rural populations feeding increasing urban populations will be pressure to convert forest land to agricultural land.

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[7] Government of Kenya, Ministry of Forestry and Wildlife. Analysis of drivers and underlying causes of forest cover change in the various forest types of Kenya. Revised Final Report I. Consultancy Services provided by: RURI Consultants, Nairobi, Kenya. July 2013.
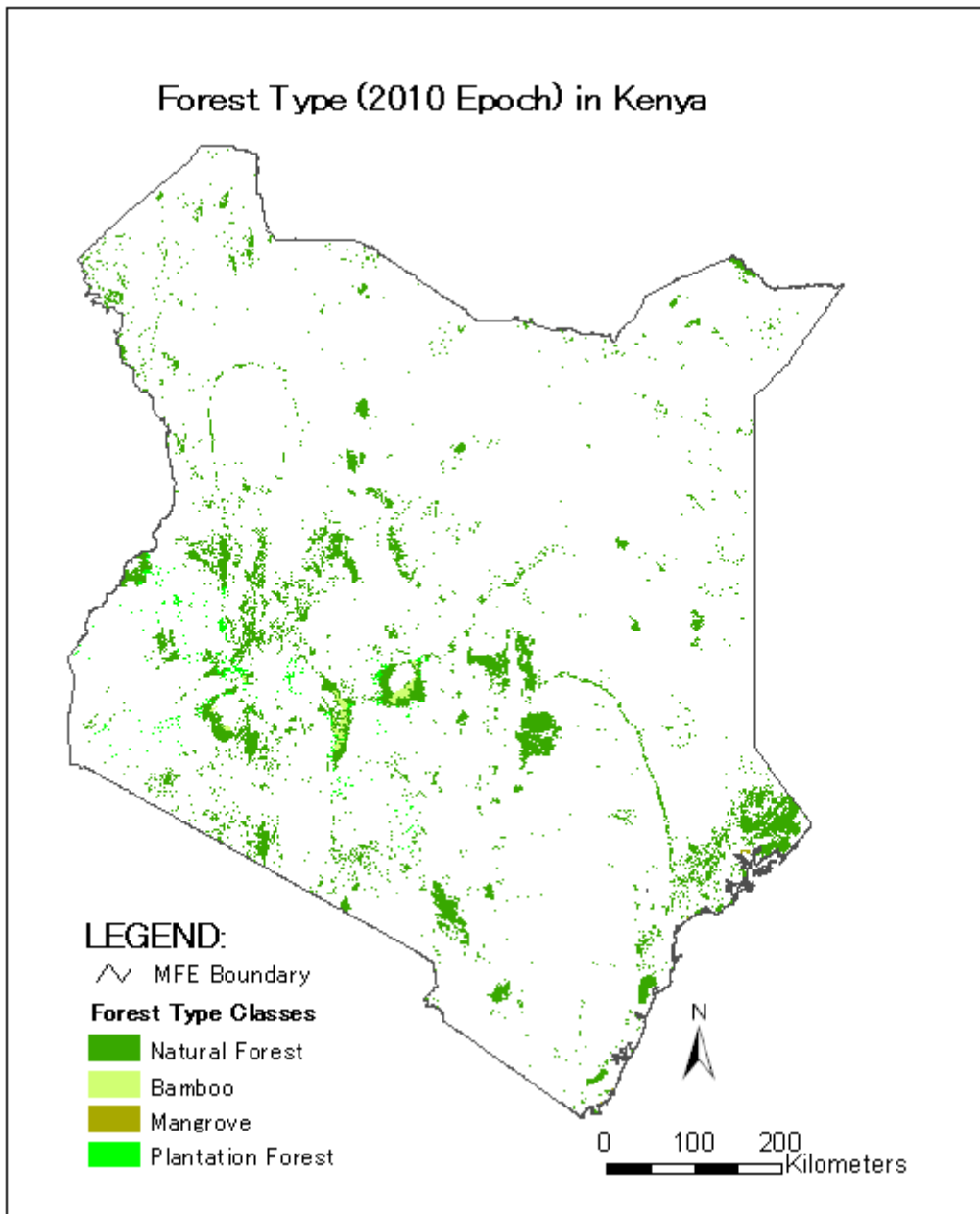
Figure 1. Forest Cover Map, Kenya, 2010.

Kenya loses about 12,000 ha of forest each year through deforestation[8]. About 12% of the land area which was originally covered by closed canopy forests had been reduced to about 1.7% of its original size, due to population pressure for settlements[9], infrastructure, demand for wood products and conversion to agriculture[10]. Deforestation and degradation is evident in both the

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[8] The annual loss of 12,000 ha of forest results in a loss of approximately 1.6 million tons of carbon per year. (FAO State of the World's Forests, 2010). This data will be updated through the drivers of deforestation study to be undertaken under this project.

[9] For example, many pastoral communities in drylands have changed their lifestyles becoming more sedentary leading to more permanent settlements and permanent grazing areas. These have concentrated demand for forest products, especially in the drylands.

[10] In all the regions of Kenya loss of cover caused by agricultural expansion occurs with variations as to whether such agricultural expansion is motivated by subsistence or the market economy.

high elevation water towers[11], and in bush land in the arid and semi-arid lands areas. A study on demand and supply of wood products found that Kenya has a wood supply potential of 31.4 million m^3 against a national demand of 41.7 million m^3 hence a current deficit of 10.3 million m$^{3.}$

Table 1 – Wood products supply and demand

Wood Products	Timber	Poles	Firewood	Charcoal
Supply	7,363,414m^3	3,028,907m^3	13,654,022m^3	7,358,717m^3
Demand	5,262,624m^3	1,409,482m^3	18,702,748m^3	16,325,810m^3

Source: Wanleys Consultancy Services, Analysis of Demand and Supply of Wood Products in Kenya, Nairobi, 2013. (These figures are at a national scale depicting consumption by the country.)

Further, forecasts for a 20-year period indicate a 20.0% increase in supply and 21.6% increase in demand by the year 2032 to reflect population increase which signifies a gradually increasing deficit[12]. It is clear from the study by the Ministry (MEWNR, 2013b) that meeting the demand for forest products in the future will be a challenge. Projected deficits have to be addressed through sustainable resource management.

Large areas of forest reserves have been de-gazetted and officially converted to other uses, mainly agriculture. The remaining protected indigenous forests have been degraded by decades of logging, both legal and illegal, of valuable timber trees resulting in reduced carbon stocks and degraded biodiversity values. Forests on community land under the control of county governments continue to be degraded and destroyed through over-exploitation for timber, poles, charcoal[13], fuel wood, unregulated grazing and clearance for agriculture; depicting a classic example of the "tragedy of the commons".

The area of publicly owned plantations has progressively reduced from 150,000 ha in the early 1990s to about 135,000 by 2011[14]. Contrary to this, forest cover on farms either as isolated groves and woodlots, which are not subject to state regulation, have increased. The trend is similar for private plantations mainly owned by tea estates and companies where there have been marginal increases in aggregate area.

Weakness in policies, and institutional abilities, such as the limited institutional presence of the Kenya Forest Service (KFS), in large and relatively under-populated areas, particularly in the dry woodlands, has been identified to contribute to the challenge of controlling deforestation and forest degradation. Poor governance and corruption has been a major driver of deforestation in the past and has hindered efforts to reverse the trend, despite the Forest Conservation and Management Act, 2016 (and introduction of formal participatory forest management). Several

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[11] The 'water towers' refer to five critical water catchment forest mountainous areas. These are Mt Kenya, the Aberdare Ranges, Mau Complex Cherangani Hills and Mount Elgon located in four different conservancies. The Kenya Forest Service has divided the country into 10 conservancies based on ecological boundaries for administrative purposes. The water towers are classified as montane forests and serve as water catchments for several rivers draining into the major water bodies in Kenya and the East African Region

[12] Ministry of Environment, Water and Natural Resources. Analysis of demand and supply of wood products in Kenya. 2013

[13] Charcoal making is rampant because majority of Kenyans, especially those living in peri-urban and urban areas, heavily depend on charcoal as a source of energy for cooking and heating.

[14] REDD+ Readiness Project Proposal, 2010.

reports have demonstrated the importance of the need to address contested land rights, illegal logging and corruption in the forestry sector[15].

Communities living in and around forests should be organised into Community Forest Associations (CFAs) as required by the Forest Management and Conservation Act 2016. While recognising that CFAs present progress towards community based forest management, not all forests have functional Forest Management Plans, further some of these CFAs lack capacity and resources to develop or implement plans and to participate in the conservation agenda. It is also noted that the CFA model has registered successes and has provided an opportunity for communities to participate in co-management of forest resources in certain areas. However, the CFA model has been challenged and criticised by different communities particularly by some marginalised communities[16] a section of whom see the model as violating their rights, and prefer to use traditional governance structures and systems in participating in forest resources management and conservation.

Marginalised communities are not homogeneous and some have adopted new livelihood systems and practises from members of communities living around them. Some of these livelihoods include cultivation of food crops for commercial production. While some marginalised communities have not registered in CFAs operating in their forest blocks, it is however observed that other members of these marginalised communities are members of CFAs working in their forest block/area, others are not. Some marginalised communities lack structures to engage with the government in the management of the forest resources. Some of these marginalised communities may not have documented their traditional knowledge (which include community by-laws/ traditions) and how this would enable or enhance their participation in forest conservation[17].

Some forest dependent communities engage in advocacy on the subject matter through CFAs, registered or unregistered Community Based Organisations (CBOS), or Non-Governmental Organisations (NGOs) registered under a few representatives of the community or self-identified individual representatives. Some of these CBOs/NGOs and structures do not necessarily provide feedback to their constituents and other interested stakeholders with similar or contested interests and rights over the forest areas/blocks they represent. A lack of transparency and feedback systems have been identified to bring about elite capture which leads to further disenfranchisement already faced by marginalised communities and groups. As a result, forests are faced with competing interests and rights claims, and continued deforestation and degradation.

In addition to the afore-mentioned challenges facing the forestry sector, some forests have been faced with competing conservation needs on one hand and livelihoods and historical land rights claims on the other. This has led to continued conflicts between the KFS and communities living in these forests.

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[15]National Forest Programme, 2016; A corruption risk assessment for REDD+ in Kenya, Ministry of Environment, Water and Natural Resources, UN-REDD, 2013.
[16] Some of these communities identify themselves as indigenous communities. However, the Kenya Constitution Article 260 identify them as part of marginalised communities. These groups are however not registered formally unlike the community forest associations which are established under the Forest Act.
[17]REDD+ Readiness Project Proposal, 2010.

II.   STRATEGY

The direct drivers of forest loss have been described in the section above, and contribute to increasing greenhouse gas (GHG) emissions and concomitant losses of social benefits, well-being and ecosystem services. Recognizing that the drivers of change emanate from outside the forest sector and the shortage of instruments in place to address these drivers in a coherent and integrated manner, efforts to curb losses have been mainly concentrated in the forest management milieu and the charcoal value chain, but have resulted in piecemeal successes. A coordinated and coherent approach is needed to sustainably manage and conserve forests and to reduce GHG emissions in order to meet the national target of forest cover of at least 10% of the land area of Kenya. This will entail responding to the direct and underlying drivers of forest and land use change that emanate from outside of the forest sector and providing consistent incentives for forest management for government, communities and the private sector. Kenya's Second National Communication to the UNFCCC emphasizes that the country is working to address these challenges, including the development of a National Strategy for Reducing Emissions from Deforestation and Forest Degradation and fostering conservation, sustainable management of forests, and enhancement of forest carbon stocks (REDD+)[18]. Thus, according to this report to the UNFCCC, the REDD+ Strategy will seek to incentivize activities to help meet the minimum 10% forest cover goal of the Constitution and Vision 2030.

Towards this goal, Kenya embarked on REDD+ readiness by seeking support from the World Bank's Forest Carbon Partnership Facility (FCPF) and membership of the UN-REDD Programme. An Assessment Report provides details with respect to the context and trajectory of REDD+ work in Kenya over the past five years.

Kenya intends to formulate a National REDD+ Strategy and accompanying instruments including a Forest Reference Level (FRL), a Safeguards Information System (SIS) and a National Forest Monitoring System (NFMS). A REDD+ Investment Plan to actualize implementation of the National REDD+ Strategy will also be developed. These will be based on credible and relevant responses to the drivers of deforestation and forest degradation and feed into the national vision on climate change mitigation and sustainable development goals. At the end of the project, Kenya will have achieved its REDD+ readiness goals. See Figure 2 (theory of change) below.

Through a multi-stakeholder process which takes into account the needs and rights of forest communities including marginalized communities (Constitution of Kenya, Art 260), communities living up-steam and downstream of forests, and opportunities and incentives for transformative actions and investments on the ground, a coherent multi-sectoral national REDD+ strategy will be formulated. An updated, comprehensive and robust analysis of the direct and underlying drivers of deforestation and forest degradation and the barriers to the sustainable management of forest at the national level, will enable Kenya to identify the most appropriate responses and solutions through this multi-stakeholder process. The national REDD+ strategy development process will provide an opportunity for much needed dialogue on contested historical land rights as well as opportunities for assessing and analysing existing and alternative modalities that can be explored towards addressing conservation of forests, livelihoods and community rights. Recognising the role of devolution and existing capacities of both the National Government, County Government institutions in the conservation of forests

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[18] Kenya (2015) Second National Communication to the United Nations Framework Convention on Climate Change. National Environment Management Authority. p, 26.

and REDD+ readiness, capacities of these institutions including community/local/traditional governing structures and organisations will be enhanced in the process.

Experiences from other REDD+ countries demonstrate the need to direct resources to a detailed costed investment plan which will allow the elements of the Strategy to be implemented. The Investment Plan intends to therefore boost the country's efforts towards REDD+ implementation by mobilizing the needed investments and associated finance, encouraging programmatic investments that bring transformational and systemic change, and to ensure a coordinated, coherent and comprehensive approach to REDD+ investment planning.

Communities, private sector investors, small, medium and large banks and commodity sourcing companies seeking investment returns and sustainability of production with reduced risks will be assured of a national approach to safeguards to ensure that benefits are realized and risks mitigated and managed. A reference level against which emissions reductions and sinks can be measured will be calculated based on historical emissions, activity data and accompanying emission factors. A national monitoring system that allows monitoring, reporting and verification will set Kenya on the path towards implementation of REDD+. These instruments, processes and approach provides the means for Kenya to prepare the first phase of REDD+ - Readiness - and the four Warsaw framework pillars in order to progress to the second and third phases of REDD and eventually results based actions and payments. The set of policies and measures to be developed and implemented will enable the realization of co-benefits from REDD+ implementation and contribute to Kenya's targets towards achieving sustainable development and climate change mitigation.

The project aims at supporting Kenya's efforts to pursue long-term, transformative development and accelerate sustainable climate resilient economic growth, while slowing the soaring rates of GHG emissions emanating from the forest sector. Therefore, REDD+ activities undertaken in context of the National REDD+ Strategy in the period after 2020 (when a National REDD+ Strategy is expected to be complete) could enhance the abatement potential further by 2030 considering the targets set out by Kenya's Nationally Determined Contribution (NDC) submission of 23 July 2015 to the UNFCCC Secretariat. In the INDC, Kenya seeks to abate its GHG emissions by 30% by 2030 relative to the Business as Usual (BAU) scenario of 143 MtCO2eq; and in line with its sustainable development agenda.[19] The mitigation priorities relevant to forestry including making progress towards achieving a forest cover of at least 10% of the land area of Kenya, will greatly be supported by REDD+ implementation whose key foundations will be laid by this project.

This theory of change is illustrated below:

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[19] Kenya's Intended Nationally Determined Contribution (INDC), Ministry of Environment & Natural Resources. p, 2. 2015.

REDD+ READINESS IN KENYA
Reducing Emissions from Deforestation and Forest Degradation, fostering conservation, sustainable management of forests, and enhancement of forest carbon stocks (REDD+)

Low carbon and climate resilient development pathway

Implementation of Vision 2030; National Climate Change Response Strategy; National Climate Change Action Plan; NDC and Constitutional target of 10% Tree Cover in Kenya, expansion of renewables,

Phase 1 REDD+ Readiness

Phase 2 Implementation of REDD+

Phase 3 Results based actions/payments

Enablers

Outcomes

National REDD+ Strategy & Investment Plan

Safeguards Information system

Reference Level, National Forest Monitoring

Outputs

Multi-stakeholder consultation,

Robust identification of drivers of deforestation

Synergies and partnerships

Formulation of policies and measures

REDD+ Implementation approach and framework

Prioritization of policies and measures

Thematic and geographical focus identified

Detailed costed plan to implement priorities

Financing measures identified

National Safeguards Framework developed, including design of a Safeguards Information System (SIS)

Technical support to consolidate and refine Forest Reference level and set up National Forest Monitoring System

- Capacity for all stakeholders enhanced
- Stakeholder engagement
- knowledge management
- Gender responsive planning
- Institutions to implement REDD+ identified and

Direct Drivers of Deforestation - Clearing for agriculture and infrastructure, **Direct drivers for forest degradation** – unsustainable forest management, charcoal and fuelwood. Barriers to sustainable forest management – illegal logging and illegal clearing of land.

Indirect Drivers – demand for charcoal and woodfuel, tenure uncertainty and contested land claims, lack of economic incentives for sustainable forest management, mismanagement and conflicting jurisdictions, illegal logging and corruption, population

Problem

Increasing emissions from Deforestation and forest Degradation, loss of livelihoods and well
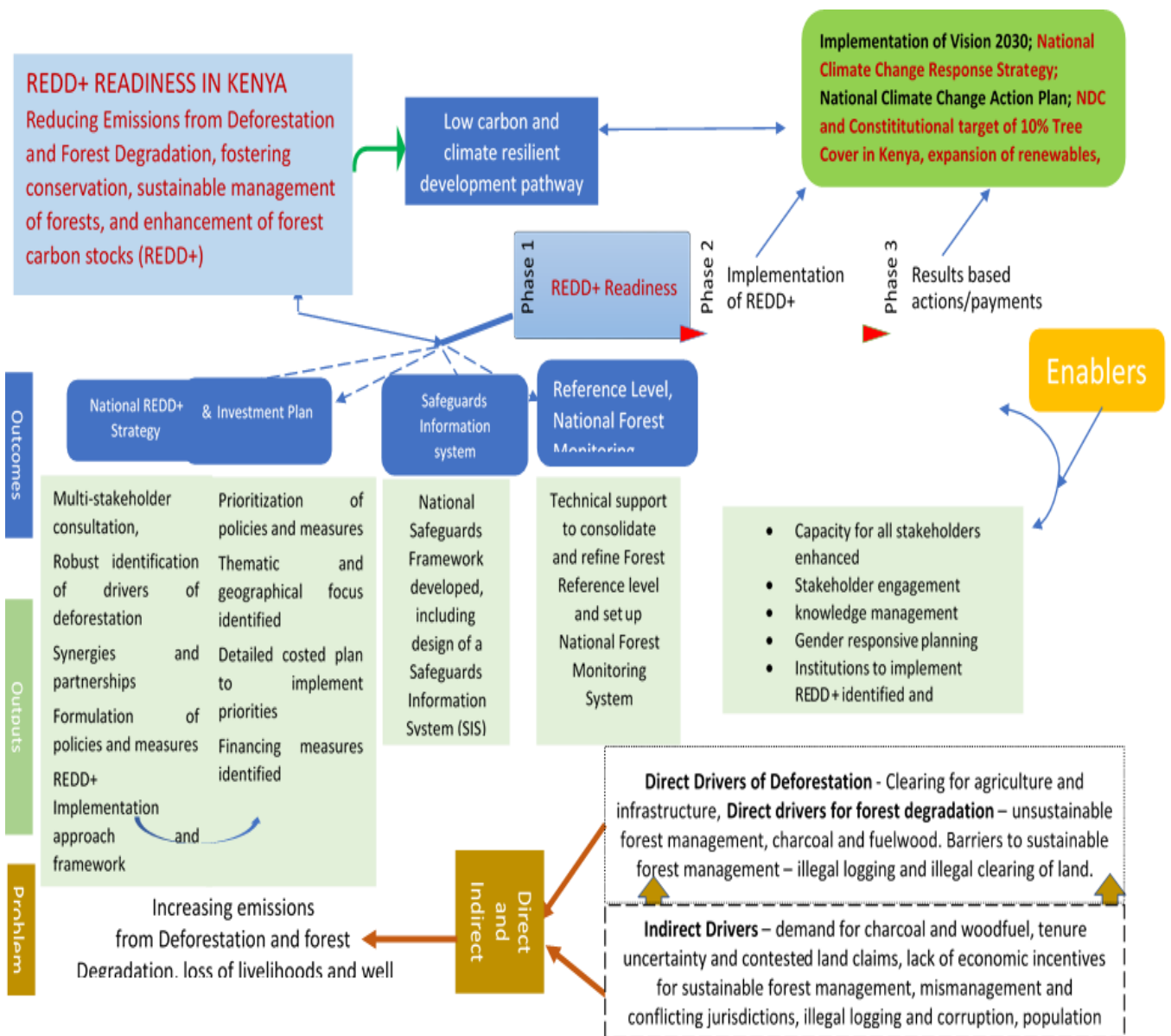
Direct and Indirect

Figure 2: Theory of Change

III. RESULTS AND PARTNERSHIPS

Expected Results

To implement REDD+ Kenya requires financial support available from global climate finance mechanisms. These mechanisms require countries to have the elements described in the Warsaw framework in place: that is a) National Strategy for Reducing Emissions from Deforestation and Forest Degradation and fostering conservation, sustainable management of forests, and enhancement of forest carbon stocks (REDD+); b) a Safeguards Information System; c) a National Forest Monitoring System; and d) a National Forest Reference Level. This project will contribute to Kenya's REDD+ vision through these outcomes, further described below. The activities required will be carried out in an interrelated and connected manner towards the overall objective. For instance, outcome three on stakeholder engagement is a common denominator for all four outcomes. The scope of the safeguards information system will be determined by the policies and measures in the Strategy. The national forest monitoring system will also be connected to the safeguards approach with respect to functions that are able to monitor leakage and displacement of carbon emissions. The national investment plan will be a direct outcome of the national strategy.

Output 1: An operational National REDD+ Strategy and Investment plan

The REDD+ Strategy will identify various policies, measures and actions to be taken by public, community and private actors for reducing emissions and increasing removals of CO_2 in the land use sector. They can involve modifications or improvements to existing policies, development of new policy measures and programmes, investments by authorities in the capacities and management structures of their respective institutions, and financial incentives and instruments that induce a change in behaviour. Other measures that are important foundations for the successful implementation of REDD+ strategies include awareness raising and support to women and women's groups, communities, private forest owners and forest industries to enable and [20]encourage them to fully participate in the REDD+ strategy development process and its ultimate implementation.

The lynchpin of the Strategy will be for stakeholders to achieve and attain a common vision for REDD+ that will deliver on the carbon mitigation potential but most importantly for Kenya that will set out a coherent and coordinated national pathway to protect and enhance management of land and forest resources to benefit livelihoods and well-being while respecting the rights of all communities as stipulated in the Constitution 2010. For instance, Output 1.1 and 1.3 are closely integrated and all four activities will result in the Strategy development which will take place in an iterative manner. Towards this outcome, the following outputs are proposed:

Output 1.1 Analytical work for REDD+ Strategy options conducted
Building on the work already conducted for REDD+, this activity will involve desk and field studies to identify the REDD+ Strategy options. These will include:
   a. Review and update work on drivers of deforestation and forest degradation identifying primary actors and sectors involved in deforestation and degradation. Identify responses to the drivers through a set of priority policies and measures particularly integrating indigenous traditional knowledge in the management of lands and forests.
   b. Draw upon land-use and spatial planning considerations to inform strategy options.

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[20] See work done in the assessment note.

c. Analyse potential for REDD+ results based payments for the proposed strategy options.
d. Conduct a participatory social and environmental assessment of risks and benefits of proposed REDD+ strategy options. This will include
    a) identifying potential opportunities and challenges to securing respect for rights and full participation of forest dependent communities including marginalised communities and enhance gender equity and inclusion.
    b) due diligence on the applicable laws and policies relevant to the achievement of conservation, forest management and sustainable development, including all Kenya environmental human rights obligations under national and international law, including core human rights treaties
e. Conduct a gender assessment of REDD+ options proposed and incorporate recommendations and actions to ensure the integration of gender equity and inclusion in the design of the Strategy.
f. Produce an issues and options report that will inform the REDD+ strategy.
g. Conduct an assessment of policy law and regulations update and revision conducted at the national level identifying opportunities and hindrances for implementation of REDD+. This will also include support to selected counties that have made progress and demonstrated leadership in forest conservation and management agenda, and involving communities[21]. The assessment will provide recommendations for update of the policies, laws and regulations to support REDD+ as part of the strategy implementation.
h. Identify how Community Based Monitoring Information Systems (CBMIS) at the community level can be integrated in the National REDD+ strategy.
i. REDD+ Strategy drafted, validated and adopted.

These activities will be guided by the need to consider:
- Assessment of opportunities for women, youth and other vulnerable and marginalized group's participation in proposed options;
- Dialogue outcomes on how forest dependent communities including marginalised communities can secure land rights in light of the forest conservation efforts, as well as securing land tenure for forest dependent communities where consistent with REDD+ planning and implementation;
- Land-use planning capacity at the county and regional level, discussion of gaps and opportunities;
- Further analysis on the promotion of on-farm forestry for woodfuels (both charcoal and fuelwood) production – together with efficient improved kiln technologies for urban and private sector consumption;
- Options for industrial demand for energy from agriculture, woodlots and farm forestry, charcoal production and sustainable utilization of wood resources as well as a corruption free value chain.
- Studies on the extent and impact of infrastructure and mining as drivers of deforestation, based on analysis of the national development pathway and priorities, for instance as informed by *Vision 2030*;
- How to effectively implement participatory forest management plans through Community Forest Associations where applicable, as well as alternative modalities that

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[21] UNDP has already received a request from Elgeyo Marakwet County for support in leading a dialogue with communities living in the forests and support to draft a legislation on forests and climate change mitigation and adaptation.

will include marginalised communities to enhance forest conservation and co-benefits; and

- Assessment of the contribution of indigenous and communities conserved areas (ICCA) and approaches (see section on 'Partnerships') for REDD+. This will also include analysis and consultations on applicable community driven complaints, grievance and redress mechanisms in conservation areas.
- Economic and risks analysis of the effect of REDD+ to community livelihoods.
- Analysis of the impacts and relevance of decisions, recommendations and findings of relevant processes related to forest resources management and rights of forest dependent communities including marginalised communities such as: the African Court of Human Rights, the African Commission on Human Rights and any other relevant rulings.

Output 1.2 Private sector engagement strategy for REDD+

In the past there has been persistent exclusion of the private sector in the climate change discourse. However private sector participation is integral in realisation of green growth and low carbon development pathway. Activities of the private sector, contributed to deforestation and forest degradation and resultant emissions. In addition, they present investment opportunities for leveraging. In this regard engagement with the private sector becomes imperative. To ensure private sector participation in the REDD+ agenda, the following activities will be carried out:

a. Conduct mapping and assessment of private actors including small scale farmers and forest-dependent communities, their respective rights and interest and the possible entry points to the REDD+ value chain.
b. Facilitate dialogue with the private sector under the auspices of relevant stakeholder engagement fora on proposed policies and measures
c. Assessment of incentives mechanism including fiscal incentives, tools and systems to enhance private sector participation in REDD+.
d. Assessment of impact and benefits analysis of the proposed policies actions and measures to the prevailing private sector business models including the duty of business entities to respect human rights) [22].
e. Conduct agriculture value chain analysis of various large and small-scale commodities and products with the potential to achieve REDD+.
f. Take into account issues around household incomes and small-scale farmers in relation to REDD+ policies and measures
g. Identify and adopt innovative systems, models, initiatives for private sector engagement
h. Economic and risks analysis of the effect of REDD+ to the private sector.

This output will further consider the role of the private sector as agents of deforestation and managers of change, sources of financing for REDD+ activities leveraging on public finance and private equity funds for preparing and implementing REDD+ activities.

Output 1.3 Institutional and policy framework for REDD+ implementation

As per the Legal Notice No. 138 from August 2013 and within the *Transition to Devolved Governments Act*, Kenya's Transition Authority has approved the transfer of functions some of which touch on forestry and related drivers of forest degradation and deforestation. Some of the functions include but not limited to farm forest extension services, forests and game

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[22] See generally, Guidelines on Business and Human Rights

reserves formerly managed by local authorities to Counties[23]. This transfer of management functions to the county level, excludes forests managed by Kenya Forest Service, National Water Towers and private forests. To define the mode of participation of the Counties and the national entities in REDD+, particularly with regards to how policies and measures within the Strategy will be developed and implemented, the following analysis will be conducted:

a. Analysis of institutional arrangements relevant to forests and REDD+ implementation both at the national level and the county level including County inter-governmental forums.
b. Assessment of land-use planning frameworks at both national and county and that can support implementation of policies and measures.
c. Assess implications of recent updates in forest and forest-related policy, legal and regulatory framework including governance and livelihood options. Identify gaps and opportunities for implementation of REDD+ including participation of communities.
d. Integrate tenets of good governance and identify weaknesses and threats through the anti-corruption task force, conduct opportunities for integrating anti-corruption approaches in the proposed policies and measures. This will include identifying costs and benefit sharing and distribution arrangements based on tenure, roles and responsibilities to support design of a gender sensitive model/mechanism applicable during implementation phase.
e. Assessment of modalities for integrating REDD+ implementation at both National and County level.
f. Analysis of county land-use planning process and how this involves and impacts the rights of forest dependent communities and enhance forest protection.
g. Analysis of ways to enhance participation of forest dependent communities in community and Public county forests protection and conservation.
h. Partner with pilot county in integration of the REDD+ agenda at county level, guided by criteria developed led by the project board.

Output 1.4: National REDD+ Investment Plan

Once the overall framework for the REDD+ Strategy is developed, an Investment Plan (IP) would be developed. The IP is to help facilitate the implementation of policies and measures as well as mobilize the requisite financing and investments associated with the implementation of the strategy. Thus, the IP would help the country to define, scope and prioritize key investments that will be needed, as well as determine associated costs. A programmatic approach to investments which aim to bring transformational change by addressing the drivers of forest loss and the barriers to sustainable management of forests is sought. The investment plan will follow closely and iteratively once the strategic options are defined in the National Strategy. Activities will include:

a. Prioritizing specific investments portfolios and feasibility studies for REDD+ options identified in REDD+ strategy. These will focus on cross-sectoral issues based on priority landscapes and addressing the needs of communities and the goal of improving livelihoods.
b. Conducting economic, financial and social viability studies for value chains, commodities or outputs and economic feasibility studies where needed to assist in the prioritization of the investment portfolios.

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[23] The transfer applies provided that the responsibility for the personnel emoluments related to the discharge of the devolved functions shall be managed by the national government for a period not exceeding six months or as shall be agreed upon between the two levels of government, whichever comes first

c. Supporting the development of appropriate financial instruments for REDD+ (including existing financial incentives and instruments) through technical, economic and financial analyses and in line the national climate change financing framework.

d. Holding multi-stakeholder and multi-sectoral dialogue with key sectors, partners and stakeholders on proposed/identified investment options and associated financial instruments.

e. Engaging the private sector to contribute to actions and enable scaling-up of actions including through ongoing and emerging investments.

f. Align the investment options to the Government priorities and action (The Big four)[24]: Manufacturing, Infrastructure, Health, Food Insecurity for integration in the government programming and future budgeting.

g. Applying the national environmental and social safeguards framework developed under safeguards (section output 3 below) to the investments (including communities throughout investment plan development process.

h. Assessing what is needed to implement and monitor these strategic options, in terms of capacity, costs and resources.

i. Analyses of impact potential of investments, and social and environmental benefits including how long-term benefits and sustainability will be assured.

Output 1.5: Resource mobilization and financing mechanisms for REDD+ implementation developed

Two activities are proposed as follows:

a. A mapping of the main existing programmes and sources of finance (public, domestic or ODA and private to the extent possible) that are considered transformative and contribute to the REDD+ Strategy will be undertaken. Potential international financing windows such as the Green Climate Fund and other bilateral funding will be explored. This will be done in line with proposed climate change resources in the country. A coherent resource mobilisation strategy will be developed that reflects a programmatic approach in order to achieve the targets and approaches for Kenya's 2030 vision, the NDC and the REDD+ Strategy.

b. Assessment of the funding architecture and possibilities for fund management for the implementation of REDD+ strategy – for example, the NCCAP identifies options for structuring and accessing public resources which should be accessible for REDD+ utilization. The Climate Change Fund which is being set up, is administered by the National Climate Change Council and is vested in the National Treasury. The study will also explore opportunities for resources to flow to communities in line with the ongoing work at the National Treasury on enhancing cash flow to communities. There is also the opportunity for the ME&F to mainstream REDD+ funding requests through the Medium-Term Expenditure Framework (MTEF) and through the central budgeting cycle managed by Treasury, which is undertaken every three years. This would allow mainstreaming of REDD+ into the economic planning cycle and the budget process[25] aligning REDD+ finance flows to controls applicable to the government budgetary and expenditure process.

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[24] https://citizentv.co.ke/news/president-kenyatta-my-big-four-plan-for-economic-development-185170/
[25] Mungai, Obadiah (2016) Kenya REDD+ Financing Systems

Output 2: Functional multi-stakeholder engagement and capacity building on REDD+

Output 2.1 Multi-stakeholder engagement and capacity building on REDD+ processes enhanced

As recommended through the stakeholder consultation process conducted prior to development of this project document, a Stakeholder Engagement Plan will be developed within two months of the commencement of the project, building on work that has been conducted over the past two years. This is also guided by the constitutional requirements for meaningful public participation and engagement. The existing consultation and participation plan developed by the government with support from IUCN and Kenya Forest Working Group will provide a starting point for the Stakeholder Engagement Plan. In line with the common approach, and UNDP guiding policies[26], stakeholders will be engaged throughout the project implementation.

The following activities will be carried out:
a. Conduct a stakeholder analyses and mapping exercise to identify roles and rights and interest in the REDD+ readiness process as well as the design and implementation of the REDD+ strategy.
b. As part of the mapping, identify forest-dependent communities including women and youth-focused groups' representation in existing platforms and processes to engage in REDD+ readiness and implementation.
c. Based on the results of the stakeholder mapping, define and design capacity building activities for key groups participating in the development of the strategy and investment plan, safeguards and forest monitoring.
d. Identify how stakeholders will be engaged throughout the project, including with respect to information sharing and disclosure, as well as what project decisions and activities require prior consultations with stakeholders and/or the free prior and informed consent of specified stakeholders.
e. Engage relevant stakeholders in national and subnational REDD+ governing structures, working closely with forest dependent communities including marginalised communities structures and their designated representatives; this will include elders, leaders (traditional and elected leaders, women representatives), identify measures to be taken to ensure inclusiveness and cultural appropriateness during consultations on proposed policies and measures.
f. Clarify the responsibilities of various institutional actors, community leaders and other stakeholders in the development and implementation of a Stakeholder Engagement plan
g. FPIC guidelines developed, will be tested and the context for their use confirmed, partnerships with other programmes in the forests sector to pilot these guidelines will be explored for review and finalisation of the guidelines and their adoption and inclusion in the REDD+ strategy.

Facilitate Kenya National Commission on Human Rights (KNCHR), National Gender and Equity Commission (NGEC) and National Land Commission to work closely with County Governments[27]

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[26] UNDP SES Stakeholder Engagement Guidance Note (including sample outline of a plan). https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf

[27] The County Government of Elgeyo Marakwet have written to UNDP for support to lead a dialogue with the sengwer and communities living in and around Embobut forest. The sengwer community during a meeting with the Joint committee endorsed the proposal to have the county lead this dialogue process in Elgeyo Marakwet

to conduct dialogue towards addressing the competing conservation, land rights interests and historical injustices[28]. This will also include dialogue on proposed options in the strategy and ensuing land tenure, rights and conservation and management of forests. Facilitate stakeholder's meetings for technical meetings with marginalised communities, forest dependent and civil society to enhance their participation in decision making meetings

***Output 2.2 National REDD+ readiness governance sys*tem established and strengthened**

This output focuses on the institutions that will be engaged and how REDD+ will be set up and operationalised in order to be ready for REDD+ implementation. Specific activities include:

a. Establishment of a REDD+ Coordination Office located in the Ministry of Environment and Forestry (ME&F) supported to spearhead REDD+ in the country.

b. The National Steering Committee established as the apex body for REDD+ management. An important task for the NSC will be to coordinate the REDD+ agenda and link to the Climate Change Council. It is expected to convene every six months, and will enable high level dialogue and support for REDD+ processes in the Country. There shall be Project Advisory team /Project board established to coordinate this project (This is explained in sections on project management below). Stakeholders will be involved in all levels of implementation of this project including in the Board, technical working groups and discussion groups.

c. Previous recommendations and actions had resulted in the creation of an anti-corruption taskforce with term of reference and modus operandi defined. This will be re-invigorated and operationalised.

The National Coordination Office and the National REDD+ Steering Committee will be supported by the FCPF Project Management Unit (PMU) – which is made up of staff hired to deliver the project outputs and the Project Advisory Team/ Project Executive Board (PEB). The PEB will be made up of key technical staff from government institutions and independent commissions, civil society, private sector and forest dependent communities and marginalised communities[29]. See Section V on Project Management.

Output 2.3 Knowledge management (KM) and communication strategy

Informed by stakeholder mapping analysis conducted under output 2.1 above, the following activities will be conducted:

a. Develop a KM and Communication strategy to contribute to the success of REDD+ process in Kenya by enhancing collaboration between key partners including the media, increasing the visibility of the REDD+ process and supporting the consultation process.

b. Develop and disseminate knowledge and communication materials tailored to specific stakeholder groups and time responsive in a culturally appropriate manner.

c. Support documentation and integration of indigenous/traditional knowledge related to forests and natural resource management in REDD+ programming and implementation.

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county.

[28] As in line with the Land laws (Amendment) Act, 2016 section 38 on historical land injustices

[29] This prodoc has been designed through a participatory approach and a taskforce of 24 members drawn from all stakeholders' constituencies, see Task Force TORs for details. It is hereby proposed that the taskforce transitions to be the Project Advisory Team/ Project Board. Stakeholder constituencies will be represented in all the technical working groups to guide and contribute to the technical analytical work and discussions.

d. Update and provide regular information for the REDD+ Kenya website. Create and manage a REDD+ site linked to the UNDP Country Office in order to share and provide public documentation relating to project management. Share best practices and lessons learned through the REDD+ Kenya website[30].

e. Provide information about the project-specific grievance mechanism, including how stakeholders and affected parties may access it, as well as the <u>UNDP Stakeholder Response Mechanisms (SRM) and the UNDP Social and Environmental Compliance Unit (SECU).</u>

f. Training and capacity building for the Project Executive Board and the Programme Management Unit will be undertaken to enable delivery of the project deliverables[31]. This will also include a south-south knowledge exchange with a country that has progressed on the key Warsaw pillars. Such capacity building will also include a unit on the rights of indigenous peoples/forest dependent communities under applicable law, conducted by one or more experts recruited by UNDP[32].

g. Awareness creation on REDD+ readiness across all stakeholders will be undertaken.

Output 3: An operational Safeguards Information System for REDD+

In accordance with the Warsaw Framework and in order to access results-based payments for implementing REDD+, three basic interrelated safeguards requirements under the UNFCCC are:

1. Promote and support the Cancun safeguards throughout the implementation of REDD+ actions;

2. Develop a system for providing information on how the Cancun safeguards are being addressed and respected (i.e. a "safeguards information system" - SIS); and

3. Provide summaries of information on how all the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ actions.

Demonstrating that safeguards have been addressed and respected through an operational safeguards information system (SIS) can help countries ensure that the environmental and social performance of REDD+ is transparent, consistent, comprehensive and effective.

In order to prepare the country's approach to manage and reduce environmental and social risk and ensuring long term benefits, safeguards are embedded in the implementation of the policies and measures, further informed by the Cancun Safeguards and the requirements of this REDD+ project, each of the activities stated herein and the outputs realized as a result, will be developed and implemented consistent with Kenya's duties and obligations under national and international law, including applicable core human rights treaties and environmental instruments. Towards this, the following activities will be carried out:

a. National safeguards framework developed: The objectives and scope for the safeguards work defined in consultation with stakeholders. This will involve interpretation of the Cancun safeguards in the national context and the policy, legal and regulatory framework which supports compliance with these safeguards described.

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[30] http://www.reddplusinkenya.org/.

[31] Training will include capacity building on the rights of forest dependent communities and marginalised communities under applicable law, conducted by one or more experts recruited by UNDP.

[32] Kenya National Commission on Human Rights (KNCHR) and UNDP will take lead in designing the training.

b. A national approach to REDD+ safeguards will be developed. The safeguards national approach will use participatory approaches to:
   - Identify social and environmental priorities that should be included in planning and policy processes
   - Conduct a risks/benefits assessment of the policies, measures and investments identified (as part of the social and environmental strategic assessment – (SESA)
   - Conduct an assessment of institutional, policy, laws and legal frameworks and assess gaps and for effective response to safeguards
   - Identify potential adverse social and environmental impacts associated with policy options proposed for the REDD+ strategy and propose measures to avoid these impacts and where unavoidable mitigate and manage these impacts
   - Iteratively throughout the project engage decision makers and stakeholders to ensure a common understanding, coordination and broad support for implementation

c. Production of a roadmap for Kenya's approach to address and respect safeguards taking into account goal and scope of the safeguards. This roadmap will include indicators to assess progress, and clarify the steps that will be taken when safeguards are not implemented consistent with the applicable laws, standards and policies.

d. Design of a SIS which will take into account, functions, scope, objectives and sources of data, including how data will be collected.

e. Set up a Feedback and Grievance Redress Mechanism for REDD+ in line with the Joint FCPF/UN-REDD Programme Guidance Note for REDD+ Countries: Establishing and Strengthening Grievance Redress Mechanisms. The GRM will act as recourse to facilitate handling of any request for feedback or complaint by stakeholders, wherever they originate, with attention to providing access to geographically, culturally or economically isolated or excluded groups. This is core pillar of REDD+ due to the complexity of issues and diversity of actors involved, and the range of issues and interests. As part of the project activities, a project-level GRM is also in place to enable UNDP and the REDD+ coordination office to respond to feedback, complaints and grievances that may be received as part of the implementation of the FCPF grant. This output is closely linked to Output 3 and the Stakeholder engagement plan.

f. Analytical and participatory approaches to integrate social and environmental considerations into the policies and measures will be utilised to conduct a SESA as noted in Output 1.1. An environment and social monitoring framework (ESMF) will be developed[33]. The ESMF will set out the principles, rules, guidelines and procedures to ensure the social and environmental risks and impacts identified in the SESA are fully assessed and management measures put in place prior to implementation. It will contain measures and plans to avoid, reduce, mitigate and/or offset adverse risks and impacts, provisions for estimating and budgeting the costs of such measures, and information on responsibilities for addressing project risks and impacts. This work will draw on Kenya's past and ongoing work related to addressing and respecting the safeguard requirements as outlined by the UNFCCC. A clear format to draw the SESA/ESMF, and to streamline the common activities into the country approach to

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[33] see template in Guidance on Social and Environmental Assessment and Management.

safeguards, and the safeguards information system will be determined in order to avoid duplication and ensure efficient use of resources for a coherent safeguards approach.

Output 4: Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level

Output 4.1 Technical advisory support to consolidate and refine the National Forest Monitoring System

The Government of Japan through JICA is supporting the Kenya Forest Service to develop a National Forest Monitoring System through the project "Capacity Development Project for Sustainable Forest Management in the Republic of Kenya (REDD+ Readiness Component)": There is need for coordination and an overall approach to incorporate project level monitoring into REDD+ monitoring at the national level Towards providing support towards this deliverable the project will conduct the following activities:

   a. Review applicability of work undertaken and proposed on the development of the NFMS and identify gaps.
   b. Identify how these further activities that will be needed can be undertaken and gaps filled.
   c. Identify on-going REDD+ projects and ascertain links between project level and national level REDD+ monitoring and management.

Output 4.2 Reference level developed and REDD+ reporting requirements met

A forest reference level has been prepared but has not been submitted to the UNFCCC. The project will provide technical assistance where needed to link the reference level to the strategy development process and to provide support to enable quality reporting requirements to the UNFCCC. Specific activities include:

   a. Link the forest reference level to the national REDD+ strategy formulation process. This will include stocktaking of ongoing support on MRV/FRL including identification of gaps.
   b. Provide technical inputs into the forest reference level development processes with a view to ensure compatibility with relevant UNFCCC guidance and modalities and with the national REDD+ strategy.
   c. Based on information collected in 4.1 (c) above, ascertain links between project level and national level reference levels and the implications of these for carbon accounting.
   d. Support institutional arrangements to ensure technical consistency with national greenhouse gas reporting, national communications and Biennial Update Reports and provisions for a REDD+ technical annex to be reported as part of the BUR in the context of results-based payments.

Resources Required to Achieve the Expected Results
Resources required to achieve the expected results are outlined in the budget attached.
   - Government officers staff time and technical inputs;
   - Project staff:
        a. Programme manager for overall technical guidance and day to day running of the project;
        b. Technical specialist to lead the national strategy and investment plan development

c. Knowledge management and communication officer to facilitate knowledge management
d. Stakeholder engagement and safeguards specialist to facilitate continued engagement with stakeholders
e. Global Technical specialists for technical guidance for MRV/FREL, national strategy, safeguards. These will be drawn from UNDP REDD+ team /Forests and Climate team
f. Project assistant charged with administrative and financial tasks related to the project.

- Staff time of UNDP country, regional and global offices in terms of quality assurance and administration and finance support;
- International and national consultants to provide technical inputs and capacity building;

Partnerships

The project will closely collaborate with the following agencies for REDD+ readiness activities and related activities in the forestry sector. These partnerships also include working with initiatives that have already commenced in order to pool resources and capacity. A partnership's true nature can be found in mutual willingness and understanding to work together to achieve similar objectives. Where needed these partnerships will be formalised. These are as follows:

1. **Indigenous Peoples and Community Conserved Territories and Areas (ICCA).**
   Part of a global initiative, the Kenya ICCA network, is in the process of developing a national ICCA registry in the form of a database and will present findings on the status of ICCA in Kenya. ICCAs that fulfil certain criteria including compliance with safeguards, quality checks and peer review can be part of a national and global ICCA registry, as well as entered into the World Database on Protected Areas managed by UNEP World Conservation Monitoring Center. In Kenya, a collaborative partnership on ICCA (CPI) has been established made up of six national NGOs and one international NGO, with substantial programmes on ICCAs. Membership is voluntary. These NGOs include ERMIS Africa, RECONCILE, Institute for Culture and Environment, Kijabe Environmental Volunteers, Enderois Welfare Council, The Kenya Forest Working Group/East Africa Wildlife Society and WorldWide Fund for Nature. Through UNDP small grants programme, this network is working on a review of how ICCAs in Kenya are operating, including policy and legal opportunities and challenges hindering optimum operations of the ICCAS. Recommendations and outcomes of this work will be instrumental in informing alternative modalities for participation of marginalised communities in conservation.

   Marginalised communities who are not part of the ICCA will be engaged through their organized structures, umbrella networks of Marginalised communities (e.g. Indigenous Peoples National Steering Committee on Climate Change) and traditional governance structures of these communities.

2. **Community Forest Associations and Marginalised communities**

   Community Forest Associations are groups of local persons who have registered as an association or other organization established to engage in forest management and

conservation as required by the Forest Conservation and Management Act 2016. There are currently about 300 CFAs registered in the Country and about 100 or so with signed management plans. Some of these management plans are currently under review. As a measure to integrate REDD+ implementation, lessons from the CFAs will inform the analytical work as well as the strategy development. The project will collaborate closely with the National Alliance of Community Forests Associations (NACOFA). In areas that marginalised communities may not be associated with CFAs or have expressed concern about their respective CFAs (recognising that they have not been registered as formal entities) the project will involve these communities through their leaders and traditional governance structures.

3. **JICA Capacity Development Project for Sustainable Forest Management in the Republic of Kenya**.

   This project assists and is implemented with the staff of the Kenya Forest Service, the Kenya Forest Research Institute and including staff in the ME&F to strengthen capacity at the national and county level for sustainable forest management. This includes policy support, piloting of improved trees, REDD+ readiness, tree breeding for drought tolerance and climate change. The project began in 2016 and has a duration of five years. A national reference is being submitted with support of this project to the UNFCCC in January 2018. Close engagement with the JICA project will be required in order to achieve Output 4 as described above.

4. Several programmes will become important partners for the project with regards to private sector engagement, sustainability, vitality and viability of reforestation and afforestation strategies and economic benefits for communities. These include i) **The German Government/Federal Ministry for Food and Agriculture Promotion of Sustainable Private Forest Management in Kenya** which works with tree grower associations and provide advisory services and quality inputs for sustainable forestry on private smallholdings in order to achieve income generation in rural areas. Ii) The **Gatsby Africa - Kenya Commercial Forestry Programme** which focuses on strengthening organizational and technical capacities of forest and farm producer organizations for improved business, livelihoods and effective engagement in policy implementation, and iii) **FAO- Forest and Farm Facility (FFF) Programme.** This programme supports development of a competitive, inclusive and resilient commercial forestry sector in Kenya.
   Knowledge and experiences from these programmes will be key in contributing to the goals of income generation and the long term social and economic benefits that will provide an incentive for afforestation and reforestation. Long term and sustainable systems with these private sector groups can then be supported with both small- and large-scale actors in the forestry sector.

5. **Forest 2020**

   This project is a £23.8M project supported by the UK Space Agency under their International Partnership Programme (IPP). Forest 2020 is led by Ecometrica UK in conjunction with a large consortium of national and international partners with an aim of helping to protect and restore up to 300 million hectares of tropical forest by improving national forest monitoring systems. The project is being implemented in

Indonesia, Brazil, Mexico, Colombia, Ghana and Kenya. In Kenya the project is working with the Kenya Forest Service and has begun work on three areas of forest monitoring systems:

- o Improve detection of forest changes, particularly in challenging ecosystems and land use situations;
- o Improve mapping of risks and priority areas, particularly ways in which local organizations and district or state-level forest authorities can input and interact with the forest maps and forest change detection; and
- o Digital infrastructure for managing and distributing EO derived and related information to ensure robustness, consistency, continuity and availability of data products to end-users.

Resources to support a national forest monitoring system will need to be found from different sources due to the high costs and high resource and capacity needs. The project will partner with this and other partners to contribute technical expertise towards the national forest monitoring system for Kenya to iteratively go through a process of improvement and refinement.

6. **The World Agroforestry Centre (ICRAF)**

The World Agroforestry Centre is headquartered in Nairobi, Kenya. Agroforestry provides important adaptation co-benefits and is an important strategy towards mitigation of the emissions from the agricultural sector. It is an integral part of Kenya's landscape and important for landscape restoration. Farmers in Kenya have adopted agroforestry for products and forest services such as generating microclimates in communities, increasing water holding capacity and soil carbon and improving soil fertility and food production. Collaboration with ICRAF in order to identify policies and measures for instance through providing support to farmers for agroforestry adoption. ICRAF can also support research and cost benefit analysis of strategic options relating to agroforestry. Recently ICRAF released the Africa Tree Finder app which helps farmers identify what trees could grow in their locality for a specified purpose. It is currently available in Kenya.

Partners will also be identified and included in the implementation of the project and linkages established where applicable.

Risks and Assumptions

The REDD+ Readiness process presents a high level of risk, as it depends directly on a series of institutional changes and a conducive governance environment. A successful REDD+ mechanism involves important changes to the existing institutional framework and touches upon sensitive issues, such as land tenure rights and revenue distribution across government levels. In addition, the programme has high visibility internationally, due to the high stakes of REDD+ for various stakeholders (including forest-dependent communities). A comprehensive social and environmental screening for project purposes was carried out and the results found in Annex 2.

The highest ranked potential risks from the UNDP Risk Log (Annex 3), based on a combination of probability and impact, are summarized in Table 2 below:

Table 2. Summarised Risk Log

No.	Type of Risk	Risk Management
1.	Marginalised communities whose access to forests resources for their livelihoods and historical land rights claims had been constrained in the past may have these circumstances exacerbated or continued. These concerns have been brought up by these communities during the consultative processes for project preparation and communities fear that the issues will continue. At the end of a series of exchanges, the communities supported the continuation of REDD+ in Kenya understanding that it presents opportunities for dialogue during discussion of the REDD+ policies and options including progress on land tenure security.	• This project is for national readiness, not implementation, and that the development of policies and measures for actual REDD+ implementation will be developed in consultation with all relevant stakeholders • Measures have already been taken to ensure that forest community people have been widely consulted during project preparations. These communities have representatives that are members of the interim task force for the development of the project document. This model was lauded by stakeholders as exemplary as time and resources were spent to engage in a serious and concerted manner before the project begun. Several contentious issues were discussed and it was agreed that the REDD+ readiness project would be an opportunity for dialogue and discussion of the way forward. • The National Land Commission and the Kenya National commission on Human Rights as key project partners will be involved in seeking solutions to long standing conflicts through dialogue and stakeholder platforms. In this way, this project can potentially significantly contribute to a solution oriented outcomes that can be incorporated into the final REDD+ strategy to be developed. • Additionally, no physical displacements of forest peoples are contemplated under this project and indeed, forced evictions are prohibited. • If economic displacements are to arise (for instance due to restrictions on use and access to resources in a protected area), application of the Cancun safeguards and UNDP SES will inform as to what are permissible limitations and how they must be achieved. • Also an Indigenous Peoples Plan, Livelihoods Management Plan and Cultural Heritage Plan will be jointly developed with relevant stakeholders to avoid harms, mitigate those that are unavoidable and seize opportunities to enhance rights protections were possible
2	Non-forestry sectors such as agriculture, energy and mining do not place a priority on REDD+ and undermine REDD+ activities.	• The project will support the REDD+ Steering committee to facilitate cross sectoral inter-ministerial discussions to identify policies and measures that will respond to the drivers of deforestation and to the barrier of sustainable management of forests in the Country.

		• Discussion and analyses of the policy options will be done with actors and institutions from non-forest sectors. • The opportunities for integrated land use planning at county levels will be realised and addressed in the National Strategy.
3	Overlapping Institutional mandates, approved land use plans and conflicting policies can result in inadequate buy-in from sectoral ministries and other stakeholders in development of strategic options.	• This is related to the risk above and activities to counter this will involve a policy, legal and regulatory assessment review to inform the issues and options for policy harmonization. This will build on the efforts already on-going to do engage with projects and initiatives that are carrying out activities in the land use sector concerning these mandates. • Inter-institutional coordination meetings will be held and cross sectoral synergies and trade-offs identified. • The REDD+ Steering Committee will convene regularly and bring together actors from other ministries, departments and agencies to address the drivers of deforestation and barriers to sustainable management of forests. • Issues and conflict arising from the national and county government will be brought to the attention of the intergovernmental summit though the Council of Governors and the Ministry of Environment and Forestry.
4	Some stakeholders may not have access to information or may not be able to participate effectively in the decisions that affect them.	• A key outcome of the project is capacity building to engage in the development of the REDD+ national strategy and its implementation. Output three specifically focuses on capacity building. • Specific measures are integrated in the execution of the Project and funding allocated to bring together the relevant stakeholders in relevant platforms to share information and knowledge. (See outcomes 1 and 3 in the results matrix). This process is central to the Project approach. • Consultations and participation to agree on how stakeholders will be engaged (platform, representation, consultations) are scheduled. The project will facilitate a self-selection process of the different stakeholders including the development of a Stakeholder Engagement Plan. • A Stakeholder Engagement expert will be recruited to support the implementation of the project.

		• The project will develop a communications strategy and will seek to manage expectations in terms of the extent and scope of stakeholder engagement in a REDD+ readiness programme. • The Project will adhere to the UN-REDD/FCPF Stakeholder Engagement guidelines for REDD+ readiness and the Cancun Safeguards which include provisions for the full and effective participation of relevant stakeholders; respect for the rights of indigenous peoples; disclosure of information and grievance and accountability.
5.	A risk potential to adversely affect women and youth by not adequately involving them in decision making or taking their perspectives and roles into account in the design of the policies and measures, REDD+ Strategy and investment plan.	• The project will promote a gender-responsive approach, by integrating gender equality and women's empowerment into the various analyses and cross cutting issues. See Outcome 1 and 3 in the Results Matrix. To ensure that the project will positively impact women, men and youth across different ethnic groups and social classes, gender assessment will be part of Strategy development and measures integrated into Strategy design. • For example, design and prioritization of REDD+ policies and measures will aim to 1) avoid adverse social impacts including to marginalized groups (e.g. women, youth, etc.), such as changes in access rights to forest and non-timber products for families in local communities, and 2) promote and enhance economic and social well-being, • The project team will include a gender expert to inform strategy and policies and measures design and deliverables. • The project will apply UN-REDD's gender approach, as detailed in its Methodological Brief on Gender.
6.	Government agencies do not coordinate or cooperate effectively to enable the REDD+ Strategy to be fully transformative to identify policies and measures both within and from outside the forest sector that will adequately address drivers of deforestation and barriers to sustainably manage forest resources.	• Drivers of deforestation and forest cover change analysis and stakeholder engagement plan will identify entry points required for effective coordination arrangements • Design and prioritization of actions to reduce displacement of emissions from specific REDD+ actions at the local, sub-national and national scales, taking into account the potential impacts of REDD+ actions on rights and livelihoods, as well as the demand for and supply of forest and agricultural products are the objectives for the project • A cross sectoral NSC will be re-established to

		enable cooperation with all relevant sector ministries departments and commissions . • Implementation arrangements of the REDD+ readiness programme will involve key partners and stakeholders and REDD+ objectives integrated and linked to national development objectives and processes. • REDD+ will be positioned as a strategic issue within the Climate Change Council (once operationalised) which is under political leadership of the President of Kenya
7.	Consultative processes on the strategic options for the Strategy and the benefit sharing mechanism will result in high expectations for potential REDD+ beneficiaries which cannot be met in the short to medium terms.	• Clear communication with respect to the development of the Strategy to explain what readiness is, understand trade-offs and manage expectations on the ground. • Consultation, analysis, and assessment to enable consensus on policies and measures. This will enable a collective understanding on what constitutes roles and responsibilities with respect to benefit sharing. • Inclusion of forest dependent communities and marginalised community representatives in the National REDD+ Steering Committee, project advisory team /project board group and the technical working groups.
8.	Inadequate institutional capacities and governance at the devolved (county Level). This include corruption risks identified under that corruption risks assessment for REDD+ in Kenya[34].	• Assessment of relevant institutions to be conducted to identify challenges and gaps. • Institutions under devolved governance systems and independent commissions are still new and some lack regulations and human resources to fully execute their mandate, capacity building is envisaged at the county Level through the project outputs. • Capacity building within the forestry sector on rights, applicable law, the REDD+ framework, etc; • The integrity and governance team (REDD+ anticorruption taskforce) will be engaged in the implementation of this project as well as review of proposed policies and measures for integration of anticorruption strategies in the REDD+ strategy.
9	Possibilities of political and elite capture leading to individuals peddling wrong information in respect to land rights and alleged	• The project will recruit a stakeholder's engagement specialist to serve as a focal point for the project. • The established Integrity and Governance Team

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[34] http://www.ke.undp.org/content/kenya/en/home/library/environment_energy/a-corruption-risk-assessment-for-redd--in-kenya.html

	conflict.	(REDD+ anticorruption taskforce) will serve as an advisory team for the project and will serve to resolve the conflicts that may be raised by community representatives, the taskforce will deliberate on concerns raised throughout the project implementation. • High level engagement of the ministries, independent commissions and the Council of Governors for political support and leadership of the project.
10	Corruption, illegal concession, and poor enforcement within the forestry sector do not place a priority on REDD+ and undermine REDD+ activities.	• Capacity building within the forestry sector on rights, applicable law, the REDD+ framework, etc; • Budget lines directed to government institutions funding forest sector activities are well defined and clearly connected to specified activities • The Ethics and Anticorruption Commission (EACC) lead taskforce on anticorruption in REDD+ will be facilitated to monitor the project throughout the project.
11	Insecurity in the country and the forest areas.	• Most actions will be at the national level to build the national framework for REDD+ implementation, therefore activities in the field will be quite limited, thereby reducing the risk of exposure.
12	The Project could result in climate change related leakages which could result in drivers of deforestation being displaced to areas where project interventions are not foreseen.	• Drivers of deforestation and forest cover change analysis and stakeholder engagement plan will identify entry points required for effective coordination arrangements • The national steering committee will have a role to play to ensure that REDD+ policies and measure have will have a national approach. • Implementation arrangements of the REDD+ readiness programme will involve key partners and stakeholders across natural resource management regimes and agriculture • REDD+ integrated into national development processes and builds on policies, programme and activities in other sectors • REDD+ will be positioned as a strategic issue within the climate change council which is under political leadership of the President of Kenya • The national forest monitoring system will play a role in monitoring change over landscapes
13	Change in political support for REDD+	• Kenya has established a National REDD+ Steering Committee (NSC), a REDD+ Technical Working Group (TWG), and the National REDD+ Coordinating Office (NRCO). These entities will

		be reconstituted and operationalised to ensure a broad range of stakeholder engagement and political buy-in across sector. This will secure high level buy in for a strengthened coordination office at the Ministry of Environment and Natural Resources. • Ring-fencing through Fiduciary management and procurement processes through the Accounting officer in the Coordination Office linked to the Ministry.

Stakeholder Engagement

Development of REDD+ in Kenya will involve a wide number of stakeholders. A detailed understanding of these stakeholder groups, their interests and how they will be impacted by any potential activities for REDD+ is important if future outcomes are to be efficient, effective and equitable. As part of the implementation a detailed stakeholders mapping, analysis and assessment will be conducted. This will build on the consultation and participation plan conducted by the government with the assistance from IUCN.

In addition, in order to conduct due diligence into issues that had been earlier brought up by stakeholders concerning REDD+, a series of in-depth consultations have already been held to prepare this project.

The following groups of stakeholders have been identified as the target groups of the project, and will be involved in the implementation of the project:

1. **Government Institutions and Agencies**

   The government agencies at various levels, county and national are responsible for policy, regulatory and planning tasks related to establishment and maintenance of REDD+ activities. This includes implementation and enforcement of legislation and regulations, conflict resolution, service delivery, and most importantly ensuring that necessary time, capacity and technical assistance are accorded and are available for implementation.

   The national government will be involved through the Climate Change Council[35], Ministry of Environment and Forests, Kenya Forest Service, Kenya Wildlife Service (KWS), Kenya Water towers Agency, the National Land Commission, Kenya National Commission on Human Rights, National Gender and Equality Commission and Ethics and Anticorruption Commission.

   Other key institutions will include National Treasury, Ministries of Agriculture, Devolution and Planning and Energy. National Environment Management Authority and other institutions centrally involved in land management in the country will be part of the consultative process for the REDD+ Strategy and will be identified to take on roles

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[35] Made up of the Presidency, Ministries of Environment and Natural Resources, Treasury, Agriculture, Energy, Planning; Council of Governors, and representatives from academia (research and teaching), private sector, civil society, and marginalized communities.

within the REDD+ strategy and investment plan. County government will be engaged through the Council of Governors and respective Governors and county Executives in charge of planning and environment and natural resources.

These institutions will be part of the National REDD+ Steering Committee, Project Advisory Team/PEB, and technical working groups.

2. **Civil society and marginalized communities**

Kenya has many civil society and marginalized communities[36] (indigenous people's) organizations working on environment, forestry, climate change issues, human rights and indigenous peoples' issue. They will be involved in the project implementation through their networks' representatives. These include the Indigenous Peoples National Steering Committee on Climate Change. In addition, the project will allocate resources to support communities including marginalized communities to conduct a self-selection process to enable them to better represent their constituency at the national level. These representatives will be expected to reach out to a wide range of forest marginalized communities to participate in the REDD+ process, as per their terms of reference.

The social and environmental screening process identifies a detailed process of the engagement of civil society and marginalized communities with regards to resource and land management. A stakeholder engagement plan, gender assessment plan as well as a Marginalised Communities Engagement Plan, are part of project inception activities. A project level stakeholder response mechanism will be put in place for the purposes of addressing grievances or complaints. Awareness and access to UNDP's SRM and SECU processes for stakeholder grievances will also be available and communicated to stakeholders.

Civil society and Marginalised communities will be part of the National REDD+ Steering Committee, Project Advisory Team/Project Board, and technical working groups.

3. **Private Sector**

The private sector is a key actor in REDD+ readiness and implementation. A full assessment of the typology of private sector, including ways of engaging with them will be assessed. This will include communities, saw-millers and timber loggers, charcoal associations, ago-based industry actors for commodities such as tea, wheat and coffee and other agricultural products grown at large and small scales. Small scale farmers are an important and widespread stakeholder. The Kenya Private Sector Alliance will be represented on the Project Advisory Team /Project Board and will assist with private sector engagement.

The role of the private sector in addressing deforestation and forest degradation would be further explored and ways of enhancing their engagement in REDD+ promoted. With

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[36] The Constitution 2010 Article 260 identifies marginalized communities to include: …. '' an indigenous community that has retained and maintained a traditional livelihood based on hunter or gatherer economy and pastoral communities … Sengwer, Awer, Ogiek, and Yaaku communities identify themselves to be under this criterion and identify themselves as the Forest indigenous peoples and communities.

respect to timber production, there is increasing interest shown by private individuals in establishing commercial plantations in recent years. Wood processing is primarily a private sector activity and several saw-millers have established fast-growing plantations as a means of securing future timber supplies. Increased efficiency in forestry operations and forest product processing is a key area for Kenya and REDD+, and the private sector in various forms plays an important part for consideration in the design of the REDD+ strategy.

4. **Knowledge Institutions**

The Project will draw on policy and technical research and academic institutions These include but are not limited to: the Kenya Forest Research Institute, Kenya Industrial Research and Development Institute (KIRDI), academic institutions conducting research on environment, climate change, forestry and related development sciences, including ICRAF, University of Nairobi, Moi University, Eldoret University, Karatina University, Kenyatta University and Jomo Kenyatta University. The Forest Society of Kenya will also be engaged in the project.

5. Development Partners and UN organizations

Development partners have provided vital support to the development of Kenya's forest, environment, land and climate change sectors; UN-REDD Programme, Finnish Government, Australia Government, Clinton Climate Initiative, Japanese Government and USAID, among others have specifically supported REDD+ related activities. Communication between DP's and Government will need to be maintained and monitored to ensure that efforts towards REDD+ are coordinated with other initiatives.

South-South and Triangular Cooperation
The project will promote South-South and Triangular Cooperation through close coordination with UNDP REDD+ regional and global teams. The UNDP REDD+ Team has worked with and supported more than 40 countries to carry out their REDD+ readiness and implementation programmes. In Africa, these countries are Democratic Republic of Congo (DRC), Ethiopia, Ghana, Liberia, Nigeria, Uganda, Zambia among others, as well as overseeing the Community Based REDD+ Project and managing the Central Africa Forest Initiative (CAFI). There is therefore a sizable scope for SSC with these Africa Countries or with other countries in Latin America and Asia Pacific.

The UNDP regional and global offices will play a lead role in disseminating best practices and lessons learned from other countries and providing a catalyst role in connecting Kenya with other countries for sharing lessons and experiences related to REDD+ readiness activities, through regional workshops/meetings.
Knowledge
This project has a strong focus on knowledge generation and dissemination. To be ready for REDD+, the project will through a consultative process and analyses, produce a number of policy related and technical reports, documents, and training manuals pertaining to the REDD+ strategy and investment plan. These include the safeguards approach, gender, governance and funds management, impact potential, cost-benefit analyses, policy, legal and regulatory assessments, monitoring, reporting and verification and others. The design of a national safeguard information system is envisaged for the Project.

The project will create great visibility for knowledge and lessons learnt through this process. The National Strategy will become a national policy document owned by the Government and people of Kenya and formally adopted by the Government. It is available for relevant stakeholders to identify opportunities to implement the priorities identified.

Attention will be paid to generation of updated knowledge to enable full and effective participation of local communities, indigenous peoples and women in REDD+ related activities and to build on lessons learnt from past initiatives to address drivers of deforestation and change in land management. This will be done by partnering and engaging with the community of practice for climate change mitigation and land management who can draw upon the institutional memory on lessons learnt. For example, these include members of the Project Executive Board. Training and awareness raising materials will be developed in partnership with relevant stakeholders including forest dependent communities. The project ensures these materials to be context specific, simple, and easily applied.

The project will ensure full access to information on the project, activities, management and decisions, by posting these on the national REDD+ programme website, and social media platforms. Furthermore, the project conducts awareness raising activities to ensure that relevant stakeholders fully understand key concepts of REDD+, using media channels that are most appropriate for target groups.
Sustainability and Scaling Up

Institutional sustainability: will be improved through systematic capacity development measures for Ministry of Environment and Forestry, KFS, NLC, and National REDD+ Taskforce members at the national level. This includes capacity and training on technical matters such as compliance with human rights. County Governments who have a new mandate will be engaged and opportunities to ensure that their ability to engage in REDD+ planning and implementation will be undertaken through the project as well as written into the investment plan. There are specific skills and tasks that will need to be included into the portfolio of county government employees; these include being conversant with REDD+ and ensuring certain skills and responsibilities such as land use planning and management can be executed.

National ownership of the project will be ensured through involving the leadership of the government agencies in designing, managing and directing project activities. The project will facilitate analysis and review of policies related to forests management and REDD+. The project strategy is to establish a strong foundation for localized pilot initiatives which will aim to scale up approaches for forest managements such as participatory forest management and land use planning. Output 3.2 will seek to ensure that the core REDD+ institutions – the REDD+ Coordination Unit and the National Steering Committee are supported after the project ends. This is a key lesson learnt from other countries to ensure continuation to the next phases of REDD+, which are implementation and results based actions.

Social sustainability: Contribution to social sustainability will be a key area of the project outcomes. Empowering local communities and women to manage and benefit from forest resources and improve social welfare are sought through REDD+ policies and measures. The project also closely coordinates with the UNDP small grants programme working with communities in different regions in Kenya to effectively incorporate concerns and interests of local communities who are dependent on forest resources for their livelihoods. Pilots in the

Counties will explore how best to address social sustainability issues through the development of REDD+ policies and measures. Interaction with partners, NSC and PEB members will enable lessons from other community REDD+ initiatives in the African region to be drawn upon to strengthen the rights and ownership for local communities to undertake REDD+ activities.

Environmental sustainability: will be achieved through a coordinated approach involving a wide range of government and civil society organizations and communities to address deforestation and forest degradation at both national and subnational levels. Credible and robust analysis with respect to the drivers of deforestation will still be required in order to ensure that forests and land resources are managed in sustainable manner ensuring respect for human rights and the availability of ecosystem goods and services for local populations and for the Country. The ecosystem services of forests are well documented and this project seeks to work towards realisation of these benefits.

Collaboration with afforestation and reforestation efforts bolstered by the required policy reforms and investments, enhancement of participation of forest dependent communities and marginalised communities in conservation and management, will contribute towards substantially recovering the forest ecosystems and increasing forest cover in the country will be important building blocks towards environmental sustainability. Safeguards specifically to ensure both environmental and social benefits and positive outcomes are part and parcel of REDD+ design. Safeguards on displacement and risk of reversal are part of the REDD+ framework and will also have to be addressed in tandem with the capabilities set for the national forest monitoring system.

Financial sustainability: will be achieved by working through existing government agencies and mechanisms as far as possible such that the outcomes are mainstreamed into the regular operations and budgets of these agencies. The REDD+ investment plan will be a key factor in identifying resources and capacities to ensure financial sustainability, to ensure the continuation of institutional mandates and to support various stakeholders to be empowered and better equipped to exercise their roles in addressing deforestation and forest degradation at both national and county levels.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project seeks to deliver maximum results, building on what has already been achieved for REDD+, in partnership with other initiatives and with the available resources. The project will be implemented using a National Implementation Modality (NIM) through the Government of Kenya with the ME&F as the implementing partner. The project will coordinate with JICA on output 4 for MRV and NFMS related work, with the National Land Commission on stakeholder engagement and governance (Outcome 1).

The project will collaborate with the NCCC to ensure a programmatic response to climate change mitigation and adaptation plans. Further, the project will build on the work that has already been conducted for REDD+ in the Country since 2009, this includes identification of the drivers of deforestation and policy options, stakeholder engagement guidelines and FPIC guidelines, as well as the various lessons learnt from projects such as Miti Mingi, Maisha Bora. Several analytical reports can be drawn upon, in particular a synthesis of the policy framework with regards to REDD+, a report on the opportunities of improving efficiency in forestry operations and forest product processing in Kenya[37]. The project has already conducted preparatory consultations and has prepared the ground for output 3. Components for project governance and management arrangements have been set up and now need to be updated and operationalised.

The National Land Commission will hold dialogues between stakeholders on the management of public forests and forest dependent communities land rights. The NLC will work closely with County Governments who are already engaging communities in dialogue processes and initiatives on forest conservation and conflict resolution on land tenure, resource use and access[38]. NLC and county platforms will provide inputs to the REDD+ Strategy and enables dialogue and action between government agencies, conservation groups and other key actors to help render visible the process to secure community rights and develop a national REDD+ strategy that not only respects the rights of these communities, but also seeks to facilitate the sustainable management of forests. This process will closely engage the National Gender and Equity Commission (NGEC) and the Kenya National Commission on Human Rights (KNCHR) to ensure human rights and freedom from indiscrimination of all communities involved.

Related also to stakeholder engagement of strategy options and safeguards, the Kenya chapter of the Indigenous Peoples and Community Conserved Territories and Areas (ICCA), civil society and communities working with UNDP Small Grants Project will be engaged. The National ICCA assembly which convenes organisations and indigenous people networks', government representative and researchers will play a key part in coordinating stakeholders consultations and design of the grievance and redress mechanisms for the project and REDD+ implementation. These representative fora will provide collaborative opportunities. National safeguards work as a project outcome will incorporate requirements for social and environmental assessment required by the project, thus streamlining these processes. This is

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[37] Improving Efficiency In Forestry Operations And Forest Product Processing In Kenya: A Viable REDD+ Policy And Measure (UN-REDD, MENR, KFS, 2016)

[38] These counties include Elgeyo Marakwet county, Kitui county, Narok county, Kiambu county, Laikipia county among others. Elgeyo Marakwet County has approached UNDP to support this process

an important lesson learnt from other Countries working on REDD+ where a SESA and an ESMF can be incorporated into national safeguard work.

The county governments, marginalised communities and civil society groupings will be key project partners. The project will build on efforts on natural resource management and land use planning at the county Level (Outcome 3). The project will ensure close collaboration with initiatives noted in the Partnership section to align REDD+ readiness activities with their plan and investments.

Project Management

The project will be implemented under NIM with the Ministry of Environment and Forests as the implementing partner (IP). UNDP will undertake an oversight and assurance role in the implementation of the project. UNDP through the Kenya Country Office and the UNDP REDD+ Team will monitor compliance with social and environmental safeguards as well as the implementation of the Cancun safeguards and all requirements identified in the prodoc. The project will have a PMU office hosted by the ME&F in Nairobi. The PMU will cooperate with key project partners and other projects implemented in the forestry sector.

The Project Management Unit (PMU): The PMU will be located within the ME&F and is responsible for overall coordination and day-to-day management project activities including supervision of activities contracted to consultants. It is also responsible for coordination and mainstreaming of lessons and experiences into government operations and has oversight and supervisory role for all project activities implemented by project.

The National Project Manager (PM) heads the PMU and reports to the Principal Secretary in the State Department of Natural Resources and National REDD+ coordinator and maintains liaison with UNDP. The PMU will be recruited through UNDP. The PM liaises directly with consultants and will prepare project progress and financial reports to the Project Advisory Team /project Board, UNDP and FCPF. Reports include: Biannual update reports to the FCPF, annual delivery partner report of UNDP to FCPF, Annual Project Reports (APR), Quarterly Technical and Financial Reports and Project Terminal Report.

Other project officers for this project will include:

1. International Technical specialists for technical backstopping and delivery of the project.
2. Technical specialist to lead the national strategy and the investment plan.
3. Knowledge management and communication officer to facilitate knowledge management.
4. Stakeholder engagement and safeguards specialist to facilitate continued engagement with stakeholders.
5. Project Monitoring and evaluation officer.
6. Project assistant charged with administrative and financial tasks related to the project.

The Project is will undergo two independent evaluations during its lifespan. These are:
- **Mid-term Evaluation**, which is undertaken to determine the progress being made towards achievement of outcomes and to institute corrective measures.
- **Terminal Evaluation** is undertaken towards the end of the project and focuses on impact and sustainability of project results.

There will be budget reviews and mandatory budget re-phasing as required and when necessary through UNDP. The PMU will develop all work plans and reporting modalities will follow UNDP procedures and rules of programming as stipulated in the Results Management Guidelines (RMG). The Project will be audited as per requirements in the UNDP's Programme and Operations Policies (POPPs). More details are available in Section IX of this Project Document.

V.   RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): *Goal 1 No Poverty, **Goal 2** Zero Hunger; **Goal 3** Good Health and Well-Being, **Goal 6** Clean Water and Sanitation, **Goal 5** Gender Equality, **Goal 8** Decent Work and Economic Growth, **Goal 10** Reduced Inequalities, **Goal 13** Climate Action, **Goal 15** Life on Land, and **Goal 16** Peace, Justice and Strong Institutions*
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: *Draft UNDAF 2018-22 (dated November 2017): Economic Pillar <u>Outcome 3:</u>* By 2022, a progressive and resilient green economy is underpinned by robust evidence based pro-poor policies and strategies contributing to sustainable economic growth.   *<u>Draft indicative Output 3.2.:</u>* Improved institutional (public and private) and communities' capacities to ensure pro-poor, sustainable, effective and efficient natural resource management
This project will be linked to the following output of the UNDP Strategic Plan: **Output 1.3:** Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.   **Indicator 1.3.1:** Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.   **Indicator 1.3.2:** Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystems services, chemicals and waste.
Project title and Atlas Project Number:

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2018	Year 2019	Year 2020	

40

Output 1 An operational national REDD+ strategy and investment plan	**1.1 Analytical work and studies for REDD+ Strategy Options conducted** *Measured on a three-point progressive scale:* *1=Studies begun and /or updated as required* *2=Components Integrated into a gender responsive issues and options paper* 2= Components integrate applicable laws including the Constitution, laws on environment and human rights among others, *3=Components discussed and finalized, integrated into REDD+ Strategy*	• Terms of reference and technical sections/reports on an updated land use change and drivers of deforestation analyses, governance and anticorruption measures, indigenous knowledge and culturally appropriate livelihood options, implications of PLRs updates and institutional arrangements, land tenure issues, identification of policies and measures. • Gender and vulnerable group assessment of REDD+ options • Assessment of the REDD+ strategy on human rights, and applicable laws • REDD+ Strategy finalised	1	2017	1	2	3	Data Collection: Consultations with government institutions and partners to monitor status of partnerships including agreements Appraisal and review of current documents. Review of information on existing traditional knowledge to support REDD+. MoV: Official government notifications and agreements for partnerships; Monitoring progress reports. Technical studies conducted

	1.2 Private sector assessment conducted and their engagement in REDD+ strengthened *Measured on a three-point progressive scale:* *1=Mapping of private sector conducted* *2=Value chain analysis conducted and Incentives mechanisms identified with private sector actors* *3=Business case made and components discussed and finalized, integrated into REDD+ Strategy*	• Technical report on Private sector actors mapped and identified • Critical agriculture value chains identified and actions incorporated into issues and options paper In the context of the SESA incorporated into the ToRs of the same; and/or as a separate activity of the project: • (a) report on customary forest dependent community / indigenous peoples' use of natural resources and connection of the same to their cultural and physical integrity and livelihoods. • (b) option papers shall exam the rights implications and due process to be afforded should the rights and interests of private actors (including indigenous peoples and forest dependent communities) be limited by activities, policies and laws identified in the final REDD+ strategy.	0	2017	1	2	3	*Mapping of private sector, identification of opportunities, value chain analysis, assessment of incentive mechanisms including fiscal incentives,* *Meetings with Kenya Private Sector Alliance* *Mid-term report* *Final report*

	1.3 Institutional Framework for REDD+ Implementation identified *Measured on a four-point scale:* *1=Assessment of institutional mandates to identify areas of incoherence or complementarity for REDD+* *2=Enhancement of sub-national/county capacities for land use planning and REDD+ implementation* *3=Key institutions and their staff know technical requirements of REDD+ and able to propose policies and measures.* *3= Key institutions and their staff at the national, sub-national and county levels are trained on the content and implementation of the social and environmental safeguards applicable to REDD+ implementation* *4=Landscape level approach formulated at the county Level through Country Integrated Development Plans (CIDP)*	• Implementation framework for REDD+ report • Technical reports • Identification of Counties and draft landscape management plans • Reports of county Governments and National Regional Authorities meetings and decisions • Capacity building/training workshops conducted and report on same	0		1,2	2,3	3, 4	*Meetings with National Land Commission, Council of Governors, National Gender and Equality Commission, Ministry of Environment and Natural Resources, National treasury and others* *Mid-term report* *Final report*

	1.4 Investments to support implementation of REDD+ strategy objectives, focusing on cross-sectoral issues in priority watersheds/ landscapes /Counties identified *Measured on a three-point progressive scale:* *1=No initial drafts* *2=Prioritization of investments* *3=Drafts of investment plan for high level endorsement.*	• Economic and Financial analyses reports • Human rights report certifying investment strategy as compliant with applicable law • • Benefit sharing guidelines • Technical report on prioritization of investments	0	2017	1	2	3	*Investment plan* *Mid term report* *Final report*
	1.5 Resource mobilization strategy for REDD+ implementation developed *Measured on a three-point progressive scale:* *1=Resource mobilisation strategy* *2.=Opportunities for synergies identified* *3=Financing instruments and funds management system discussed*	• Meetings with the Climate Fund • Investment plan • FCPF, GCF, Synergies identified. • Reports on meetings with funds management • Programmatic funding plan	0	2017		1,2	2, 3	

| Output 2 A functional multi-stakeholder engagement and capacity building approach in REDD+ | 2.1 Multi-stakeholder consultations including forest dependent and local communities, engagement integrated in all REDD+ processes and outcomes

Measured on a four-point progressive scale:

1=Limited extent; government officials, private sector, non-governmental organisations, communities and vulnerable communities have a basic understanding of REDD+

2=Moderate extent: more than half of the communities and IPs involved in the development of the National Strategy and the Investment plan are able to plan and participate effectively

3=Great extent; county staff, communities and vulnerable populations in identified Counties are well versed with REDD+ and can meaningfully participate in the National Strategy and Investment Plan and can influence and plan REDD+ decisions.

4=Guidelines and tools are in place for REDD+ implementation including Free Prior and Informed Consent and Grievance Mechanisms. | • Stakeholder mapping report and stakeholder engagement plan

• Number of stakeholders (disaggregated by gender, stakeholder, age group and their freely chosen representative designated by them) consulted in REDD+ process

• Report indicating women represent at least 30% of workshops/trainings participants and hold seats in REDD+ stakeholder platforms and bodies.

• Reports of capacity assessments disaggregated by gender and stakeholder

• Number of women-only meetings held

• Technical reports on meetings with county governments.

• Mid- term report and final review

• Report on testing of FPIC guidelines

• Final FPIC guidelines are adopted for inclusion in the REDD+ strategy | 1 and 4 | 2013 | 1 | 2 | 3 | *REDD+ Strategy and investment plans consultation meetings reports Stakeholder engagement plan* |
|---|---|---|---|---|---|---|---|---|

2.2 National REDD+ governance system established and strengthened *Measured on a four-point progressive scale* *1= Effective and meaningful multi-stakeholder representation in decision-making bodies of REDD+ governance* *1=Multi-stakeholder taskforce and Secretariat staffed and operational* *2=Staff and key institutions know the technical requirements of REDD+ (including applicable social and environmental standards) and can take the lead on the national strategy and investment plan* *3=Key institutions and their staff know technical requirements or REDD+ and effectively lead finalisation of the FREL and NFMS* *4=Learning and monitoring and evaluation database with qualitative and quantitative assessments tools to measure impact and learning of knowledge*	• Number of IP/CSO representatives in national and subnational REDD+ governing structures • Minutes of NSC meetings • Minutes of PEB meetings • Minutes of anti-corruption task force meetings • REDD+ Coordination office fully functional and adequately staffed • Mid-term evaluation • Final evaluation • Final Audit	1	2013	1,4	2,3	2,3	

	2.3 Knowledge management (KM) and communication strategy developed and implemented around selected and strategic initiatives to support strategy implementation *Measured on a four-point scale* *1=Communication strategy drafted including* *2=Knowledge management products planned* *3=Knowledge management products developed and disseminated.* *4=Strengthen knowledge sharing on REDD+ through south-south knowledge exchange and existing mechanisms*	• Communication strategy • Participation in south-south exchanges • Documents for Land use planning at county levels • REDD+ Strategy • REDD+ Investment plan • REDD+ awareness tools in place	0 or 1		1,2,3	3	3,4	*Articles in the media,*

Output 3 An operational safeguards information system for REDD+;	3.1 National Safeguards Framework developed, including design of a Safeguards Information System (SIS) *Measured on a four-point scale:* *1=National Safeguards approach defined led by the national safeguards working group including Terms of Reference for Grievance Redress Mechanism* *2=participatory Social and Environmental assessment undertaken of policy and measures and Management Plan produced including ESMF and additional required plans including an Indigenous Peoples Plan (IPP), Cultural Heritage Management Plan, (CHMP) and Livelihoods Action Plan (LAP)* *3=list of activities that cannot take place until the assessment is completed and adoption of appropriate management and mitigation measures* *3=Safeguards Information System designed and institutional and data collection framework agreed and ready for endorsement*	• Document on National Safeguards approach for REDD+ • Social and environmental assessment of policies and measures • Environmental and Social Management Plan along with ESMF, THE IPP, CHMP, AND LAP • Safeguards Information System proposal • Report on Grievance Redress Mechanism taking into account existing, including traditional systems developed for REDD+ • Safeguard Technical Working Group in place • Report of FPIC guidelines tested and explored for review and finalisation of the guidelines and their adoption and inclusion in the REDD+ strategy	0	2017	1	2	3	*National Safeguard working group and consultations; Discussion with various institutions on data collection and sourcing Terms of Reference for Grievance Redress Mechanism, Mid term report Final report*

Output 4 Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level.	4.1 **Technical advisory support to consolidate and refine the National Forest Monitoring System.** *Measured on a five-point scale* *1=Ongoing support on NMFS assessed and gaps identified* *2=Strategic partnerships to support MRV/NFMS requirements agreed and carried out* *3= Institutional arrangements in place for NFMS* *4=Medium level of capacity and system in place to monitor REDD+ interventions (NFMS)*	• Gap assessment report • Strategic partnerships developed for NFMS and FREL • Database contains improved emission factor, activity data and GHG estimates • Simplified summaries for general stakeholders • Community engagement report in conducting MRV. • Report on number of permanent sampling plots established	1	2015	1, 2	3	4	*BUR in National Communications*
	4.2 A reference level for Kenya and reporting requirements. *Measured on a three-point scale* *1=Technical backstopping obtained for UNFCCC FRL technical assessment process and in the FCPF technical assessment* *2=Establish institutional arrangements to ensure technical consistency with national GHG reporting, national communications and Biennial Update Reports (BUR)* *3=Provide support to develop a REDD+ technical annex to be reported as part of the BUR in the context of results-based payments*	• Progress report on FRL submission • Technical assessment of FRL • Report on coherence between established REDD+ projects and national level reference levels. • REDD+ annex in BUR	1	2015	1, 2	3	4	*BUR in national communications*

VI. MONITORING AND EVALUATION

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Component 2.3 Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy and the Social and Environmental Standards. The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards.

M&E Oversight and monitoring responsibilities:

Project Manager: The Project manager is responsible for ensuring that project implementation follows the most relevant strategy to reach its objectives. The programme manager therefore has to undertake regular monitoring of project results and risks, including social and environmental risks, and ensure adaptive management. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Executive Board (Project Advisory Team), the UNDP Country Office and the UNDP REDD+ RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans for approval by the Project Board/ Project advisory Team) based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project.

The M&E Expert: The M&E carries the overall responsibility for monitoring and evaluation and will ensure that the standard UNDP and M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. ESMP, gender action plan, stakeholder engagement plan etc.) occur on a regular basis.

Project Executive Board (Project Advisory Team): The Project Executive Board will take corrective action as needed to ensure the project achieves the desired results. The Project Executive Board (Project Advisory Team) will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Executive Board (Project Advisory Team) will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure

project-level M&E is undertaken and is aligned with national systems so that the data used and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Executive Board (Project Advisory Team) within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the annual and mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and Common Approach requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the UNDP ROAR. Any quality concerns flagged during these M&E activities must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO).

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.[39]

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively	ME&F/Project Board / Project Advisory team	Audit costs $13,500

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	measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.		maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from the project level grievance mechanism, the UNDP SRM and SECU as applicable, and other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	ME&F/Project Board / Project Advisory team	Learning costs
Annual Project Quality Assurance (See Annex 1)	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	ME&F/Project Board / Project Advisory team	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Executive Board (Project Advisory Team) and used to make course corrections.	ME&F/Project Board / Project Advisory team	
Project	A progress report	Annually,		ME&F	

Report	will be presented to the Project Executive Board (Project Advisory Team) and stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	and at the end of the project (final report)			
Project Review (Project Executive Board (Project Advisory Team))	The project's governance mechanism (i.e., Project Executive Board) will hold regular project reviews to assess the performance of the project and consider changes in circumstances that may require project (even PRODOC) changes, review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Executive Board (Project Advisory Team) shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the Project Executive Board (Project Advisory Team) and management actions agreed to address the issues identified.	ME&F/Project Board / Project Advisory team	$85,662(Cost of PEB meetings)

	learned with relevant audiences.					

Evaluation Plan[40]

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Midterm evaluation Final Evaluation	n/a		Result 3: Inclusive and Sustainable Economic Growth and Result 4 - Environmental Sustainability, Land Management and Human Security	June 2019 December 2020	ME&F/Project Board / Project Advisory team	$70 000 (Project budget)

[40] Optional, if needed

VII.   MULTI-YEAR WORK PLAN [41,42]

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 2018	Y2 2019	Y3 2020		Funding Source	Budget Description	Amount
Output 1 - National REDD + Strategy and nvestment plan	**1.1 Activity - Analytical work on strategy options conducted**					FCPF		
	1. review of D&D, 2. Policy laws and regulations and its implication to redd+ 3. Analysis of culturally appropriate alternative livelihoods that could contribute to REDD , 4. Cost /benefit anaysis of strategy options 5. gender and vulnerability assessment of REDD+ Options 6. role of Forest dependent communities including	210,000			UNDP/ME &F	FCPF	Consultants (National & International) for studies identified	210,000

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

[42] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the Project Executive Board (Project Advisory Team). In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

amarginalised communities in REDD+ 7.Drafting of the issues and options report 8. Assessment of the REDD+ strategy on human rights, and applicable laws 9. REDD+ Strategy							
stakeholders consultations on above analyical studies	387,656.			UNDP/ME &F	FCPF	workshop venues, transport for stakeholders, DSAs and travels	387,656
high level (ministers level) consultations including the climate change council and national assembly commitees, private sector leaders,		100,000	100,000		FCPF	workshop venues, transport for stakeholders, DSAs and travels, discussants and facilitators	200,000
1.2 Activity-Private sector Value chain assessment					FCPF		-
1.Mapping of private sector conducted 2.Value chain analysis conducted and Incentives mechanisms identified with private sector actors 3.Business case made and components discussed and finalized, integrated into REDD+ Strategy		60,000		UNDP/ME &F	FCPF	national consultant, stakeholders consultations,	70,000
Consultations and stakeholders meetings		30,000			FCPF		40,000

	dialogue with private sector actors on studies and proposed PAMs	37,187	17,187		FCPF		54,374
	1.3 Activity -institutional framework for REDD+ PAMs				FCPF		-
	1=Assessment of institutional mandates to identify areas of incoherence or complementarity for REDD+ 2=Enhancement of sub-national/county capacities for land use planning and REDD+ implementation 3=Key institutions and their staff know technical requirements of REDD+ and able to propose policies and measures. 3= Key institutions and their staff at the national, sub-national and county levels are trained on the content and implementation of the social and environmental safeguards applicable to REDD+ implementation 4=Assessment of Landscape level approach at the county Level through Country Integrated Development Plans (CIDP)	20,000	10,000		FCPF	national consultant, stakeholders consultations, car hire and DSAs global and county office time	30,000

high level consultations with County leaders and Council Of Governors			50,000		FCPF	national consultant, stakeholders consultations, car hire and DSAs global and county office time	50,000
Dialogue on Land tenure and related issues led by NLC, Counties, NGEC,KNCHR	100,000	100,000	100,000	UNDP/ME &F	FCPF	national consultant,	300,000
setting up of Feed back and grivance redress mechanism for REDD+	10000					national consultant,	10,000
Stakeholders consultations	10,000	20,000		UNDP/ME &F		stakeholders consultations, car hire and DSAs website costs, communication	30,000
1.4 Activity investment plan developed					FCPF		-
1. Assessments studies to inform development of Investment plan to support implementation of the strategy 2. Human rights assessment of the investment plan		40,000		UNDP/ME &F	FCPF	national consultant, stakeholders consultations, car hire and DSAs	40,000
consultation meetings and workshops		20,000			FCPF	meeting venues, travel and dsas	20,000
1.5 Activity Resource mobilisation					FCPF		-

	Consultancy for RM strategy (National / International)		30,000			FCPF	national consultant, stakeholders consultations, car hire and DSAs	30,000
	Workshops and meeting costs with stakeholders on RM		30,000			FCPF	meeting venues, travel and dsas	50,000
	Sub-Total for Output 1	*750,000*	*524,000*	*294,000*		FCPF		**1,568,000**
Output 2 - Capacity for effective efficient implementation of REDD+ Strategy	**2.1 multistakeholders engagement in REDD+ process**				UNDP /ME&F	FCPF		-
	stakeholders assessment and development of a stakeholder engagement plan	40,000				FCPF	national consultant, stakeholders consultations, car hire and DSAs	50,000
	Meetings and workshops	20,000.	20,000	20,000		FCPF	meeting venues, travel and dsas	60,000
	Enhancing community partcipation in REDD+ and awareness creation and support to county governments	50,000	40,000	20,000		FCPF	meetings at community level in forest areas	110,000
	testing and revision of stakeholder engagement guidelines and FPIC guidelines and associated toolkits		20,000	20,000	UNDP & KNCHR	FCPF		40,000
	2.2. National REDD+ Governance system established and strengthened							

	Project management costs PMU and REDD+ Office Support	40,000	45,662	-		FCPF	6 laptops, one camera, PMU desks and depreciation costs	85,663
	support towards establishment of the REDD+ project streering committee and its operations	20,000	20,000				meetings, conference facilities travel and DSA costs	40,000
	2.3 Knowledge management							
	KM products developed (development of films and KM products)	30,000	30,000	30,000		FCPF	printing and productions	90,000
	Trainings on Human rights approach and Knowledge sharing with across countries implementing REDD+ South-South cooperation	20000	50,000	23,187		FCPF	travel and DSA costs	93,187
	Sub-Total for Output 3	*190,000*	*295,662*	*130,000*		FCPF		**515,663**
Output 3: An Operational SIS, SESA, ESMF	**3 .1 Activity safeguards and safeguards information system**				UNDP/ME &F	FCPF		-
	Anaytical studies to inform setteing up of the safeguards information systems	50,000				FCPF	national consultant, stakeholders consultations, car hire and DSAs global and county office time	50,000
	design and establishment of the Safeguards information system		100,000			FCPF	webplatform, national and international	100,000

							consulatant,	
	participatory SESA for REDD+ options and design of ESMF, Environmental and Social Management Plan along with IPP, CHMP, and LAP Workshops (meeting venue and logistics)	50,000					national consultant, stakeholders consultations, car hire and DSAs global and county office time	50,000
	Sub-Total for Output 3	*120,000*	*130,000*	-				**250,000.**
Output 4 - Technical Advisory support to consolodatean d refine FREL/FRL and MRV +	**4.1 Activity - Support to MRV/FREL established**				UNDP/ME &F	FCPF		-
	Review FRL and NFMS for technical submission of the to the UNFCCC		40,000			FCPF	International and national consulatant	40,000
	Development of REDD+ technical annex as part of the BUR report		20,000				International and national consulatant	20,000
	consulatation meetings on FRL NFMS and technical annex		50,000			FCPF	International and national consulatant	50,000
	Sub-Total for Output 4	-	*140,000*	-		FCPF		**140,000**
project implementatio n	Programme Manager (IC -NC-C)	58,208.	69,850	69,850		FCPF	National consulatant level NC-C	197,909
	Technical specialist - strategy and Investment Plan IC NC-C	58,208	69,850	69,850	UNDP		National consulatant level NC-C	197,909
	Monitoring and Evaluation officer	44,732	53678	53678			National UNV	152,088

	Communication and Knowledge Management (UNV)	22,388	26,865	26,865		FCPF	National unv	76,118
	Stakeholder Engagement, gender and safeguards specilaist (IC-NC-B)	44,732	53,678	53,678		FCPF	National consulatant level NC-B	152,088
	Programme Assistant (G6)	22,388	26,865	26,865		FCPF	National consulatant level/G6	76,118
	General operational costs (project contribution to Rent, utilities , common services and cost recovery and direct project costs)	62,193	62,193	62,193		FCPF	project contribution to Rent, utilities , common services and cost recovery and direct project costs) global, regional and country office staff time	186,579
	project vehicle & maintainance	70,000	5,000	5,000		FCPF	vehicle and depreciation costs	80,000
	Sub-Total for General Management support	**360,504**	**341,167**	**341,167**		FCPF		**1,042,838.**
monitoring and evaluation	**monitoring and evaluation**					FCPF		-
	midterm and final evaluation costs		**35,000**	**35,000**	UNDP	FCPF	consultants costs, meetings and travel	70,000
	monitoring activities	**4,500**	**4,500**	**4,500**	UNDP	undp	national consultant, stakeholders consultations and DSAs	13,500
	Sub-Total formonitoring and evaluation	**4,500**	**39,500**	**39,500**		FCPF		**83,500**
		1,405,004	**1,390,329**	**804,667**		FCPF		**3,600,000**

	GMS (8%)	112,400	111,226	64,373	UNDP			288,000
								-
								-
GRAND TOTAL		*1,537,405*	*1,481,555*	*869,040*				**3,888,000.**

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The following organs for governance and management of the project will be operationalise and terms of reference confirmed (draft terms of references in Annex 5).

i. National REDD+ Steering Committee
ii. Technical Committees as needed
iii. Project Management Unit/team

1. National REDD+ Steering Committee

Provisions had already been made for the NSC and it was set up. Since 2010, several legislative developments have taken place in the country, including the promulgation of a new constitution, changes in ministries and a devolved system of governance in place. The project will review the composition and terms of reference and modus operandi of the REDD+ NSC and it will be revitalised and reconstituted to reflect the changes in policies and institutions.

The draft terms of reference as previously envisaged are as follows;

- Policy guidance on overall implementation of REDD+ readiness activities
- Support to national coordination of inter/intra-sectoral REDD+ initiatives
- Ensure REDD+ initiatives respond to National objectives including increased forest cover and climate change mitigation and respect for human rights
- Resource mobilization to support readiness activities
- Assure of timely delivery of a national REDD+ strategy, national reference emission level and an effective MRV and monitoring system
- Ensure monitoring and evaluation of various activities and provide criteria for quality control of the project outputs
- Provide a mechanism for International collaboration with other REDD+ processes.

The Steering membership is composed of the Principle Secretaries from the Ministries of Environment and Mineral Resources, Agriculture, Energy, Local Government, Planning and National treasury. It included the Directors of KFS, KWS, Kenya Forestry Research Institute and National Environmental Management Agency, The National Land Commission, the Gender Commission, IUCN, WWF, the Kenya Forest Working Group, Representatives of Indigenous forest peoples and The National Alliance of Community Forest Associations (NACOFA), FAO, UN-WOMEN, UNOHCR, UN Environment and the Donor Coordination Group representative as well as a representative from Universities were also proposed as members.

2. The Project Executive Board (Project Advisory Team)

The PEB is chaired by the Principal Secretary (PS) in the State Department of Natural Resources, or PS appointed representative and is responsible for supervising project development and guiding project activities through technical backstopping and delivery of the project outputs. It will approve work plans, manage budgets and follow UNDP procedures and rules of programming as stipulated in the Results Management Guidelines (RMG).

The PEB membership is comprised of technical officers from, Kenya Forest Service, National Treasury, National Land Commission, the Gender and Equality Commission NEMA, Climate

Change Directorate, Ministry of Energy and Petroleum, Council of Governors, Ministry of Devolution and Planning, academic institutions representative, The National Alliance of Community Forest Associations (NACOFA), Private sector representative, CSO representative, marginalised communities representatives, The Project Manager (NPM) Officer is an ex officio member of PEB responsible for taking minutes.

The roles of the PEB are to:
- Supervise project activities through monitoring progress
- Review and approve work plans, financial plans and progress reports
- Provide strategic advice to the PMU for the implementation of project activities to ensure that the project activities are aligned with the National Climate Change Action Plan (NCCAP) and other national policies.
- Provide guidance on participation of stakeholders in project activities
- Provide technical backstopping to the project
- Provide guidance to the Project Management Unit (PMU)

3. Technical Committees

The technical committee reviews the activities for technical soundness and provide inputs. These will be constituted around the following REDD+ technical areas; safeguards and anticorruption, MRV and NFMS as well as on engagement with the private sector and the strategy and investment plan development. They will include representatives of all stakeholder constituencies including communities.

4. The Project Management Unit (PMU)
It is responsible for planning and implementation of project activities consistent with all applicable standards and requirements. It is responsible for day-to-day management project activities including supervision of activities contracted to consultants. It is also responsible for coordination and mainstreaming of lessons and experiences into government operations and has oversight and supervisory role for all project activities implemented by project. **The National Project Manager** (PM) recruited through UNDP who is a salaried full-time employee of the project, heads the PMU and reports to the Principal Secretary in the State Department of Natural Resources and the National REDD+ Coordinator and maintains liaison with UNDP. The PM liaises directly with Responsible Parties and receives reports and feedback in order to prepare project progress and financial reports to the PEB, UNDP and FCPF. Reports include:
- Annual Project Reports (APR)
- Quarterly Technical and Financial Reports
- Project Terminal Report

The PMU will be constituted by the **Project Manager** and staff as well as a UNDP programme focal point who will work closely with the UNDP Kenya Country Office and the UNDP REDD+ Africa Team to provide technical backstopping. S/he will represent UNDP in technical committee meetings and other meetings as delegated. The focal point will regularly liaise with the project Manager and UNDP teams as necessary.

5. The National Project director
A senior staff in management in the State Department of Natural Resources will be appointed by the Principal Secretary to be the Project Coordinator and given powers to represent the Principal Secretary in the routine activities of the project including signing letters and approve documents on behalf of the Principal Secretary.

7. The Integrity and Governance Team (REDD+ anticorruption taskforce)

This taskforce established in 2014 to lead the anticorruption agenda in the REDD+ is chaired by the Ethics and Anticorruption Commission and members are drawn from: The Ministry Of Environment And Natural Resources, Kenya Forest Service, National Land Commission, The National Treasury, Climate Change Directorate Transparency international Kenya, a representative of the marginalised communities, a representative of the private sector and a representative of NACOFA. This taskforce will play an oversight role in the implementation of the project as a mechanism to integrate the anticorruption agenda in both implementation of the project and design of the REDD+ strategy.
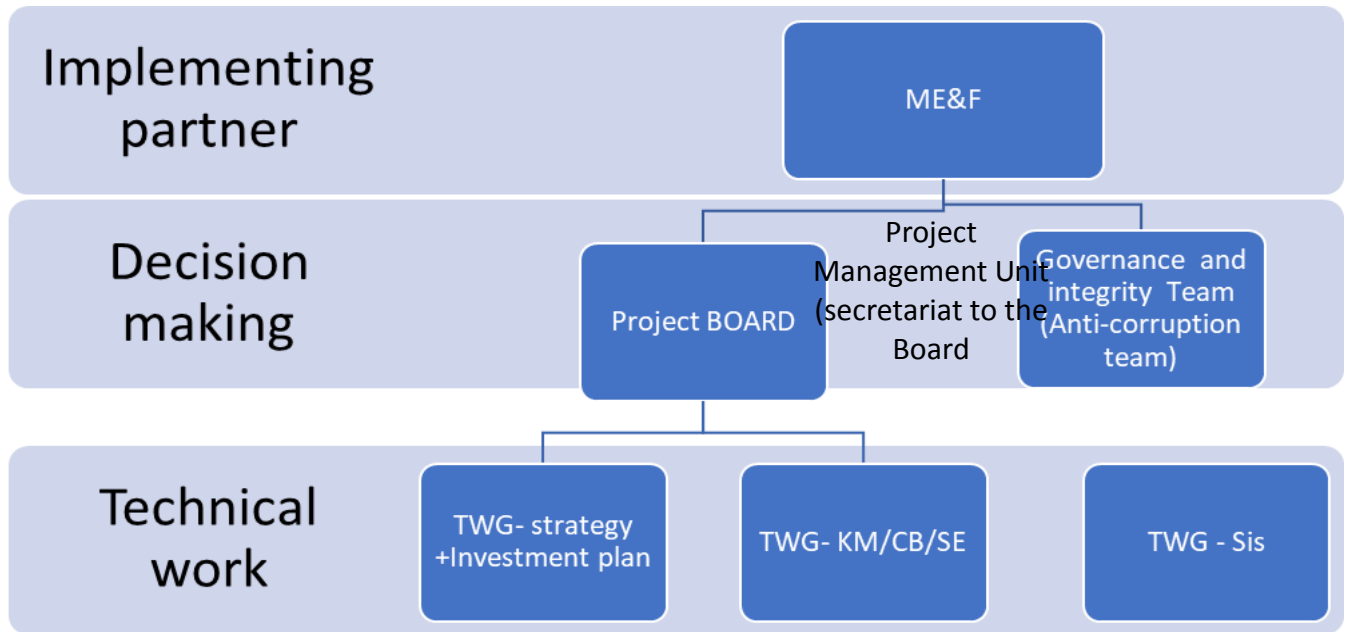

Figure 3: Project Management Arrangements.

IX. LEGAL CONTEXT AND RISK MANAGEMENT

LEGAL CONTEXT STANDARD CLAUSES

Option a. Where the country has signed the <u>Standard Basic Assistance Agreement (SBAA)</u>
This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Ministry of environment and forestry (M&F) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

RISK MANAGEMENT STANDARD CLAUSES

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

2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner][43].

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

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[43] Use bracketed text only when IP is an NGO/IGO

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

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

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

7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anticorruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

11. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of this Project Document, may seek recourse to the Implementing

Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection 46 process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

X.   ANNEXES

	OVERALL PROJECT			
EXEMPLARY (5)	**HIGHLY SATISFACTORY (4)**	**SATISFACTORY (3)**	**NEEDS IMPROVEMENT (2)**	**INADEQUATE (1)**
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement
Decision				

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted

• **Overall Project Rating:**	**Exemplary**
• **Decision:**	**Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.**
• **Project Number:**	**00099178**
• **Project Title:**	**FCPF REDD+ Readiness Grant**
• **Project Date:**	**24 May 2018**
RATING CRITERIA	

STRATEGIC		
1.Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project) ◉ 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's	**3**	**2**
	1	
	Evidence Theory of change developed informed by analytical work conducted on REDD+ readiness in Kenya	

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strategy is the best approach at this point in time. ⊙ 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. ⊙ 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.		

2.Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project) 3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option) **2:** The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option) 1: While the project may respond to one of the three areas of development work as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan**.**	**3**	**2**
	1	
	Evidence REDD+ readiness activities facilitated by the project will directly contribute to the Country Programme Document (CPD) Output 1.1. The project is also envisaged to contribute to achieving the UNDAF Outcome	

Relevant		
3.Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project) 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option) 2: The target groups/geographic areas are appropriately	**3**	**2**
		1
	Evidence Marginalized and minority communities have been prioritised and activities towards this budgeted for. work on safeguards and safeguards information systems will particularly respond to these marginalized communities and forest dependent communities	

specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option) 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.	
4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project) 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.	**3** **2** **1** Evidence Project design has been informed by a due diligence process conducted prior to the design of the project and from lessons learnt from other development partners including the UN-REDD Programme, World Bank, European Union, Finland government support to the forestry sector by other development partners- due diligence report available
5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project) 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option) 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators	**3** **2** **1** Evidence Gender issues have been integrated into project design. it is also forms part of the activities to be conducted during the design of the REDD+ strategy. Rural communities, especially women and vulnerable groups among them, are highly dependent on forest resources for their livelihoods. The project will develop policies and measures to effectively conserve and protect forest resources that they depend upon. The project fully considers and promotes gender equality and women's empowerment. (See Annex 2. Social and Environmental Screening)

that measure and monitor results contributing to gender equality. (all must be true to select this option) 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.		
6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project) 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option) 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. 1: No clear analysis has been conducted on the role of other partners in the area that the project intenTHIS ds to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.	3 1 **Evidence** Comprehensive analyses are conducted on the roles of development partners in the sector. UNDP was proposed by the government to be the delivery partner and is identified as the best partner by stakeholders. UNDP is a member the forest sector issues group.	2
Social & Environmental Standards Quality Rating: Exemplary		
7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project) 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option) 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on	3 1 **Evidence** The project will be operated based on the full recognition that rural communities including Indigenous Peoples, women and other marginalized groups are highly dependent on forest resources for their livelihoods,. For instance, the project places a strong focus on engagement of stakeholders, particularly socially	2

enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.	marginalized groups through its support for the Consultation Groups. The project will also ensure full access to information related to REDD+, so that potentially affected stakeholders become fully aware of REDD+ activities and are given ample opportunities to express their concerns prior to any decisions to be made. .

| 8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).

2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.

1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. | **3** · 2 · **1**

Evidence
The project will establish a Safeguards Information System (SIS) to mitigate, avoid and eliminate any negative social and environmental consequences of REDD+. SIS will also serve to provide measures to strengthen rights of Indigenous Peoples, local communities and women in relation to forest management and ensure them to fully participate in decisions which may affect them. Grievance redress mechanism (GRM) will also be an integral part of the SIS to enable affected stakeholders to seek effective remedies in case negative impacts arise due to REDD+. (See Annex 2 Social and Environmental Screening) |

Question 8 header row (top-right cells):

3	2	
1		

Question 9 header row:

Yes	No
SESP not required	

| 9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? [If yes, upload the completed checklist as evidence. If SESP is not required, provide the reason(s) for the exemption in the evidence section. Exemptions include the following:
• Preparation and dissemination of reports, documents and communication materials
• Organization of an event, workshop, training
• Strengthening capacities of partners to participate in international negotiations and conferences
• Partnership coordination (including UN | Evidence
(See Annex 2 Social and Environmental Screening) |

• coordination) and management of networks • Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes) • UNDP acting as Administrative Agent	

Management & Monitoring	Quality Rating: Exemplary	
10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)	**3**	**2**
	1	
3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option) 2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option) 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.	Evidence The project specifies relevant expected outputs, indicators, baseline and targets (See page on results framework)	

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	Yes	No
	Evidence M&E is budgeted and included in the project	

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project) 3: The project's governance mechanism is fully defined in the project document. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified	**3**	**2**
	1	
	Evidence The project governance structure identifies Project Board and members and key focal institutions and individuals that are imperative for the successful implementation of the project.	

in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option). 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option) 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided**.**	(See Page on governance and management arrangement)	

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project) 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option) 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.	**3**	**2**
	1	
	Evidence The project identified the risks and mitigation measures. (See Table 2: Types of risks and counter measures to be taken by the project, as well as See Annex 3. Risk Analysis.)	

Efficient	**Quality Rating: Exemplary**	
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	Yes	No
	Evidence Joint operations and synergies with other projects will be applied	
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example,	**Yes**	**no**
	Evidence The project will be implemented	

through sharing resources or coordinating delivery?)	in close partnership with other national institutions and development partners working on REDD+ (see section on partnerships)	
16. Is the budget justified and supported with valid estimates? 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	**3**	**2**
	1	
	Evidence The project's budget plan is at the activity level with funding sources, and specified for the duration of project period. (See multiyear work plan and budget	
17. Is the Country Office fully recovering the costs involved with project implementation? 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) 2: The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.	**3**	2
	1	
	Evidence The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies. (See multi-year work plan and budget,	
Effective	Quality Rating: Exemplary	
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project) 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the	**3**	2
	1	
	Evidence The HACT micro assessment has been conducted conducted. Report available.	

selected modality, based on the development context. (both must be true to select this option) 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.		

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination? 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. Not Applicable	**3**	**2**
	1	
	Evidence A task force of 25 members with 10 representatives from indigenous communities and 3 representatives of the community forest associations, 5 representatives form civil society and private sector and 8 government representatives deigned the project document. recommendations form this task force were also shared with other stakeholders.	

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?	**Yes**	**No**
	The project has output 3 on knowledge management and shareholders consultation to facilitate learning throughout the project period	

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.	Yes	No
	The project fully considers and promotes the gender equality and women's empowerment. (See	

	Annex 2 Social and Environmental Screening)	
22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project) 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources. 2: The project has a work plan & budget covering the duration of the project at the output level. 1: The project does not yet have a work plan & budget covering the duration of the project.	**3**	**2**
	1	
	Evidence See multi-year work plan and budget,	
23. Have national partners led, or proactively engaged in, the design of the project? 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. 2: The project has been developed by UNDP in close consultation with national partners. 1: The project has been developed by UNDP with limited or no engagement with national partners. Not Applicable	**3**	**2**
	1	
	Evidence Draft project document was drafted and consulted jointly with key government counterparts for comments	
24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project): 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. 1.5: There is mention in the project document of	3	2
	1	
	Evidence The project's key objectives include strengthening capacities of the implementing partner (ministry of environment and natural resources) resources have also been allocated to support this.	

capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. Not Applicable		
25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?	yes	no
	Not Applicable	
	Evidence National systems will be used as agreed on with the implementing partner	
26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?	Yes	No
	Evidence An investment plan and resources mobilization strategy is embedded in the project	

Project Information

Project Information	
1. Project Title	FCPF REDD+ Readiness Grant
2. Project Number	99178 (Proposal ID on Atlas)
3. Location (Global/Region/Country)	Kenya

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project will follow a human-rights based approach, ensuring consistency with national law, international obligations signed onto by the Government of Kenya (GoK), UNDP's (Social and Environmental Standards)[44], the UNFCCC Cancun safeguards for REDD+[45] as well as the Stakeholder Engagement Guidelines[46]. The development of a national REDD+ Strategy takes into account this human rights base approach further described in the enabling framework below.

On July 31st1990, Kenya ratified the Universal Declaration of Human Rights[47] **Ke**nya has also ratified, among others, the International Covenants on Civil and Political Rights and Economic, Social and Cultural Rights, the Convention on the Elimination of all Forms of Discrimination Against Women, the International Convention on the Elimination of all Forms of Racial Discrimination, and the Convention on the Rights of the Child. Kenya and has enshrined these related standards and guidance into the Constitution and associated policies and regulations. Kenya's national values and principles of governance include sharing and devolution of power, the rule of law, democracy and the participation of the people; human dignity, social justice, inclusiveness, equality, human rights, non-discrimination and protection of the marginalized (Art 10 (1) of the Kenya Constitution)[48]. The project will involve a wide constitution of stakeholders including but not limited to ministries, private sector, civil society, indigenous peoples and a number of Independent Commissions (the Kenya National Land Commission, Ethics and Anticorruption, Gender, Administration of Justice, and the Kenya Human Rights Commission) in all analytical work and decision making platforms.   The Climate Change Act of 2016, provides specific guidance on participation and capacity building as does the Conservation and Management Forest Act, 2016 which establishes the legal and institutional arrangements for decentralization of forest management and participatory forest management.

The Policy, Legal and Regulatory framework has been bolstered in 2016, with regards to governance of natural resource management and climate change. This was done to align the laws with the constitution which adopted a human rights approach and governance in Kenya.

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[44] UNDP Social and Environmental Standards
[45] Cancun Safeguards for REDD+
[46] Stakeholder Engagement Guidelines
[47] Universal Declaration of Human Rights
[48] Chapter Four The Constitution of Kenya 2010,

To further ensure consistency with the human rights principles of participation and inclusion, the project will support capacity building of stakeholders as well as a platform for meaningful participation and inclusion in order to identify roles and responsibilities in the design and implementation of the project. It will also build on the Corruption Risk assessment for REDD+ in Kenya conducted in 2013[49], which *inter alia*, recommends the establishment of a Taskforce on Anticorruption in REDD+, a benefit sharing policy, measures that will enable transparency and access to information, strengthening participation to engage in developing and prioritizing which policies and measures will be included in the REDD+ Strategy and investment plan, supporting independent oversight for REDD+ activities and putting in place measures to strengthen mechanisms for detection of corruption and public reporting. The Taskforce for Anti-corruption in REDD+ was set up and terms of reference[50] defined two years ago. This project will build on the work undertaken by the Taskforce which includes: Review of the Kenya Forest Code of Conduct (the first time a staff code of conduct has been reviewed by external stakeholders) and the Natural Resources Benefit Sharing Bill. The Taskforce has also provided review and recommendations for various laws supporting REDD+, which have since been enacted including the Climate Change Act (2016), Forest and Conservation Act (2016), Community Land Act (2016) and Access to Information Act (2016). The Taskforce has also participated in the drafting and review process of the Free, Prior and Informed consent and stakeholders' engagement guidelines and toolkits which are all pertinent to the adherence of the social and environmental principles and to the specific guidance on participation and capacity building. A dedicated reporting and accountability mechanism will also be established, both for application during the project and for REDD+ implementation.

In the context of the social and environmental assessment, an independent analysis of the applicable legal and policy framework related to REDD+ activities will be performed. subsequently, actions will be undertaken to respond to the outcomes of the assessment and inform discussions and strategies related to the reform, implementation, enforcement of existing laws and policies as well as the adoption of new ones as deemed necessary under the national REDD+ strategy to be developed.

Towards meaningful participation and inclusion of all stakeholders, a national steering committee will be constituted with representation from communities. As including minorities and marginalized peoples. Further, the project will work together with these forest dependent communities through their established platforms of engagement. The forest indigenous peoples' representatives' committee established during a colloquium between IPs and GoK in 2013, will be involved. The National Land Commission's ongoing National Forum Dialogue[51] provides another platform for consistency and support towards responsible, rights based forest governance as it addresses issues raised by different stakeholders including indigenous peoples.

Importantly, the project will support the establishment of a feedback, grievance and redress mechanism for REDD+ as proposed in the ongoing dialogue between forest indigenous people and the Government through the National Land Commission and the Ministry of Environment and Natural Resources, which will provide the means by which local communities and affected populations can raise concerns and/or grievances about the project's impacts. It includes a redress processes for local communities when activities may adversely impact them. The project will also apply Kenya's Free Prior and Informed Consent (FPIC) guidelines (as well as those outlined in UNDP's SES), the first to be developed through an indigenous people's organization in the context of REDD+ in Africa. This presents an opportunity for collective ownership of REDD+ process in Kenya and raises the threshold for participation of forest dependent communities.

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[49] This report was commissioned by the National REDD+ Coordination Office in the Ministry of Environment, and Natural Resources , Ethics And Anticorruption Commission and the UN-REDD Programme, Key recommendations taken up to date include: establishment of the anticorruption taskforce, stakeholders engagement, testing free prior and informed consent guidelines and establishment of a REDD+ website (http://redd.intranet.co.ke/). Further work will be required to update and re-engage as necessary.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
Kenya's Constitution, passed in 2010, provides a framework for addressing gender equality and is important for women's rights in Kenya; seeking to remedy the traditional exclusion and discrimination of women and promote their full involvement in every aspect of growth and development including land and resource ownership and management. The project will follow a gender equality and women's empowerment approach, ensuring consistency with and national law, international obligations, UNDP's (Social and Environmental Standards)[52] SES principles on Human Rights and Gender Equality, and the UNFCCC Cancun safeguards for REDD+[53].

The Project will have positive impacts on women and men, different ethnic groups and social classes through the Project outcomes. A gender assessment will be conducted and actions undertaken to respond to the outcomes of the assessment. It will support the design and prioritization of REDD+ policies and measures to avoid adverse social impacts such as changes in access rights to non-timber products for families in local communities, and which rather promotes and enhances economic and social well-being, with special attention to the most vulnerable and marginalized groups.

Women provide 80 percent of Kenya's farm labor and manage 40 percent of the country's smallholder farms, yet they own only roughly one percent of agricultural land and receive just 10 percent of available credit. Women are on the front lines of conserving Kenya's resources and rejuvenating its degraded landscapes. Many women now have a greater say in the management of natural resources through their participation in community-resource governance structures, such as water-user associations, community forest associations and community conservancies. Women are also running successful nature-based businesses and earn income from enterprises from natural products, eco-tourism, tree nurseries and traditional handicrafts. Productive engagement of women and girls in leadership positions and decision-making remains instrumental to improving natural resource management and household livelihoods while curbing conflict[54]. Activities will be targeted and disaggregated specifically with respect to forest dependent communities. Participation in decision making on forest resources conservation and management will involve women, men, the elderly and the youth. The project will also explore opportunities to enable and increase the community's access to benefits of forests conservation. Women will be further engaged through women's groups in different activities and inclusion into management and land use planning.

The National Gender Commission will be involved closely in the implementation of the project and in the REDD+ strategy and investment plan development process. Gender experts will be part of the project team, to ensure that stakeholder participation in the project provides a meaningful space for engaging women's voices, and providing analysis of gender inequalities. The results framework includes special measure and outputs to address gender inequality issues in outcomes 1 to 3. The project will apply UN-REDD's methodological note on gender and REDD+.

Briefly describe in the space below how the Project mainstreams environmental

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[50] Anti-corruption Taskforce for REDD+ Terms of Reference. The Taskforce is made up of the following entities; Ethics and Anticorruption Commission, National Land Commission, Office of the Council of Governors, Ministry of Environment and Natural Resources, The National Treasury, Transparency International (civil society rep), ILEPA (Indigenous peoples representative) National Alliance of Community Forest Association (community forests representative) REDD+ coordination office and UNDP

[51] The key contact is the FCPF's IP observer for Africa.

[52] http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html

[53] http://redd.unfccc.int/fact-sheets/safeguards.html

[54] https://www.usaid.gov/sites/default/files/documents/1860/5.%20Gender.pdf

sustainability

The fundamental goal of REDD+ is to contribute to climate change mitigation through addressing the drivers of deforestation and forest degradation and most importantly for Kenya by removing barriers to sustainably managing existing forests, and enhancing carbon stocks in order to reduce emissions from the forest and land sector. In addition, a primary motivation for Kenya is the potential for actions undertaken through REDD+ to achieve specific environmental benefits through the development and prioritization of policies and measures that build on successes and lessons learnt to mainstream environmental sustainability. The outputs of the project are a national REDD+ strategy and investment framework. In order to arrive at the vision, strategic objectives and policies and measures that will eventually be undertaken. A series of underlying components have been or are being carried out; these include a participatory analysis of the drivers and barriers, spatial planning (*Mapping to support land-use planning for REDD+ in Kenya; securing additional benefits, already conducted*), coordination amongst the different institutions and stakeholders managing forests and lands, analysis of biodiversity, ecosystem services, rights to land and natural resources and livelihood opportunities. A risk and benefit analysis as part of a Strategic Social and Environmental Assessment (SESA) incorporates a systematic understanding of how to promote environmental benefits avoid, and if not avoidable and mitigate environmental risks. Guidance for how a SESA will be conducted in line with UNDP Social and Environmental Standards. An Environmental and Social Management Plan will be drawn up with an associated budget to demonstrate how risks will be avoided, mitigated or managed.

The Cancun safeguards which the Strategy development must address, embodies environmental safeguards namely, to ensure that the actions identified are consistent with the conservation of natural resources and biological diversity, ensuring that actions do not result in conversion of natural forests but instead incentivize the protection and conservation of forests and their ecosystems services, and enhance the social and environmental benefits.

A significant part of the work is to ensure respect for the rights of indigenous peoples and local communities, value the contributions they can make to sustainable management of the environment take into account the sustainable livelihoods of indigenous peoples and local communities, including women, men and youth, and their interdependence on forests. Although Kenya's forests cover a small proportion of the land, they are critical for biodiversity, ecosystem services and provide a range of different goods and services. For instance, the Mau Complex provides goods and services worth US$ 1.5 billion a year through water for electricity, agriculture, tourisms and carbon sequestration (UNEP 2014).

The project will support mainstreaming into policy and legal processes such as mainstreaming of REDD+ into county Development Plans, as well as national and sector development plans. This is premised on the cross-cutting nature of REDD+, the need to create an enabling condition for REDD+ implementation, and the need to address the drivers of deforestation in national policy and planning processes.

A priority for the Kenyan Government is to adopt solutions that would help improve forest resource management including at the policy level. The REDD+ Strategy will contain activities that directly contribute to the implementation of the policy, regulatory and legal framework which supports environmental mainstreaming. These are for example, the Constitution (*maintain a forest coverof 10%*); the Kenya Vision 2030 (*rehabilitation and protection of the water towers and catchment areas, participatory forest management plans, research and development and monitoring of forest resources*); The National Climate Change Response Strategy and Action Plan (*7.6 billion tress on 4.1 million hectares*

of land); Farm Forestry Rules (*every farmer to maintain a minimum area of 'Farm Forestry'*); and the Forest Act which sets up the institutional framework for management of forests and emphasizes community forestry associations.

Part B. Identifying and Managing Social and Environmental <u>Risks</u>

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*		QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	*Impact and Probability (1-5)*	*Significance (Low, Moderate, High)*	*Comments*	*Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*
Human Rights and Indigenous Peoples Risk 1: Project could exclude potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them	P=3 I=3	Moderate	Based on concerns raised by indigenous peoples, the project screening procedure included an in-depth consultation with stakeholders and particularly stakeholder who	• Specific measures are integrated in the execution of the Project and funding allocated to bring together the relevant stakeholders in relevant platforms. (See outputs 1 and 3 in the results matrix). This process is central to the Project approach. Recommendations identified in the Stakeholder Mission report referred to and found in Annexes to the report, will be carried out.

			raised concerns with respect to REDD+. Some stakeholders, particularly at community level, may not have access to information at the same time as other stakeholders who are easily accessible or have easier access to information. In addition, stakeholders who wield influence and could profit from REDD+ may take over the national REDD+ Readiness process (i.e. elite capture)	• Consultations and participation to agree on how stakeholders will be engaged (platform, representation, consultations) are scheduled. The project will facilitate a self-selection process of the different stakeholders. • A Stakeholder Engagement expert will be recruited to support the implementation of the project. • a Stakeholder Engagement Plan will be elaborated at the start of the project • The project will develop a communication strategy which will seek to manage expectations in terms of the extent and scope of stakeholder engagement in a REDD+ readiness programme. • The Project will adhere to the UN-REDD/FCPF Stakeholder Engagement guidelines for REDD+ readiness and the Cancun Safeguards for REDD+ which include provisions for the full and effective participation of relevant stakeholders; respect for the rights of indigenous peoples; disclosure of information and grievance and accountability. • Kenya has adapted these Stakeholder Engagement (S/E) guidelines by developing its own specific S/E guidelines based on its contextual realities. These guidelines will be applied during project execution alongside the UN-REDD/FCPF ones and the stakeholder engagement requirements of the UNDP SES. • Disclosure of information through the REDD+ website and other government websites.

				• Work with the National Land Commission and other on-going participatory processes to ensure all stakeholders are informed of the REDD+ strategy development process. • Representatives of IPs and CSOs will be included as part of the advisory and project steering group /NSC • The SESA will consider this risk as part of its Assessment and actions based on its recommendations will be taken to avoid and mitigate..
Gender Equality and Women's Empowerment Risk 2: The potential to adversely affect women and youth by not adequately involving them in decision making or taking their perspectives and roles into account in the design of the policies and measures, REDD+ Strategy and investment plan	P=2 I=3	Moderate	Given existing gender-related socio-economic, cultural and political barriers, implementing the project without undertaking a gender responsive approach in design and implementation could negatively impact women and other marginalized groups (e.g. youth), exclude them from the process, and thus, limit reach and sustainability of REDD+ policies and measures and associated Strategy.	• The project will promote a gender-responsive approach, by integrating gender equality and women's empowerment as both stand-alone and cross cutting issues across. See Outcome 1 and 3 in the Results Matrix. • To ensure that the project will positively impact women, men and youth across different ethnic groups and social classes, a gender assessment will be undertaken at the beginning of the project and actions will be integrated into the project to respond to the outcomes and findings of the assessment. • The project team includes a gender expert to inform strategy and policies and measures design and deliverables. • The project will apply UN-REDD's gender approach, as detailed in its Methodological Brief on Gender. • Design and prioritization of REDD+ policies and measures to 1) avoid adverse social impacts including to marginalized groups (e.g.

				women, youth, etc.), such as changes in access rights to forest and non-timber products for families in local communities, and 2) promote and enhance economic and social well-being, with special attention to the most vulnerable and marginalized groups. • The Project will adhere to the <u>Stakeholder Engagement</u> guidelines (see Risk 1 measures for Risk 1 above) for REDD+ readiness and the Cancun Safeguards which include the need that the REDD+ policies and measures address transparent and effective national governance structures which are most relevant for gender approaches. • The SESA will consider this risk as part of its assessment.
Environmental Sustainability – Forests and Critical Habitats Risk 3: The Project involves changes in forest management and will look at options for reforestation and afforestation.	P=3 I=3	Moderate	The design of REDD+ strategy options may not fully incentivize the protection and conservation of forests or fully assess the costs of reforestation and afforestation with regards to forest management in the future implementation of the strategy	• Strategic options will be designed and prioritized in a way that avoids or minimizes adverse impacts, including through indirect land-use change, on natural forests, carbon stocks, biodiversity and other ecosystem services, both within and outside forests, and that instead promotes their conservation. • Environmental and social risks and benefits will be assessed, and studies and analysis planned to incentivize the protection and conservation of natural forests and sustainable forest management. • Policies and measures will be informed by stakeholders to ensure sustainability, viability and feasibility as well as attention to social

				issues that would arise from specific project implementation. Preference will be given to small scale community-level management where they best reduce poverty.
				• Policies and measures in the Strategy will comprise specifically of sustainable management of forests, including strengthening or adoption of certification schemes within agriculture and forestry value chains where necessary.
				• Cost benefit analysis of strategy options will be undertaken.
				• The SESA will consider this risk as part of its Assessment.
				• Project activities will: a. be consistent with the conservation of natural forests and biological diversity, ensuring that they are not used for the conversion of natural forests; b. incentivize the protection and conservation of natural forests and their ecosystem services, and enhance other social and environmental benefits; c. enhance the sustainable management of forests, including the application of independent, credible certification for commercial, industrial-scale timber harvesting; d. maintain or enhance biodiversity and ecosystem functionality in areas where forest restoration is undertaken; and/or e. ensure that plantations are

				environmentally appropriate, socially beneficial and economically viable, and utilize native species wherever feasible.
Environmental Sustainability: Forests and Critical Habitats Risk 4: The Project could result in leakages which could result in drivers of deforestation being displaced to areas where project interventions are not foreseen.	P=2 I=3	Moderate	Implementation of strategic interventions in particular geographic areas in Kenya lead to displacement of deforestation in other areas within the country or in the region	• Drivers of deforestation and forest cover change analysis and stakeholder engagement plan will identify entry points required for effective coordination arrangements. • A cross sectoral steering committee has been put in place and will be operationalised. • Implementation arrangements of the REDD+ readiness programme will involve key partners and stakeholders • REDD+ integrated into national development processes and builds on policies, programme and activities in other sectors. • REDD+ will be positioned as a strategic issue within the climate change council which is under political leadership of the President of Kenya. • Design and prioritization of actions to reduce displacement of emissions from specific REDD+ actions at the local, sub-national and national scales, taking into account the potential impacts of REDD+ actions on livelihoods, as well as the demand for and supply of forest and agricultural products. • The SESA will consider this risk as part of its Assessment.
Cultural Heritage, Indigenous Peoples, and Displacement and	P=4 I=4	High	Addressing the concern that the project could	• Specific measures are integrated in the execution of the Project and funding allocated to bring together the relevant stakeholders in

| Resettlement

Risk 5: The proposed Project could possibly affect land tenure arrangements and/or community based property rights the rights of indigenous peoples and local forest dependent communities, including, including restrictions on property rights and posible economic displacement.,. | | | possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources.

The Project or portions of the Project are located on lands and territories claimed by indigenous peoples? | relevant platforms. (See outputs 1 and 3 in the results matrix). This process is central to the Project approach.
- The project targets the development of a REDD+ strategy that will contribute to rights based management of forests in Kenya. No physical displacement and resettlement will be envisaged as part of the project. Forced evictions are in fact prohibited. in the course of project activities emphasis on enhancing livelihoods and supporting community contributions to and management of forest areas and ecosystems also means partial or full economic displacement is not envisioned. Noting that some of the community forests are located in areas where some of the indigenous communities are found, all analytical work and decisions on policies and measures will take into account the presence of communities in in these forests and respect rights they possess under applicable law. Forest dependent communities will be will be involved at all levels of the strategy development process and definition of activities that may affect them. Resulting policies and measures to be adopted for the REDD+ Strategy will address governance issues and strengthen capacities that rather enhance community based property rights and support more secure tenure arrangements.
- In addition to stakeholder engagement |
|---|---|---|---|---|

				processes embedded in the project, the UNDP's Social and Environmental Standards and UNFCCC Cancun safeguards for REDD+ will be adhered to, and the SESA will consider this risk as part of its Assessment. An Environmental and Social Management Plan, which defines how risk will be mitigated and managed, with associated budgets will be included in the project.
				• Under output 1.1 of the Project, any potential laws policies and measures developed or adopted will be based on the analytical studies conducted therein and multi-stakeholder discussions. Resulting laws policies and measures to be adopted for the REDD+ Strategy will result in addressing governance issues and strengthening capacities that rather enhance community based property rights, support more secure tenure arrangements and uphold the rights and cultural heritage of forest dependent communities and indigenous people.
				• Representatives of marginalised communities and CSOs will be included as part of the advisory teams, integrity and governance team and project board and national steering committee.
				• As noted above stakeholder engagement guidelines with IPs/Stakeholder networks in the REDD+ strategy development process will be applied. Key stakeholders are involved in the project, including the National Land

				Commission. Where land title or ownership is in question, there is recourse to a consultative process through the National Land Commission's Forum Dialogue in addition to the consultative mechanisms embedded in the Project and the activities under 1.1 of the results framework.
				• Collaboration with the National Land Commission and other on-going processes and build consensus to ensure all stakeholders can discuss concerns related to the REDD+ strategy development process has already begun.
				• Marginalised communities/Indigenous Peoples' Organization and Civil Society Organization networks will be engaged at all levels of project, this include in technical working group meetings to ensure respect of cultural heritage and documentation of traditional Knowledge. All stakeholders will be engaged in creating awareness about the REDD+ Strategy development process. This will be guided by the stakeholders engagement plan and the communication strategy as well as an IPP, CHMP, and LMP.
				• Free Prior and Informed Consent Guidelines are already in place, they will be tested and revised as necessary and adopted for inclusion in the REDD+ strategy.
				• A feedback grievance and redress mechanism for REDD+ process in the country is an output of the Project. In addition, it is required that a

				project level Grievance Redress Mechanism is set up for the project implementation period and existing GRMs will be utilized.
				• Targeted stakeholder engagement processes will be carried out to address any identified concerns during strategy development and this issues will be included in the social and environment assessment (SESA).
[add additional rows as needed]				

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		Comments
Low Risk	☐	
Moderate Risk		
High Risk	x	The proposed project includes upstream planning processes with potential downstream impacts which include support for the elaboration of national-level strategies, policies, plans and programmes. Though the overall rating is high because it may adversely impact the rights, lands, resources and territories of the indigenous peoples, most of the risks are low to moderate and clear measures are put in place to avoid, if not mitigate these risks. However, where potential downstream impacts are implicated, an ESIA (appropriately tailored to supplement the existing SESA) will be conducted as required by the SESP and those activities that have the potential to cause adverse social and environmental impacts will not take place before the ESIA is completed and the mitigation measures (including FPIC as

			appropriate) are adopted and in place. Strong oversight and quality assurance along with participatory monitoring will be applied by UNDP Kenya, the UNDP Regional REDD+ team and the partners for the project, during the project implementation. Regular communication with UNDP REDD+ Global experts for technical support on project's key safeguard milestones such as SESA and recruitment of international expertise, review of consultant outputs, etc. are advised. also the project will count with a substantial social and environmental management plan and framework, including an IPP, CHMP and LMAP.
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	Principle 1: Human Rights	x☐	The project will have a positive impact on forest management in the country. The project will not support activities that involve resettlement or relocation of forest dependent communities. Instead these communities will be involved in the project implementation, consultations and decision making platforms. The project will involve analytical work and consultations towards both the REDD+ strategy and a Safeguards Information System whose function is to contain information to demonstrate how safeguards have been both addressed and respected. The project will conduct a due diligence of relevant applicable law on human

			rights that will inform project implementation and strategizing. The project process will be informed by recent changes in the PLR framework and institutions including those established by the Community Land Act of 2016 that addresses governance on community land where indigenous communities are located.
	Principle 2: Gender Equality and Women's Empowerment	x	The Project will have positive impacts on women, youth and men across different ethnic groups and social classes. To help take into account women's and other marginalized group's perspectives, priorities and roles around forests and forest use, as well as ensure the project positively and equitably impacts women, men and youth, activities will be targeted specifically at forest dependent communities (particularly with women and youth) to enhance their participation in designing policies and measures for REDD+. The project will also explore opportunities to enable and increase equitable access to benefits of forests conservation among women, men and youth. The Gender Commission, Ministry of Planning and the devolved structures such as Women's Groups will be involved in the project implementation.
	1. Biodiversity Conservation and Natural Resource Management	x	The project's main objective is to contribute to sustainable management of forest resources in the country in line with the constitutional requirement of maintaining a 10% forest cover.
	2. Climate Change Mitigation and Adaptation	☐	
	3. Community Health, Safety and	☐	

	Working Conditions		
	4. Cultural Heritage	x	The project targets the forestry sector in Kenya, some of the community forests are located in areas where some of the indigenous communities are found. UNDP's Social and Environmental Standards and UNFCCC Cancun safeguards for REDD+ will be adhered to. A Cultural Heritage Management Plan (CHMP) will be developed as part of the project.
	5. Displacement and Resettlement	X☐	The project aims to develop a strategy that will contribute to management of forests in Kenya. No displacement and resettlement will be implemented as part of the project. Noting that some of the community forests are located in areas where some of the indigenous communities are found, all analytical work and decisions on policies and measures will take into account the presence of communities in in these forests. The project also does not envision whole or partial economic displacement but rather the enhancement of livelihoods and respect for rights The resulting policies and measures to be adopted for the REDD+ Strategy will address governance issues and strengthen capacities that rather enhance community based property rights and support more secure tenurial arrangements. In addition to stakeholder engagement processes embedded in the project, the UNDP's Social and Environmental Standards and UNFCCC Cancun safeguards for REDD+ will be adhered to, and the SESA will consider this risk as part of its assessment. Finally FPIC guidelines have been

			already developed for the project and will be applied. A Livelihoods Action Plan (LAP) will be developed.
	6. Indigenous Peoples	x	The project targets the forestry sector in Kenya, some of the community forests are located in areas where some of the indigenous peoples' communities are found. <u>UNDP's Social and Environmental Standards </u>and UNFCCC Cancun safeguards for REDD+ will be adhered to. An Indigenous Peoples Plan (IPP) will be developed.
	7. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>	
Principles 1: Human Rights	**Answer (Yes/ No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [55]	Yes
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods*	Yes

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[55] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

and well being		
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.*	No

Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[56] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve	Yes

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[56] In regards to CO_2 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	Cultural Heritage may also have inadvertent adverse impacts)	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	Yes
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions?[57]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	Yes
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	Yes

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[57] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

OFFLINE RISK LOG

(see Deliverable Description for the Risk Log regarding its purpose and use)

Project Title: FCPF REDD+ Readiness Grant	Award ID: 99178	Date:

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	Enter a brief description of the risk *(In Atlas, use the Description field.* **Note: This field cannot be modified after first data entry)**	When was the risk first identified *(In Atlas, select date. Note: date cannot be*	*(In Atlas, select from list)*	Describe the potential effect on the project if this risk were to occur Enter probability on a scale from 1 (low) to 5 (high) P =	• What actions have been taken/will be taken to counter this risk (in Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to record updates at different times)	Who has been appointed to keep an eye on this risk *(in Atlas, use the Management Response box)*	Who submitted the risk *(In Atlas, automatically recorded)*	When was the status of the risk last checked *(In Atlas, automatically recorded)*	e.g. dead, reducing, increasing, no change *(in Atlas, use the Management Response box)*

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
		modified after initial entry)							

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
1	Project could exclude potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them	Social and Environmental Screening October 2016	Organizational and Strategic	The project will involve designing policies and measures that will affect local communities and forest dependent communities. Some stakeholders, particularly at community level, may not have access to information at the same time as other stakeholder	• Specific measures are integrated in the execution of the Project and funding allocated to bring together the relevant stakeholders in relevant platforms. (See outcomes 1 and 3 in the results matrix). This process is central to the Project approach. • Consultations and participation to agree on how stakeholders will be engaged (platform, representation, consultations) are scheduled. The project will facilitate a self-selection process of the different stakeholders • A Stakeholder Engagement expert will be recruited to support the implementation of the project • The project will develop a communication strategy and will seek to manage expectations in terms of the extent and scope of	Project Board, UNDP CO, UNDP Regional Technical Advisor	Assessment Note author		

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
				s who are easily accessible, hence, raise concerns of lack of inclusion. The government and CSOs have yet to develop the full capacity and experience to comply with the obligations on paper. Probability = 2 Impact =3	stakeholder engagement in a REDD+ readiness programme • The Project will adhere to the UN-REDD/FCPF Stakeholder Engagement guidelines for REDD+ readiness and the Cancun Safeguards which include provisions for the full and effective participation of relevant stakeholders; respect for the rights of indigenous peoples; disclosure of information and grievance and accountability. • Kenya has adapted these Stakeholder Engagement (S/E) guidelines by developing its own specific S/E guidelines based on its contextual realities. These guidelines will be applied during project execution alongside the UN-REDD/FCPF ones and the stakeholder engagement requirements of the UNDP SES • Disclosure of information				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					through the REDD+ website and other government websites • Work with the National Land Commission who are already engaged in addressing conflicts and issues with regards to forest and land ownership and tenure • Representatives of IPs and CSOs will be included as part of the advisory and project steering group and the National Steering Committee • The SESA (see SESP) will consider this risk as part of its assessment.				
2	Indigenous Peoples are present in the project	Assessment Note 2013	Strategic	Historical conflicts over forest lands and	• Representatives of IPs and CSOs will be included as part of the Project and National Steering Committee.	Assessment Note Author			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	area; referred to as marginalized and vulnerable populations. There is potential that the project may affect their human rights, traditional ways of living and access to lands and natural resources.	and Social and Environmental Screening, Oct 2016		access to these lands are taking place and solutions need to be found for these as indigenous peoples wish to have full ownership of forest lands that are currently under different tenure regimes. Probability = 1 Impact = 2	• As noted above stakeholder engagement guidelines with IPs/Stakeholder networks in the REDD+ strategy development process will be applied • Collaboration with the National Land Commission and other on-going processes to ensure all stakeholders can discuss concerns related to the REDD+ Strategy development process • An implementation partner of the project will be an Indigenous Peoples' Organization and Civil Society Organization networks as a 'Responsible Party in the project with the aim of creating awareness about the REDD+ Strategy development process. • A feedback grievance and redress mechanism for REDD+ process in the country is an				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					output of the Project. In addition, it is required that a project level Grievance Redress Mechanism is set up for the project implementation period and existing GRMs will be utilized. • Targeted stakeholder engagement processes will be carried out to address any identified concerns during strategy development.				
3	Given existing gender-related socio-economic, cultural and political barriers, implementing the project. without undertaking	Social and Environmental Screening, Oct 2016	Organizational	Gender neutral implementation of the project could impact gender equality and women's empowerment	• The project will promote a gender-responsive approach, by integrating gender equality and women's empowerment into the various types of analyses and cross cutting issues. See Outcome 1 and 3 in the Results Matrix. For example, design and prioritization of REDD+ policies and measures will aim to 1) avoid adverse social impacts including to marginalized	Project Board, UNDP CO and UNDP Regional Technical Advisor		N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	a gender responsive approach in design and implementation could negatively impact women and other marginalized groups (e.g. youth), exclude them from the process, and thus, limit reach and sustainability of REDD+ policies and measures and associated Strategy			Probability = 2 Impact = 3	groups (e.g. women, youth, etc.), such as changes in access rights to forest and non-timber products for families in local communities, and 2) promote and enhance economic and social well-being, • To ensure that the project will positively impact women, men and youth across different ethnic groups and social classes, gender assessment will be part of Strategy development and measures integrated into Strategy design. • The project team includes a gender expert to inform strategy and policies and measures design and deliverables. • The project will apply UN-REDD's gender approach, as detailed in its Methodological Brief on Gender. • The Project will adhere to the				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					Stakeholder Engagement guidelines (see Risk 1 measures for Risk 1 above) for REDD+ readiness and the Cancun Safeguards which include the need that the REDD+ policies and measures address transparent and effective national governance structures which are most relevant for gender approaches. • The SESA will consider this risk as part of its assessment.				
4	The Project involves changes in forest management and at options for reforestation and afforestation.	Social and Environmental Screening Oct 2016	Environmental	The design of REDD+ Strategy options may not effectively assess the cost/benefit analysis of reforestation and afforestatio	• Strategic options will be designed and prioritized in a way that avoids or minimizes adverse impacts, including through indirect land-use change, on natural forests, carbon stocks, biodiversity and other ecosystem services, both within and outside forests, and that instead promotes their conservation • Environmental and social risks	Project Board, UNDP CO and UNDP Regional Technical Advisor	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
				n with regards to forest management in the future implementation of the strategy Probability =2 Impact = 2	and benefits will be assessed, and studies and analysis planned to incentivize the protection and conservation of natural forests and sustainable forest management through the SESA. • Policies and measures will be informed by stakeholders to ensure sustainability, viability and feasibility as well as attention to social issues that would arise from specific project implementation. Preference will be given to small scale community-level management where they best reduce poverty. • Policies and measures in the Strategy will comprise specifically of sustainable management of forests, including strengthening or adoption of certification schemes within agriculture and forestry value chains where				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					necessary. • Cost benefit analysis of strategy options will be undertaken Project activities will: • a. be consistent with the conservation of natural forests and biological diversity, ensuring that they are not used for the conversion of natural forests; • b. incentivizes the protection and conservation of natural forests and their ecosystem services, and enhance other social and environmental benefits; • c. enhances the sustainable management of forests, including the application of independent, credible certification for commercial, industrial-scale timber harvesting; • d. maintains or enhance biodiversity and ecosystem				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					functionality in areas where forest restoration is undertaken; and/or • e. ensure that plantations are environmentally appropriate, socially beneficial and economically viable, and utilize native species wherever feasible.				
5	The Project could result in climate change related leakages which could result in drivers of deforestation being displaced to areas where project interventions are not foreseen.	Social and Environmental Screening Oct 2016	Environmental	Implementation of certain strategic REDD+ interventions in particular geographic areas in Kenya may lead to displacement of deforestation in other areas	• Drivers of deforestation and forest cover change analysis and stakeholder engagement plan will identify entry points required for effective coordination arrangements • The national steering committee will have a role to play to ensure that REDD+ policies and measure have will have a national approach. • Implementation arrangements of the REDD+ readiness programme will involve key partners and stakeholders across natural resource management regimes and	Project Board, UNDP CO and UNDP Regional Advisor	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
				within the country or in the region. Probability = 2 Impact = 3	agriculture • REDD+ integrated into national development processes and builds on policies, programme and activities in other sectors • REDD+ will be positioned as a strategic issue within the climate change council which is under political leadership of the President of Kenya • The national forest monitoring system will play a role in monitoring change over landscapes				
6	Government agencies do not coordinate or cooperate effectively to enable the REDD+ Strategy to be fully transformat	Stakeholder Meetings – RPP - 2010	Strategic	High level political support for REDD+ is required if government agencies are to coordinate the development of a	• Drivers of deforestation and forest cover change analysis and stakeholder engagement plan will identify entry points required for effective coordination arrangements • Design and prioritization of actions to reduce displacement of emissions from specific REDD+ actions at the local, sub-national and national scales, taking into account the	Project Board, UNDP CO and UNDP Regional Technical Advisor	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	ive to identify policies and measures outside the forest sector that will adequately address drivers of deforestation and barriers to sustainably manage forest resources			national REDD+ strategy and investment plan Probability = 2 Impact = 3	potential impacts of REDD+ actions on livelihoods, as well as the demand for and supply of forest and agricultural products is the objectives for the project • The National Steering Committee embodies cross-sectoral membership and will be operationalised. • Implementation arrangements of the REDD+ readiness programme will involve key partners and stakeholders • REDD+ integrated into national development processes and builds on policies, programme and activities in other sectors • REDD+ will be positioned as a strategic issue within the Climate Change Council which is under political leadership of the President of Kenya				
7	Consultative processes on the Strategy	R_PP 2010 (pg 27)	Strategic	Forest carbon benefits have been	• Clear communication with respect to the development of the Strategy to explain what readiness is and manage	Project Board, UNDP CO and UNDP	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	and the benefit sharing mechanism will result in high expectations for REDD+ benefits which cannot be met in the short to medium terms	Assessment Note		in the past introduced to communities as a mechanism for quick financial benefits Probability = 2 Impact = 2	expectations on the ground and with communities • Consultation, analysis, and assessment to enable consensus on policies and measures. This will enable a collective understanding on what constitutes role and responsibilities with respect to benefit sharing. • Inclusion of indigenous peoples and community representatives in the advisory and project steering group and the NSC	Regional Advisor			
8	The proposed Project could possibly affect land tenure arrangements and/or community based	15th October 2016	Political and Strategic	Addressing the perception that the project could possibly affect land tenure arrangements and/or	• The project targets the development of a REDD+ strategy that will contribute to management of forests in Kenya. No displacement and resettlement will be envisaged as part of the project. Noting that some of the community forests are located in areas where some of the indigenous communities are found, all	Project Board, UNDP CO and UNDP Regional Advisor	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	property rights			community based property rights/customary rights to land, territories and/or resources. The Project or portions of the Project are located on lands and territories claimed by indigenous peoples P = 2 I = 3	analytical work and decisions on policies and measures will take into account the presence of communities in in these forests. Forest dependent communities will be will be involved at all levels of the strategy development process. Resulting policies and measures to be adopted for the REDD+ Strategy will address governance issues and strengthen capacities that rather enhance community based property rights and support more secure tenure arrangements as this is a premier objective if REDD+ is to succeed. • In addition to stakeholder engagement processes embedded in the project, the UNDP's Social and Environmental Standards and UNFCCC Cancun safeguards for REDD+ will be adhered to, and				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					the SESA will consider this risk as part of its assessment. • Representatives of IPs and CSOs will be included as part of the project and national steering groups • As noted above stakeholder engagement guidelines with IPs/Stakeholder networks in the REDD+ strategy development process will be applied. Where land title or ownership is in question, there is recourse to a consultative process through the National Land Commission's Forum Dialogue in addition to the consultative mechanisms embedded in the Project. Collaboration with the National Land Commission and other on-going processes to ensure all stakeholders can discuss concerns related to the REDD+ strategy development process has already begun. • Free Prior and Informed				

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
					Consent Guidelines are already in place for the project and • A feedback grievance and redress mechanism for REDD+ process in the country is an output of the Project. In addition, it is required that a project level Grievance Redress Mechanism is set up for the project implementation period and existing GRMs will be utilized.				
9	Overlapping Institutional mandates, approved land use plans and conflicting policies can result in inadequate buy-in from sectoral ministries and other	15th October 2016	Strategic	Overlaps in policy and legal mandates of agencies have been identified in various studies and could impede implementation of REDD+ in	• Inclusion of all sector ministries and parastatals in the key thematic areas working groups • Inter- institutional coordination meetings • PLR review conducted will be used to inform the issues and options for policy harmonization • Evidence based discussion, cross sectoral synergies and trade-offs identified with regards to the policies and measures identified in the	Project Board, UNDP CO and UNDP Regional Technical Advisor	Assessment Note author	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	actors in development of strategic options.			the country if not addressed Probability = 2 Impact = 2	REDD+ Strategy • The REDD+ Steering Committee will bring together actors from other ministries, departments and agencies to address the drivers of deforestation and barriers to sustainable management of forests				
10	Inadequate institutional capacities and governance at the devolved (County Level)	15th October 2016	Organizational	Institutions initiated under the devolved governance system may not ready to effectively implement their objectives Probability - 3 Impact= 2	• Assessment of relevant institutions to be conducted to identify challenges and gaps • Capacity building programmes developed and implemented as part of the REDD+ readiness process • Institutions under devolved governance systems and independent commissions are still new and some lack regulations and human resources to fully execute their mandate, capacity building is envisaged at the County Level through the project outputs	Project Board, UNDP CO and UNDP Regional Technical Advisor	Assessment Note author	N/A	
11	Change in political	15th Octob	Political	High level political	• Kenya has established a National REDD+ Steering	Project Board,	Assessment Note	N/A	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status – this column will be filled out during project implementation
	support for REDD+	er 2016		support for REDD+ is necessary for a national approach and to prioritise forest and land use planning. Probability - 3 Impact- 3	Committee (NSC), a REDD+ Technical Working Group (TWG), and the National REDD+ Coordinating Office (NRCO). These entities will be reconstituted and operationalised to ensure a broad range of stakeholder engagement and political buy-in across sector. This will secure high level buy in for a strengthened coordination office at the Ministry of Environment and Natural Resources. • Ring-fencing through Fiduciary management and procurement processes through the Accounting officer in the Coordination Office linked to the Ministry.	UNDP CO and UNDP Regional Technical Advisor	author		

ANNEX FOUR: CAPACITY ASSESSMENT:

Ministry of Environment and Forests - Capacity assessment and HACT Executive Summary

Summary of risks related to the financial management capacity of Ministry of Environment and Natural Resources

No.	Tested subject Area	Total No. of risk points	Total No. of Applicable questions	Overall risk Assessment	Comments
1	Implementing Partner	5	5	1- Low risk	• The implementing partner (IP)[58] was a state department which was formed through an executive order and hence it was legally in existence within the Republic of Kenya. • The IP had a clear governance structure and was in compliance with all the legal reporting requirements.
2	Funds flow	9	7	1- Low risk	• The IP had an elaborate system for receipt and transfer of funds through the GoK consolidated fund system. • The government contributes towards counter- part financing by taking care of the shared costs. • The IP had experience working with different partners no challenges were note in regard to reporting and accounting for funds as MoU's guided the operations. • The IP had experienced delays on receipt of funds due to the lengthy process of receipt of funds through the National Treasury.

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[58] Ip means implementing partner

| 3 | Organisation structure and staffing | 13 | 10 | 1- Low risk | The IP had an Accounting and Finance units whose structures were appropriate for the financial volume at the State department of Environment and Natural Resources. The IP had set up a dedicated External Resources Section that services loans and grants. The staffing level and competency of staff were appropriate for the level of financial volumes at the time of the assessment. The IP was using documented policies and procedures which were consistent with international standards. |
| 4 | Accounting policies and procedures | 49 | 46 | 1- Low risk | The finance staff required training on the policies and procedures for tracking and reporting United Nations resources as required in the HACT framework. The IP had a robust automated accounting system that was used to manage income and expenditure for different projects within IFMIS. The IP had controls in place regarding preparation and approval of transactions before payments were made. The IP had adequate segregation of duties in the ordering, receiving and payment for the procured goods and services by use of the accounting and procurement departments. The IP had a robust budgeting process which was in line with the Public Finance Management Act. |

5	Internal audit	5	5	1- Low risk	• The IP had an internal audit department which was well staff and with qualified staff. • The IAD had a reporting framework which was independent as the y report to the Ministerial audit committee. • The IAD received adequate support from management in dealing with issues and recommendations.
6	Financial audit	7	7	1- Low risk	• The financial statements of the IP were audited by the Auditor General's office on an annual basis without delay.
7	Reporting and Monitoring	11	8	1- Low risk	• The IP's financial statements were prepared through IFMIS which was an automated system. • The reporting system did not have capacity to link the financial information to the work plan's activity data.
8	Information System	7	5	1- Low risk	• The IP used IFMIS for its financial management system which was computerized and well maintained. • We were not provided with evidence of back up of IT data for availability whenever required.
9	Procurement	37	37	1- Low risk	• The IP had the necessary procurement infrastructure guided by the public procurement and disposal Act, 2005.
Total		**143**	**130**	**1- Low risk**	**Low risk**

Summary of risks related to the programme management capacity of the Ministry of Environment and Natural Resources

No.	Tested subject area	Total No. of risk points	Total No. Of Applicable questions	Overall risk Assessment	Comments

1	Partner Identification	1	1	1- Low risk	• The IP was a legal entity formed by a presidential order. • The IP had worked with the UN in the past. • The IP had complied with reporting requirements in the past.
2	Partner overview, technical capabilities and geographic reach	7	7	1- Low risk	• The IP has a clear purpose and had the technical capabilities for implementation of different project. • The IP has been involved in project implementation throughout • the country.
3	Capabilities for Results Based Planning	4	4	1- Low risk	• The IP had well designed annual planning process which was elaborate and touched on all areas with guidance from the treasury.
4	Project cooperation agreements Implementation modalities/arrangements	2	2	1- Low risk	• The IP implemented projects through signed agreements by all parties which guided implementation of planned activities.
5	Human resources	5	5	1- Low risk	• The IP had enough qualifes staff for programme implementation.
6	Capabilities for performance monitoring and documentation for scaling up and/or policy influence	4	4	1- Low risk	• The IP implemented projects and was able to report on a timely manner. Regular project meetings were carried out to review performance.
7	Monitoring & Evaluation systems and Capacities	9	9	1- Low risk	• Management should ensure that data collection is automated to ensure ease of analysis.

8	Partnerships	3	3		1- Low risk	• The IP has a wide range of partnerships that collaborate in programme implementation.
9	Capacity for innovations, modelling and setting and applying programme standards	3	3		1- Low risk	• There was integration of cross cutting issues and modeling in applying programme standards.
	Total	38	37		Low risk	

B. Executive Summary of HACT Micro-Assessment

Overall risk rating and summary of key recommendations

Overall Rating	Summary recommendations
	Score 1 - The GREEN which represents low risk. The organisation had strong capacity to manage the UNDP funds. However, the management of the IP should implement the following recommendations: • The finance staff should be trained on UN procedures related to cash transfers; • The management should ensure that training needs assessment was done to guide training of different staff depending on their needs; • Consider acquisition and utilisation of the cash book module within IFMIS to make it easier to carry out reconciliations; • Consider a system that has capability of linking financial information with programmatic achievements. This can be implemented through development of a programme management system that could be interphased with IFMIS; • Customise the financial management system to facilitate comparison of financial information with programmatic achievements. This can be implemented through development of a programme management system that could be inter-phased with the current financial and accounting systems; • Ensure that its assets are insurance to cover against the risk of loss of assets; • Ensure that training plans are prepared to guide training for project staff; and • Consider an automated system of collecting programme information and data.

Project Executive Board (Project Advisory Team) Terms of Reference and TORs of key management positions

 a. **Project Executive Board (PEB)**

 1. **Objectives**

To provide guidance to, and oversight of, the REDD+ programme and FCPF project in Kenya, in its effort to support effective and efficient development of measures to engage with a future mechanism on REDD+.

 2. **Membership [59]**

This PB includes representatives from the UNDP, National Treasury, Council of Governors, Office Of the President, Ministry of Environment and Forests, Climate Change Directorate, National REDD+ Coordination Office, Kenya Forest Service, Kenya Wildlife Service, Kenya Forest Institute, civil society organizations (both working on environment and climate change issues as well as oversight and anticorruption), Marginalised communities representatives and Community Forest Associations. The PB reports to the National REDD+ steering committee.

 3. **Operations**

The PEB will provide overall guidance for effective implementation of the FCPF project through approval or revision of annual workplans (AWP) and budgets, as well through overall monitoring and evaluation of progress made.

Meetings will be held at least twice a year at which AWP and budgets will be discussed. Meeting dates for subsequent meetings will be decided at each PB meeting with confirmation of dates being provided at least two weeks in advance of meetings. All meeting documents will be circulated at least one week in advance of the meeting and should be available to the REDD+ steering committee sufficiently in advance to facilitate review.

PEB meetings will be minuted by the project manager, they will be circulated for comments to all PEB members and will be available in English within three weeks of the next meeting.

Meeting minutes will be signed by both Co-chairs at the following meeting.

 4. **Decision-making**

The Programme Board will make decision by consensus.

 5. **Responsibilities**

The Project Executive Board (Project Advisory Team) members are responsible for:

 i. Providing comments to the REDD+ Taskforce on progress of the FCPF project.

 ii. Reviewing and providing recommendation on and approving FCPF Workplans and budgets presented to them by the PMU.

 iii. Reviewing FCPF project progress and assess the need for a no-cost extension and its duration.

 iv. Sharing information on developments relating to REDD+ within their constituencies with the Taskforce, Taskforce Secretariat and other members of the Programme Executive Board.

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[59] Members should identify both representatives and alternates and provide this information to the REDD+ Taskforce Secretariat.

v.   Providing any written comment or request for clarification on issues of concern to the Taskforce Secretariat on behalf of their representing members.

vi.   Providing guidance on conflict resolution related to any conflict occurring within FCPF project implementation.

vii. Reporting Programme progress to their respective constituencies.

6. Funding

Financial support will be provided to local representatives if meetings occur at locations distant from their home base in line with UNDP policies and guidelines.

National Project Coodinator

Background

The National Project Coodinator (NPC) is the Principal Secretary ME&F or designated director who will be accountable to the ME&F for the achievement of objectives and results in the assigned Project. The NPC will be part of the Project Executive Board (Project Advisory Team) and answer to it. The NPC will be financed through national government funds (co-financing).

Duties and Responsibilities

- Serve as a member of the Project Executive Board (Project Advisory Team).
- Supervise compliance on behalf of the ME&F with objectives, activities, results, and all fundamental aspects of project execution as specified in the project document.
- Supervise compliance of project implementation with ME&F policies, procedures and ensure consistency with national plans and strategies.
- Facilitate coordination with other organizations and institutions that will conduct project related activities in the forestry sector and REDD+ activiies in the country.
- Participate in project evaluation, testing, and monitoring missions.
- Coordinate with national governmental representatives on legal and financial aspects of project activities.
- Coordinate and supervise government staff inputs to project implementation.
- Coordinate, oversee and report on government cofinancing inputs to project implementation.

Terms of Reference for Key Project Staff

1. REDD+ Technical Specialist

Terms of Reference

Job title: REDD+ Technical Specialist

Contract type: service contract/Individual contract: NC-C

Contract duration: Initially one-year, renewable subject to satisfactory performance

Summary of key functions:

Closely coordinate and collaborate with an international technical specialist in:

- Providing top quality advice and strategic guidance for effective implementation and results-based management of the project according to project objectives and stated results as well as with UNDP policies and procedures and the Common Approach;

- Support the day-to-day management of the FCPF project through provision of technical advice, including coordination across agencies and with other programmes;
- Provide technical advisory inputs and project oversight
- Develop and strengthen Partnership and coordination with Office of the High Commissioner for Human Rights, Government and development partners to support the implementation of the Project
- Support in the delivery of the REDD+ strategy and investment plan

Support the day-to-day management of the FCPF project through provision of technical advice, including coordination across agencies and with other programmes
- Develop annual and quarterly reports to FCPF, following UNDP rules and regulations;
- Prepare TORs, identify and evaluate experts, and review reports produced, following UNDP rules and regulations;
- Provide close and regular backstopping to the project manager, the project board for the implementation of various components of the REDD+ programme;
- Provide advice and technical support to the project manager, in coordinating and supervising activities of national and international experts and consultants to secure timely production of planned outputs and the review of these outputs;
- Advise the project manager, the project board, National Steering Committee, National Programme coordinator on coordination and liaise with stakeholders – including line ministries, development partners, civil society, marginalised communities and the private sector;
- Ensure coordination with other international, regional and national REDD+ initiatives;
- Provide advisory support to the REDD+ steering committee to strengthen the communications with its members;

Provide technical advisory inputs and project oversight
- Provide strategic guidance to ensure that REDD+ outcomes are fully achieved in the context of a national policy approach under the UNFCCC.
- Organize high level policy dialogues on REDD+; Provide support and technical advice to the development of policy options and strategy for the design and implementation of the FCPF project to the Government of Kenya and other development actors including support on the development of:
  o National REDD+ Strategy development
  o National REDD+ investment plan
- Other elements of National REDD+ development, as required
- Provide timely quality information and technical advice to the government of Kenya, UN Country Team, implementing partners, line ministries and other partners to ensure effective development and delivery of the FCPF project;
- Communicate on a regular basis with UNDP the regional technical advisor to coordinate regional and global technical advisory inputs, including through coordination and accompaniment of backstopping missions;
- Lead the preparations of progress reports to the FCPF, following relevant UNDP and FCPF rules and guidance;
- Provide technical support for project monitoring and evaluations;
- Develop concept notes and TORs for all technical outputs, following UNDP rules and regulations.

Coordinate development of the REDD+ strategy and investment plan :

- Develop TORS for recruitment of consultants for the analytical studies
- Supervise and coordinate the team of consultants for delivery of analytical reports
- Ensure timely delivery of the REDD+ strategy and investment plan

Impact of Results

It is anticipated that the work of the Technical Specialist will have the following impacts:

- FCPF project implemented following all relevant UNDP rules and regulations, and in close coordination with other UNDP Country Office environment projects and programmes;
- FCPF project is delivered on time and to budget;
- REDD+ become a key development priority;
- High visibility of the REDD+ programme;
- Partnership and relationship of key stakeholders on REDD+ built and enhanced;
- REDD+ Programme outcome are fully achieved resulting in transformative change;
- Built strong bases for the sustainability of the REDD+ programme;
- Effective coordination of stakeholders on REDD+ and related issues;

Competencies

Corporate Competencies:
- Promoting Ethics and Integrity / Creating Organizational Precedents
- Building support and political acumen
- Building staff competence,
- Creating an environment of creativity and innovation
- Building and promoting effective teams
- Creating and promoting enabling environment for open communication
- Creating an emotionally intelligent organization
- Leveraging conflict in the interests of UNDP & setting standards
- Sharing knowledge across the organization and building a culture of knowledge sharing and learning
- Fair and transparent decision making; calculated risk-taking

Functional Competency:

Advocacy / Advancing Policy Oriented Agenda: analysis and creation of messages and strategies
- Creates effective advocacy strategies
- Contributes to the elaboration of advocacy strategies by identifying and prioritizing audiences and communication means
- Performs analysis of political situations and scenarios, and contributes to the formulation of institutional responses
- Uses the opportunity to bring forward and disseminate materials for advocacy work

Building Strategic Partnerships: Identifying and building partnerships
- Effectively networks with partners seizing opportunities to build strategic alliances relevant to the UN's mandate and strategic agenda related to REDD+
- Sensitizes UN Partners, donors and other international organizations to FCPF's strategic agenda, identifying areas for joint efforts
- Develops positive ties with civil society to build/strengthen FCPF's mandate
- Identifies needs and interventions for capacity building of counterparts, clients and potential partners
- Displays initiative, sets challenging outputs for him/herself and willingly accepts new work assignments

- Takes responsibility for achieving agreed outputs within set deadlines and strives until successful outputs are achieved

Innovation and Marketing new Approaches: Developing new approaches
- Seeks a broad range of perspectives in developing project proposals
- Generates for regional and innovative ideas and effective solutions to problems
- Looks at experience critically, drawing lessons, and building them into the design of new approaches
- Identifies new approaches and promotes their use in other situations
- Documents successes and uses them to project a positive image
- Creates an environment that fosters innovation and innovative thinking
- Makes the case for innovative ideas from the team with own supervisor
-

Promoting Organizational learning and Knowledge Sharing: Developing tools and mechanisms
- Makes the case for innovative ideas documenting successes and building them into the design of new approaches
- Identifies new approaches and strategies that promote the use of tools and mechanisms
- Develops and/or participates in the development of tools and mechanisms, including identifying new approaches to promote individual and organizational learning and knowledge sharing using formal and informal methodologies
-

Job Knowledge and Technical Expertise: In-depth knowledge of the Subject-matter
- Understands more advanced aspects of primary area of specialization as well as the fundamental concepts of related disciplines
- Serves as internal consultant in the area of expertise and shares knowledge with staff
- Continues to seeks new and improved methods and systems for accomplishing the work of the unit
- Keeps abreast of new developments in area of professional discipline and job knowledge and seeks to develop him/herself professionally
- Demonstrates comprehensive knowledge of information technology and applies it in work assignments
- Support the development of communications strategies for REDD+ and provide technical guidance to implement the communications strategies.
- Demonstrates comprehensive understanding and knowledge of the current guidelines and project management tools and utilizes these regularly in work assignments

Global Leadership and Advocacy for FCPF's Goals: Analysis and creation of messages and strategies
- Creates effective global advocacy messages/strategies
- Contributes to the elaboration of a global advocacy strategy by identifying and prioritizing audiences and messages
- Performed analysis of political situations and scenarios, and contributes to the formulation of institutional responses
- Uses the opportunity to bring forward and disseminate materials for global advocacy work and adapts it for use at country level
-

Client Orientation: Contributing to positive outcomes for the client
- Anticipates client needs
- Works towards creating an enabling environment for a smooth relationship between the clients and service provider

- Demonstrates understanding of client's perspective
- Keeps the client informed of problems or delays in the provision of services
- Uses discretion and flexibility in interpreting rules in order to meet client needs and achieve organizational goals more effectively
- Solicits feedback on service provision and quality

Accountability
The technical specialist will work under the general guidance of and report to the National project coordinator and working very closely with Regional Technical Advisor.

Recruitment Qualifications
Education:
- Master degree in Natural Resource Management, climate change, international development, or other relevant discipline.
- Minimum Ten years of working experience in Climate Change, REDD+, forestry, natural resource management and/or community development, with experience in Kenya and other African countries;
- Knowledge of UNDP policies and procedures and of developing and experience implementing UNDP environment projects at the country level, including quality assurance processes and Social and Environmental Standards screening;
- Track record of timely delivery of environment-related projects in a developing country context, including the design and implementation of monitoring and evaluation processes;
- Experience of working in multinational teams to implement programmes involving multiple stakeholders and different funding and implementing agencies;
- Knowledge on the UNFCCC negotiations, decisions and guidelines for national systems in the context of REDD+, as well as national and international best practices within REDD+ and other natural resource management initiatives.
- At least 5 years of expericence working with marginalised communities, civil society and other non state actors
- Experience working with government and UN procedures is an asset

Language Requirements

Fluency in written and spoken English

2. Project Manager

Terms of Reference
Job title: Project Manager
Contract type: service contract/Individual contract: NC-C
Contract duration: Initially one-year, renewable subject to satisfactory performance

Background

The Project Manager will be locally recruited following UNDP's procedures. The Project Manager will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors. The Technical

Coordinator Project Manager will report to the National Project Coodinator in close consultation with REDD+ Technical Specialist, UNDP REDD+ Regional Techical Advisor, UNDP Programme Manager for all of the Project's Technical and administrative issues. From the strategic point of view of the Project, the Project Manager will report on a periodic basis to the Project Executive Board (Project Advisory Team). Generally, the project manager will support the Project Coodinator who will be responsible for meeting government obligations under the Project, under the NIM execution modality. The Project Manager will perform a liaison role with the government, UNDP and other UN agencies, CSOs and project partners, and maintain close collaboration with other donor agencies providing co-financing.

Specific responsibilities include:
- Develop annual and quarterly work plans and operational budgets and ensure timely submission of these documents to the NPC for obtaining approval from the Project Executive Board (Project Advisory Team) ;
- Supervise the implementation of all components, activities and tasks in line with the corresponding work plans and budgets;
- Supervise the management of the programme budget and ensure delivery of budget as per approved work plans;
- Manage the day-to-day operations of the PMU including the supervision of PMU personnel and contracted PMU consultants/experts and subcontractors;
- Supervise and coordinate the production of project outputs, as per the project document in a timely and high quality fashion.
- Coordinate all project inputs and ensure that they are adhere to UNDP procedures for nationally executed projects.
- Supervise and coordinate the work of all project staff, consultants and sub-contractors ensuring timing and quality of outputs
- Oversee and finalize terms of reference (TOR) for national and international consultants/experts and subcontractors;
- Recommendation and clearance of transactions under the programme, as directed by the NPD;
- Ensure the timely submission of reports, outputs and other deliverables to NPC for review and evaluation, and submission to the PEB and the multi-stakeholder National REDD+ Taskforce;
- Prepare and ensure prompt submission of required technical and financial reports to UN Organizations; recommending appropriate measures for enhancement of efficiency and effectiveness and endorsing the same to the NPD for review/integration and eventual presentation to the PEB/National REDD+ Taskforce;
- Develop and implement monitoring and evaluation mechanism for financial, administrative, and operational activities and ensure timely submission of progress and financial reports;
- Ensure coordination of programme activities and effective communication with all stakeholders to facilitate smooth implementation of the programme;
- Identify and monitor issues and risks regarding the delivery of programme outputs and activities and recommend remedial actions to the NPC, PB and National REDD+ Steering committee, as appropriate; and
- Oversee the stakeholder engagement process in the REDD+ readiness phase;
- Oversee and manage inter and intra working relationships with the PEB, National REDD+ steering committee, REDD+ Stakeholders including Anti-corruption Taskforce on REDD+, and Technical Working Groups; and

- Coordinate with Communications Officer to deliver key messages and lessons to key stakeholders, including policy makers, institutions, civil society, and development partners.

Specific M&E responsibilities include:
- Monitor project progress and participate in the production of progress reports, ensuring that they meet the necessary reporting requirements and standards, including based on the inputs from all project partners;
- Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and develop project-specific M&E tools as necessary;
- Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;
- Oversee/develop/coordinate the implementation of the stakeholder engagement plan;
- Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
- Facilitate mid-term and terminal evaluations of the project; including management responses;
- Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;
- Support M&E and learning missions;

Accountability

The PM will work under the general guidance of and report to the National Programme Director. The PM is accountable to both the Ministry of Environment and forestry and UNDP for the overall management of the Programme and timely delivery of results.

Required skills, expertise and competencies

Education and eperience
- Master's degree in a subject related to natural resource management, climate change, or environmental sciences.
- At least 10 years of professionl experience in climate change, forestry, natural resource management and REDD+.
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national institutions that are concerned with natural resource and/or environmental management.
- At least 5 years of expericence working with marginalised communities, civil society and other non state actors
- Experience working with government and UN procedures, including its financial systems, is an asset

Functional Competencies
- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.

- Ability to coordinate and supervise multiple Project Implementation workstreams
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Treats all people fairly without favouritism and with integrity
- A good understanding of M&E procedures.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
- Strong knowledge about the political and socio-economic context related to the rights based forest conservation, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English, Swahili and other relevant local languages.

Expected Results/Deliverables:
- The REDD Programme is effectively and efficiently implemented in a transparent and accountable manner, in accordance with all applicable rules and regulations of the Government of Kenya and the UNDP
- Quarterly and Annual Work Plans are submitted, on time, to the PEB/ National REDD+ Taskforce for approval.
- Quarterly, semi-annual and annual financial and technical reports, including risks and issues to be addressed, of the REDD Programme submitted to and approved by the NPD, Project Executive Board (Project Advisory Team) and UNDP

3. **The Stakeholder Engagement and Safeguards Specialis**t

Terms of Reference
Job title: Stakeholder Engagement and Safeguards Specialist
Contract type: service contract/Individual contract: NC-B
Contract duration: Initially one-year, renewable subject to satisfactory performance

The Stakeholder Engagement and Safeguards Specialist is an expert in mobilizing multiple stakeholders to achieve a common development goal in Kenya and with a good track record of working with the land and forestry sector at   international organizations in a related area. Further s/he will ensure the quality and timely preparation of all reports and documentation related to the consultancy.

The Stakeholder Engagement Specialist will carry out the following tasks:

Support implementation of stakeholder engagement activities in the FCPF- REDD National Programme in Kenya
- Support development of strategies that are gender balanced and will enable the full and effective participation of key stakeholders such as government institutions in national and devolved governments, forest-dependent communities, Marginalised communities, private sector, Non-governmental Organizations and Civil Society Organizations;
- Support, maintain and update information and tools that will facilitate effective stakeholder participation such as, but not limited to, stakeholder and network mapping and analysis;
- Support the development and application of safeguard mechanisms, in particular social

safeguards including, but not limited to, a national Free, Prior and Informed Consent guideline and application toolkit;
- Support the development of an appropriate grievance mechanism for complaints and concerns arising from the programme/ project; and
- Support effective stakeholder engagement in other activities where necessary, such as, but not limited to, Community-Based REDD+, Monitoring, Reporting and Verification (MRV) and Measurement.

Provide support to coordination processes to national team, institutional partners and stakeholders
- Support representation and organisation of key stakeholders such as, but not limited to, Civil Society Organisations (CSO) Platform, Forest Dependent Communities Forum, private sector;
- Ensure CSO and Forest dependent representatives in the project board are regularly updated on stakeholder engagement related issues by coordinating effectively with their constituencies; and
- Liaise with key stakeholders to ensure the needs and concerns are appropriately addressed in the work of the project implementation.

Support knowledge generation and sharing events on stakeholder engagement
- Coordinate with the Communications Officer to ensure the availability and accessibility of information to enhance awareness and capacity among key stakeholders; and
- Coordinate with the Communications Officer to synthesize lessons and encourage uptake of best practices and knowledge on stakeholder engagement.

Expected Outputs

The key outputs to be delivered by the Stakeholder Engagement Specialist are as follows:
- Support implementation of engagement activities in Kenya
- Provide support coordination processes to national team, institutional partners and stakeholders
- Support national knowledge generation and sharing events on stakeholder engagement.

Competencies

Technical work
- Good knowledge of stakeholders consultations and engagement on land and forestry policies, planning in Kenya;
- Specific understanding of the concept and practice of REDD+, and broad knowledge of climate change;
- Capacity to work with multiple stakeholders across a wide range of disciplines including the National Land Commission, Forest dependent communities, County governments, National Government institutions,
- Proven work experience in the government especially in mainstreaming of climate change adaptation and mitigation in national and county planning
- Good understating of the national climate change policies and strategies as well the various international conventions and treaties that REDD+ and other climate change mitigation strategies in the country
- Demonstrated leadership, facilitation and coordination skills, ability to manage technical team and long term strategic partnership; and
- Demonstrated networking, team-building and organizational skills
- Excellent communication (both oral and written) and partnership building skills with multi-dimension partners, people skill for conflict resolution and negotiation;

- Computer proficiency, especially related to professional office software packages (Microsoft Office);

Partnerships
- Maturity and confidence in dealing with the staff of government institutions and private sector;
- Ability to seek and apply knowledge, information and best practices from multiple sectors;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Excellent written communication skills, with analytic capacity and ability to synthesize relevant collected data and findings for the preparation of case studies and progress reports;
- Excellent coordination skills and result oriented collaboration with colleagues – especially for this case the private sector and government officials.

Results
- Promotes the vision, mission, and strategic goals of UNDP;
- Build strong relationships with clients, focuses on impact and result for the client and respond positively to feedback;
- Good team player who has ability to maintain good relationships.

Required Skills and Experience

Education:
- An advanced degree in development, community development, international law, international affairs development policy, environment, forestry, natural resource management or gender - relevant professional experience can be considered in lieu of advanced university degree

Experience:
- At least 6 years of professional and practical experience in social forestry, natural resources management, Land sector reforms or mainstreaming climate change in development planning
- Experience in participatory approaches and stakeholder engagement;
- Working experience with united nations will be an added advantage

Languages:
- English with Swahili.

4. **Project Finance and Procurement Officer / Accountant**

Under the guidance and supervision of the project manager, the Project Finance and Procurement Officer/ Accountant will have the following specific responsibilities:
- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Technical Coordinator;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and Gok financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;
- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);

- Review annual budgets and project expenditure reports, and notify the project manager if there are any discrepancies or issues;
- Consolidate financial progress reports submitted by Project partners for implementation of project activities;
- Liaise and follow up with the Project partners for implementation of project activities in matters related to project funds and financial progress reports.

Required skills, expertise and competencies
- A Bachelor's degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in local languages.

5. Communications Officer

Job Title: Communications Officer
Contract Type: UNV
Duration: One year renewable (Until December 2020)

Functions / Key Results Expected

Summary of key functions:
- To lead in ensuring that information on the National REDD+ Programme is communicated effectively to other stakeholders in Kenya and internationally.
- Develop a communication, consultation and participation strategy for the National REDD+ programme
- Set up and develop communication tools and information for the national readiness process
- Coordinate engagement with the media and act as a focal point for enquires
- Support the PMU in other relevant activities.

1. Development of a communication, consultation and participation strategy for the National REDD+ programme
- Mapping of the different methods and outlets of communications;
- Mapping of different activities being undertaken by key stakeholder groups related to REDD+;
- Development of a calendar of relevant events;
- Identify different ways in which stakeholder groups can be engaged and the most appropriate approaches to sharing information, consulting and supporting participation on and in the programme;
- Work with different stakeholder groups in the development of a comprehensive communication, consultation and participation strategy

2. Set up and develop communication tools for the national readiness process more broadly.
- REDD+ Web site (oversight of development, responsible for maintenance)
- Monthly programme updates

- Media broadcasts or other communication outputs

3. Manage the implementation of the communication, consultation and participation strategy, including:
- Coordinate with other organisations and initiatives in the dissemination of information on the National REDD+ programme;
- Provide regular updates on National REDD+ Programme progress to stakeholders at the sub-national, national and international level;
- Lead in the design and production of key outputs and their dissemination to stakeholders;
- Develop and review quality of outputs intended for wider circulation produced by consultants or other contracted entities;
- Develop and translate information for distribution to key stakeholder groups;
- Work closely with the consultation and participation technical working group to identify communication needs and lead the development and updating of the communication, consultation and participation plan;
- Ensure the transparency and availability of the information to the various stakeholder groups
- Develop communication materials that can reach the different stakeholders group on the different issue (policies and measures, MRV, benefit distribution system etc.);
- Share knowledge on REDD+ by documenting lessons learnt and best practices from the REDD+ piloting and contributing to the development of knowledge based tools (including policies, strategies, guidelines, etc.);
- Utilize UNDP Kenya's social media presence to build and maintain the profile of the FCPF project, including the provision of blogs and news articles for use in print and social media channels.

4. Support the PMU
- Assist in preparation of project workplan;
- Support the preparation of minutes for wider circulation, and translate and interpretation for foreign project staff and consultants when required;

Impact of Results

- It is anticipated that the work of the communication officer will have the following impacts:
- A broad range of stakeholders relevant to REDD+ are aware of the National REDD+ programme and the role of the FCPF project within this
- Information on the National REDD+ programme is easily available to majority of stakeholders
- Processes for stakeholder engagement are developed in line with the principles listed within the REDD+ Roadmap as well as guidance provided by the REDD+ Programme
- Communication and consultation processes developed through the National REDD+ programme is effectively coordinated with other initiatives

Competencies
values
- Integrity/Commitment to mandate: Maintains consistent values and performance standards and expresses UN core values in all functions and roles. Exercises critical judgment in analyzing institutional directions, procedures, and guidelines in order to contribute to the improved fulfillment of the mandate.

- Valuing diversity: Demonstrates inclusive behavior towards all colleagues and stakeholders, successfully developing cross-cultural relationships. Adapts programme project implementation to take account of the political, religious and cultural context. Actively promotes gender equity in all programme activities as well as in office management.

Managing Relationships

- Working in teams: Promotes teamwork and harmony collaborating with team members integrating others' ideas into his/her thinking. Leverages the different experiences and expertise of members to achieve better, more innovative outcomes.
- Working in teams: Promotes teamwork and harmony collaborating with team members integrating others' ideas into his/her thinking. Leverages the different experiences and expertise of members to achieve better, more innovative outcomes.
- Communicating information and ideas: Encourages open communication in the team demonstrating the ability to see issues and situations from team members' perspective. Frankly expresses ideas and concerns and encourages dialogue to develop an optimal solution without jeopardizing rapport with colleagues.
- Conflict and self management: Surfaces conflicts and addresses them proactively acknowledging feelings and views of all sides and redirecting energy towards a mutually acceptable solution. Creates a climate of enthusiasm and flexibility where people feel encouraged to be innovative and give their best.

Personal Leadership and Effectiveness

- Demonstrates comprehensive knowledge of information technology and applies it in work assignments
- Results orientation commitment to excellence: Ensures that work methods and processes are effective and appropriate for the achievement of desired results and seeks ways to maximize the efficient use of resources.
- Redirects staff activities to ensure timely completion of workplan using tact and sensitivity.
- Appropriate and transparent decision making: Makes decisions in a fair, transparent and expeditious manner in light of available information and commits to a position

Personal skills

- Excellent communication, writing and drafting skills required.
- Able to work and follow-up independently
- Diplomacy, tact and patience
- Ability to focus on a variety of tasks within a deadline-driven environment
- Ability to communicate and work closely with a variety of people within a multicultural environment
- Takes initiative/self-starter
- Ability to work under stress
- Strong work ethic and commitment
- Concise and analytical thinking
- Organized and resourceful
- Team player

Required Skills and Experience

Education:
- University degree (Masters' preferable) in communications, Journalism, Publishing or related fields.

Experience:

- 5 years' experience at national and international level in public relations, communications and advocacy.
- Experience in medial campaigns, website management and social media management
- In depth knowledge of the local and international media represented in Kenya
- Understanding of development paradigms, socio-political situation of Forestry issues in Kenya
- International experience an asset, especially with the United Nations System.

Language Requirements:
   Fluency in English and Kiswahili
   Excellent writing and oral skills in English and Kiswahili

6. Monitoring and Evaluation officer (UNV)

Job Title: Monitoring and Evaluation officer
Contract type: Service contract/Individual contract: NC-B
Contract duration: Initially one-year, renewable subject to satisfactory performance

Duties and Responsibilities

Project Planning and implementation
- Participates actively in the planning of project activities and drawing up of the annual work plan.
- Implements project activities in collaboration with all partners, staff and consultants

Monitoring and Evaluation
- Develops and monitors the project's monitoring and evaluation plan.
- Develops the criteria for the project evaluation, including its impact and sustainability.
- Prepares progress reports for all monitoring and evaluation, identifying problems and their causes, future obstacles, and recommendations
- Promotes a results-based approach for monitoring and evaluation, emphasizing results and impact.
- Carries out monitoring visits to all project sites on regular basis; surveying the intended beneficiaries and other stakeholders.
- Assists in drawing up target key performance indicators.
- Provides Project status reports.
- Develops a quality management plan to assure how quality will be measured throughout the lifecycle of the project.
- Develops a risk management plan explaining potential risks and how they will be mitigated.
- Documents lessons learned and provide recommendations to the Project Team, Steering Committee, UNDP Management and stakeholders on strategies to improve M&E related component and activities.
- Reports on proceeds and results of seminars, workshops and training activities.

Competencies
- Solid understanding of business practices and understanding of project management methodologies.
- Very strong planning, system development and organizational skills including results based approaches.

- Solid understanding of business practices and understanding of project management methodologies.
- Excellent technical skills in project performance assessment.
- Experienced in the design and implementation of M&E system, preferably in the public sector.
- Experienced in conducting training and facilitation of M&E activities.
- Excellent communication, presentation, negotiation and facilitation skills.
- Excellent inter-personal skills; good communicator at all levels from political decision-makers to grassroots communities.
- Excellent analytical and planning skills (including financial); ability to set forecasts and refine/review them in the light of experience and further analysis.
- Broad experience working with county governments and national government
- Decisiveness, independence, good judgment, ability to work under pressure.
- Excellent networking and partnering competencies and negotiating skills.
- Ability to use information technology as a tool and resource.

Minimum Qualifications and Experience:
- At least 5 years of experience in the design and implementation of M&E/MIS in development projects implemented by national, international NGOs, UN bodies and Government.
- Proven experience with project, strategic, risk, quality and performance management approaches.
- Experience in designing tools and strategies for data collection, analysis and production of reports.

Education:
University degree (Masters' preferable) in Business Management, Public Administration, Social Sciences, Statistics, Financial Management, Economics or any other related field,

Language requirements:
Fluency in both English and Kiswahili

Computer skills:
Excellent knowledge on standard word processing, spreadsheets and presentations. Experienced user of web browsers and MS Office.

XI.   ANNEX SIX: MINUTES F THE LOCAL PROJECT APPRAISAL COMMITTEE (LPAC)

Minutes of The Local Project Appraisal Committee (LPAC) Held On 24th May, 2018 At the Safari Park Hotel, Kenya

PRESENT

Stakeholder constituency	Name of institution	Representative
Government	1. Ministry of Environment & Forestry 2. National Treasury, 3. Kenya Forest Service	1. Mr. Gideon Gathara Ms. Purity Kendi Mr. Peter Muiga Mr. Ali Mohamed 2. Ms. Peninah Mukami 3. Mr. Alfred Gichu
County Government representative	4. The Council of Governors 5. Narok County 6. Elgeyo Marakwet County	4. Ms. Zipporah Muthama 5. Mr. Patrick Twala 6. Dr. Abraham Barsosio & Mr. Paul Yatich
Independent commissions	7. National Land Commission 8. National Gender and Equality Commission 9. Kenya National Human Rights Commission	7. Dr. Clement Lenachuru 8. Ms. Tabitha Nyambura 9. Mr. Martin Pepela
Marginalised communities' representatives	10. Expert on women and gender issues in respect to climate change and indigenous peoples issues 11. Representative of the Elgon forest block 12. Representative of the Samburu Forest block 13. Representative of the Pastoralist communities (Kajiado) 14. Representative of the Yaaku Community in Mkogondo Forest block 15. Representative of the Boni Forest block 16. Representative of Baringo region 17. Sengwer Community- Embobut Area Chief	10. Ms. Edna Kaptoyo 11. Mr. Martin Simotwo & Peter Kitelo 12. Ms. Jane Meriwas 13. Ms. Elizabeth Mariabe 14. Mr. Manase Matunge 15. Mr. Mohamed Kitete 16. Mr. Kipsang Kipkazi 17. Mr. Cheboi Kanda

	18. Sengwer Community Elder	18. Mr. Chesir C Benjamin
	19. Sengwer Community youth	19. Jacob Komen Biwott
National alliance for community forest associations (NACOFA)	20. North Rift Block representative	20. Ms. Tecla Chumba
	21. Central and Mt Kenya region representative and national Secretary	21. Ms. Ziporah Matumbi
	22. National Chairman	22. Mr. Peter Wandera
FCPF observer	23. Africa indigenous people's observer	23. Mr. Elijah Toirei
Anti-corruption	24. Transparency International Kenya	24. Mr. Psamson Nzioki
Civil society	25. Pan African climate Justice Alliance	25. Mr. Obed Koringo
	26. East Africa wildlife society	26. Mr. Charles Mwangi
	27. Kenya Forest Working Group	27. Mr. Jackson Bambo
	28. ICCA network	28. Dr. Julius Muchemi
UNDP	29. County Director OIC	29. Ms, Catherine Masaka
	30. Head of programmes	30. Ms. Sheila Ngatia
	31. Senior RTA	31. Ms. Elsie Attafuah
	32. EECCU Team Leader	32. Mr. David Githaiga
	33. FCPF Technical Consultant	33. Ms. Judy Ndichu
	34. Stakeholders Engagement Specialist	34. Ms. Anne Martinussen
	35. POMU Team leader	35. Mr. Jackson Mukiri
	36. Programme Analyst	36. Dr. Zeinabu Khalif
	37. NDC and Gender specialist	37. Ms. Fatuma Mohamed

ABSENT WITH APOLOGIES
1. Mr. Daniel Kobei- Marginalised Community Representative (Ogiek of Mau)
2. Mr. Yator Kiptum -Marginalised Community Representative (sengwer)
3. Mr. Stanley Kimaren – Marginalised Community Expert Representative
4. Ms. Alice Lesipen - Marginalised Community Representative from Northern Region
5. Mr. Suresh Patel – Private Sector Representative

AGENDA ITEMS
Preliminaries
1. LPAC purpose and objectives
2. Remarks by UNDP Country Director and Ministry of Environment and Forests Principal Secretary
3. Presentations
   a. Overview of REDD+ and experiences from other African Countries and UNDP due diligence process on the proposed FCPF REDD+ Readiness project for Kenya

      b. Project document presentation
4. Discussions and recommendations
5. Way forward

Preliminaries:
The meeting started at 1000hrs, with a word of prayer from Ms. Tecla Chumba followed by a round of introduction of all participants. The meeting was co-chaired by the Country Director (OIC) and the Conservation Secretary Ministry of Environment and Forestry.

Min 1/2018: Local Project Appraisal Committee Meeting (LPAC) Objectives
Mr. David Githaiga -UNDP Energy Environment and Climate Change Team leader welcomed all the participants and highlighted the objective of the LPAC meeting. Importantly, he informed the meeting that the Local Project Appraisal Committee -LPAC is one of the project design process required by UNDP programming policies and standards. Further, he noted that it is one of the important steps required to ensure that the proposed project is in line with national development priorities, and to ensure national ownership. He reiterated that LPAC is one of the processes that is audited by the Government of Kenya and UNDP. He informed the meeting that the design of the proposed REDD+ project had been a very extensive and lengthy process that had taken about one and half years. He reported that LPAC is the last crucial step that provides an opportunity for the national stakeholders to review and endorse the proposed project, before it is signed off for implementation by both the Government and UNDP.
He then invited representatives of the UNDP Country Director and the Principal Secretary-Ministry of Environment and Forestry to make opening remarks.

Min 2/2018: Opening Remarks
From: UNDP Country Director (Officer In charge)
Ms. Catherine Masaka on behalf of UNDP Country Director, welcomed all the participants and thanked the Government of Kenya for continued support accorded to UNDP. She reported that in 2016, UNDP received a request from the Government of Kenya and the World bank to be a Delivery Partner for the Forest Carbon Partnership Facility (FCPF) grant for Kenya.

She emphasized on the importance of forests in achieving sustainable development. She however noted that the world forest resources are disappearing and called for a concerted effort in addressing the challenges of emissions from deforestation and forest degradation (REDD+) because it is critical to the achievement of the 2030 Agenda for Sustainable Development., She further noted that REDD+ contributes to the achievement of the Paris Agreement; which recognizes the importance of adequate and predictable finance, including results-based payments, for the implementation of REDD+. In her address she emphasized on the following key issues:
1. Stakeholder engagement is essential for the sustainability of the REDD+ process. In line with this, she identified the need to develop and implement effective multi sectoral approaches and stakeholder engagement processes, which brings different sectors and actors with various interests together. Notably, local communities, Independent Constitutional Commissions, private sector, key Government Ministries and research institutions amongst others. She called for support and commitment of all stakeholders and partners in making this a reality.
2. REDD+ offers an opportunity to integrate climate change into key national development processes. Hence, the need for the creation of enabling policy, regulatory and legal conditions, including institutional reforms and strengthening to address drivers of deforestation and forest degradation.

3. Support to systematic capacity building programmes to ensure effective REDD+ implementation.

In addition to the above, the Country Director-o.i.c pointed out that while REDD+ offers a great opportunity and a platform for different stakeholders to dialogue and define a common pathway, it cannot solve all problems in the forestry sector in Kenya today. She informed the meeting that once the project is approved, UNDP Kenya will continue to leverage on existing knowledge, expertise and lessons from other countries where UNDP has successfully supported the REDD+ readiness process.

She appreciated the taskforce members for their dedication and support in drafting the project document together with the UNDP team, she thanked all participants for their attendance and wished then fruitful deliberations.

From: **Conservation Secretary – Mr. Gideon Gathara on behalf of the Principal Secretary Ministry of Environment and Forestry**

Mr. Gathara gave apologies for the Principal Secretary Ministry of Environment and Forests and thanked the participants for their continued support and commitment towards REDD+ project. He appreciated the extensive consultations that had been conducted and thanked UNDP for steering the process. He noted that the government is committed to support dialogue to address the existing challenges within the forestry sector. He pointed out that through the REDD+ project, the Ministry will engage all stakeholders; which will go a long way in contributing to sustainable management of the forest resources in Kenya.

He noted that Kenya is experiencing serious natural calamities attributed to climate change especially due to forest degradation. A good example being the recent drought that hit the country so badly followed by the current floods that have claimed very many lives and caused destruction of properties. He informed meeting that the government, in quest of addressing forest degradation, has initiated a moratorium and a National Taskforce on forest management which has developed recommendations to address the challenges.

He informed the meeting that Kenya has expressed interests in participating in REDD+ Mechanism nine years back in 2009 because REDD+ supports a country to address forest deforestation and degradation. He thanked UNDP for the willingness to spearhead the process and commended the best practices achieved through UNDP in other countries. He encouraged all partners to come on-broad to address forest degradation.

In his closing remarks, he reported that the Ministry of Environment and Forestry is pleased with the milestones achieved so far and is committed to supporting the implementation of the REDD+ project. With those remarks he declared the meeting officially opened and wished the participants productive deliberations.

Min 3/2018: Presentations
1. **Overview of the REDD+ and UNDP strategic approach by Elsie Attafuah – UNDP Senior Regional Technical Advisor REDD+**

Ms. Elsie provided the background and context of the REDD+ project. Most importantly, she noted that for a country to be REDD+ ready, a National Strategy, Forest Reference Emission Level, Safeguards Information System (SIS) and a National Forest Monitoring System must be put in place.

She noted that REDD+ is implemented in three main phases starting with readiness, full implementation and finally results based payment. She highlighted that the role of UNDP in Kenya, will be to provide strategic policy direction and technical advisory services. She also shared on the due diligence process undertaken by UNDP since 2016 when UNDP received the request to be the Delivery Partner. She informed the meeting that UNDP had worked with a 28-member taskforce committee drawn from different stakeholders, in drafting the project document which

has also been reviewed and technically cleared by UNDP including human rights experts and FCPF focal point.

2. **REDD+ project document   by Ms. Judy Ndichu (UNDP), Mr. Elijah Toirai (MPIDO), Charles Mwangi (EAWLS) and Mr. David Githaiga (UNDP)**

The project document was presented by UNDP and members of the Taskforce. The presentation highlighted the background, strategy, theory of change, proposed results and activities, risks and mitigation measures identified, stakeholder's engagement and partnerships, resources required, project management and governance arrangements. The meeting was informed that the project document had been drafted in a very consultative way and had incorporated views and recommendations from all the stakeholders. Recommdeations and proposals were provided both in writing by stakeholders to UNDP and during the meetings held in Nairobi, Nakuru, Naivasha and Eldoret.

Min 4/2018: Discussions and Recommendations

Following these presentations on the project document, participants provided the following feedback and recommendations:

Institution and representative	Feedback and recommendations
Kenya National Commission on Human Rights - KNCHR- Mr. Martin Pepela	He commended UNDP for leading the delicate and very involving consultation process. He noted that the Commission had reviewed the project document and confirmed that the proposed project, and approach applied in developing it had taken into account human rights based programming. He noted that the project had put into considerations the rights of all communities as provided in various statutes and international practices. He emphasized on the need to protect the rights of all communities throughout the implementation process. He informed the meeting that the Commission had endorsed the project and is committed to be part of the implementation.
National Land Commission- Dr. Clement Lenachuru	He informed the meeting that UNDP had reached out to the Commission and many other stakeholders, before UNDP could confirm the Delivery Partner role. He commended UNDP for taking a consultative approach in designing the project which had taken more than one year and acknowledged the wide consultations conducted. He mentioned that this is a model that should be documented and replicated particularly in the natural resources and conservation sector. He emphasised that REDD+ is a people centred approach, that if implemented in Kenya will go towards addressing deforestation and forest degradation. He mentioned that the Commission had reviewed and approved the project to take off and encouraged all stakeholders to work together to develop the next steps required for smooth implementation of the project. He further emphasized on the need to implement a project that would sustain the environment, livelihoods and the future generation. He confirmed that the Commission is supportive of the process and was ready to endorse the project.
County government of Elgeyo Marakwet – Dr. Abraham Barsosio (CEC)	He appreciated UNDP for leading the consultation process and for involving the County Government of Elgeyo Marakwet. He informed the meeting that the County, both the Assembly and the Executive had reviewed the project document, and had confirmed that it proposes to enable the country to be REDD+ ready and to support dialogue process that will lead to sustainable conservation of forest resources. He

	informed the meeting that his office was also working with all communities in the county in resolving the long existing challenges. He pointed that the county leadership is committed to conserving the forest resources in the county for the present and future generations. He affirmed that the county is ready to support implementation of the REDD+ process proposed by the project. He requested UNDP to support the County Government of Elgeyo Marakwet in capacity building and facilitating the county to put in place legislations that will enable the county resolve existing challenges with the Sengwer and other communities living in the areas.
Embobut member of County Assembly (MCA) Mr. Paul Kipyatich	The MCA appreciated UNDP for reaching out to the wide range of stakeholders. He appreciated UNDP for having consulted with the County Assembly of Elgeyo Marakwet and informed them of the letters received from a section of Sengwer community requesting UNDP to suspend the project. He reported that after review and presentation of the project document to the Joint Committee of the County Assembly, the County Government confirmed that the project was supporting the country in REDD+ readiness. He confirmed that the project had upheld the human rights principles and therefore the county had approved the project. He invited all stakeholders to support the project. He informed the meeting the forest had been converted into open land and community there are farmers. He mentioned that while there are land issues in Embobut, the forest had been destroyed and communities are suffering due to drying of rivers and loss of livelihoods. He requested UNDP to support the county to work with communities so that they restore the forests, rivers and enhance their livelihoods. He requested UNDP to confirm with the county leaders on future communication from the Sengwer community and the civil society organisations working on issues of Embobut forest. He informed the meeting that it is impossible for evictions to take place in the area and the County Assembly representatives and leaders are not informed.
Yaaku community representative – Mr Manasseh Matunge	Mr. Manasseh noted that the Yaaku community was in support of the project. He thanked UNDP for engaging them since inception of the process and recognized the transparency and sustained communication by UNDP. He referred to letters written by the Sengwer community asking UNDP to suspend the project. He noted that the Sengwer representative had been involved since inception and had been given the opportunity to give inputs and recommendations throughout the project drafting process. He expressed concern, that even after the taskforce had made recommendations and decisions on progress of the project, some individuals still went back and wrote letters to UNDP. He asked the Sengwer representatives to always bring the issues to the Project Executive Board moving forward and requested to UNDP include the recommendations in the project document for continued transparency and accountability. He emphasised that communities had been consulted and had jointly drafted the project with UNDP for the whole country and not for one community in Kenya. He further emphasised that while the LPAC should not dismiss the issues raised by the Sengwer community, it should be noted that it is not within UNDP's Mandate to issue title deeds and secure land rights of any community, but of the Government of

	Kenya. He added that UNDP as per UN policies and standards, does not finance any evictions in Kenya. He asked the Sengwer community to stop accusing UNDP wrongly. He informed the meeting that, demands to UNDP by any community to suspend projects until these communities and the government of Kenya agrees on tenure rights was insincere and unattainable since the REDD+ project is not solely about land rights. He pointed that REDD+ readiness process can only provide a platform where land rights discussions and dialogue can be held between communities and relevant authorities. In conclusion, he requested the LPAC to endorse the project.
National Community Forest Association Alliance – NACOFA – Mr Peter Wandera	The National Community Forest Association Alliance had been included as part of the taskforce drafting the project document. He encouraged all stakeholders to work together for the benefit of all communities most of whom are still living below the poverty line and directly depend on the forests for their livelihood. He congratulated UNDP for maintaining the consultation with all communities in every stage, bringing all community's representatives to the decision-making process on what to be covered by the FCPF project and how the implementation will be undertaken. He informed the meeting that NACOFA had agreed to endorse the project and asked the LPAC to approve the Project Document.
Ms. Zipporah Matumbi	She informed the meeting that deforestation is ongoing in the country and causing suffering among communities living adjacent to forest who often lack capacity and support to implement conservation plans. She noted that the Project Document had clearly articulated problems and proposed the REDD+ mechanism presents an opportunity for these communities to re-look on measures, policies and mechanisms to better manage forests especially for women- who are often bearing the burden of providing food and firewood to their families. She applauded UNDP for taking a consultative approach in line with UNDP policies, in designing the Project Document. She requested members of the LPAC to approve the project.
Ms. Tecla Chumba	She informed the meeting that Kenya had waited for more than eight years to initiate the REDD+ readiness process. She informed the meeting that the Project Document had been consulted on extensively, had incorporated all feedback provided by all communities including the marginalised communities. Importantly, UNDP had demonstrated that it is possible for communities and marginalised communities to participate and contribute to a national process. She informed the meeting that it took communities by surprise to see UNDP request for eleven members of the marginalised communities and three members form NACOFA to be part of the National team that was to draft the Project Document. She recommended the Ministry of Environment and Forests and UNDP for taking this approach. She informed the meeting that the REDD+ process comes at a time when the forest resources destruction had also attracted the attention of the National Government. She pointed that the National Taskforce on Forest Management, had made various recommendations on how to conserve the forests. She particularly highlighted that among these recommendations, the government had proposed to completely suspend

	Plantation Establishment and livelihoods investment system (PELIS), which will affect very many communities and contribute to food insecurity. She identified the REDD+ project that will enable the government and communities to re-design a model that would work for both communities and conservation of forests. She hence requested all stakeholders present to approve the project as it will go a long way in enabling the government in implementing key recommendations for better management of forest resources.
Chief Maron - representative form sengwer Community- Mr. Kanda Cheboi	He confirmed that the Project Document is in line with the national priorities. He informed the meeting that although the County of Elgeyo Marakwet is ranked second in forest cover, unfortunately, like other counties, it is facing very many drivers of deforestation and forest degradation as identified in the Project Document. He informed the meeting that the Sengwer community living in Embobut are supporting the project. He reported that he has learnt that there are a few individuals that had written letters to Development Partners to suspend development projects citing human rights violation and evictions. He informed the meeting that as the area chief and as the elders they had not been consulted when the letters were written. He pointed out that those who wrote the letters do not live in Embobut as they indicate in the letters, and that they did not consult with communities and the area leadership when they wrote to oppose development projects. He informed the meeting that the Sengwer as a community had not agreed on the suspension of the project, and requested UNDP to prepare for a meeting at Embobut, once implementation starts, so that the project stakeholders can from the onset engage the genuine community representatives and communities living in Embobut. He informed the meeting that communities had not been informed of the project content as presented by UNDP. He informed the meeting that through his office he will organise community Barasa and meetings to inform the community that REDD+ is a national project that supports development of a national strategy for better management of the country's forest resources and that it does not finance evictions.
Mr. Jaco Biwot	In addition to sentiments from the Area Chief, he requested UNDP in future to confirm with the area leadership including the County Government, area Chief and area Member of County Assembly on letters written by individuals and representatives requesting UNDP to suspend the project. He informed the meeting that those writing the letters do not live in Embobut and are pushing for their individual interests and not the community. He pointed that while like any other community in Kenya the Sengwer community live in many areas and not only in Embobut - where they claim there are ongoing evictions. He noted that the leaders of these groups writing letters to suspend the project live in Transnzoia County- Kitale and Eldoret and not Embobut. He informed the meeting that while as part of the community fighting for land rights, the approach being used by the Sengwer indigenous people of Embobut and Sengwer indigenous people of Cherengany is not approved and accepted by the community. He requested communities to raise their concerns with the Government of Kenya and not Development Partners.

	He emphasized on the need to empower the community to understand better the importance of conserving forests. He noted that the project being a national project, UNDP and Development Partners may not be in position to consult every individual in Kenya but through representatives. He noted that, it was unfortunate that representatives do not get back the message to the community. He recommended stakeholders to approve the project.
Indigenous people expert - Ms. Edna Kaptoyo	She observed that the project had been developed in line with UNDP programming approaches and had included both local and marginalised communities in the design of the project. She informed the meeting that the Indigenous community globally had come a long way in advocating for such opportunities to participate in decision making processes. She requested communities not to abuse the same policies that they had advocated for globally. She pointed that the right to be consulted and involved in national processes had been respected by UNDP and Ministry of Environment and Forests during the design of this project. She therefore called on all communities to give the REDD+ process an opportunity. She informed the meeting that sustainable development can be achieved only after taking a second look on how forest resources are managed. She applauded UNDP for taking the REDD+ project design in line with the UNREDD and FCPF guidelines. She requested the meeting to approve the project for implementation.
Ogiek community representative Mr. Peter Kitelo	He appreciated UNDP for undertaking a very consultative process in determining whether to take the delivery partner role and throughout the design of the Project Document. He appreciated UNDP's continued communication with communities on the development of the project which he said was commendable and urged all Development Partners to emulate it.

He noted that the project had incorporated the views of the communities. He informed the meeting that he would rate the project at 80% though there is a room for improvement. He recommended improvement on communication with the task force members on meetings. He pointed that one-week notice was not sufficient and UNDP should improve on this during implementation.

He informed the meeting that the Ogiek community welcomes the REDD+ project with rights. |
| Mr.   Martin Simotwo | He acknowledged that the project had been designed through a very consultative process with different stakeholder. As such he cautioned UNDP to be aware of different interests. He added that the project would be rated at 90% and not 80 % as said by others. He called on communities to be united and honest in their engagement. He asked communities to address their challenges with the County Governments, Independent Commissions and National Government instead of dragging UNDP and the REDD+ project into historical land injustices. He reiterated that UNDP's mandate is limited, and UNDP can only advise the government but cannot deliver title deeds to any community. He added that representatives who had been writing the letters to UNDP had been representing the Sengwer community for many years and had been recognised by communities for playing this role.

He urged communities to support the REDD+ project as it goes beyond |

	just one community with the intention to address a national goal.
Endorois community representative - Mr Wilson Kipkazi	Mr. Kipkazi noted that the Endorois community will supports the project implementation. He pointed out that the proposed dialogue process will facilitate the government and communities in contributing towards addressing the land tenure issues. He also urged the Sengwer community to work together to address the issues rather than disowning the members who had raised divergent issues. He however added, that the Sengwer community should address the issues with the County Government and National Government and not UNDP. He asked them to respect the taskforce decisions and participate in the decision-making process and raise issues on the REDD+ to UNDP and the taskforce members. He asked UNDP to forward to the Project Board on all issues raised by different communities for discussion and realisation of lasting solutions.
Pan African Climate Justice Alliance – PACJA Mr. Obed Koringo	The CSO representative from PACJA noted that PACJA was pleased with the project and urged all stakeholders to work together to implement the project. He also noted that the challenges raised should be solved through relevant authorities moving forward to create harmony and smooth implementation of the project. He added that UNDP should support the County Government of Elgeyo Marakwet to facilitate a dialogue and community cohesion for purposes of forest resources management in the county. He requested the Sengwer to work closely with the County Government.
Narok County - Director of Environment, Water and Natural Resources Management Mr. Patrick Twala	Mr. Patrick Twala reported that Narok County had been fully involved in the process as part of the county representatives working closely with the Council of Governors. He reported that the County supports the project and that it is open for any consultation with UNDP. He invited the LPAC members to discuss how the project will be safeguarded from elite capture and shield the project from individuals with evil intentions. He proposed that in addition to the governance and integrity team, through the stakeholder specialist recruited, the Project Board should be informed of any future communication from individuals, communities and institutions who call for suspension of the project. He added that the relevant county governments should also be engaged closely in case of such communication. He requested the LPAC to approve the project document and requested UNDP to go ahead and initiate the implementation soon.
Office of the deputy president - Mr. Ali Mohamed	Mr. Ali Mohammed thanked UNDP for steering the process and commended the wide representation from various stakeholders which was in accordance to the constitution. He deeply appreciated contributions from local communities' representatives to conserve the environment despite the draw-backs experienced. He mentioned that currently, there is a political goodwill in addressing climate change issues such as deforestation and degradation of forest. The government recognizes the challenges posed by climate change and is committed to support the initiatives geared towards addressing climate change issues. He recognized the safeguards for protection of community rights which are outlined in the Project Document and emphasized on the benefits the REDD+ project, brings on-broad for communities and the country at large. On this note he urged all stakeholders to accord sufficient support in implementation of the project.

National Gender and equality commission – Ms. Tabitha Nyambura	She noted that the project had involved the Commission early enough even before confirming to be the delivery partner role. She reported that the Commission had reached out to all communities including the Sengwer and will continue to do so throughout the implementation of the project. She informed the meeting that the Commission had reviewed the project and confirmed that it had taken in consideration and best practices in ensuring gender equity, inclusions as well as protection of indigenous people's rights. She reported that the Commission endorsed the project and invited the taskforce to approve the project.
	She also reported that the Commission is willing to collaborate with UNDP both technically and financially to address challenges within communities.

Min 5/2018: Way forward

Ms. Sheila Ngatia, the Assistant Country Director and Head of Programmes- UNDP appreciated all LPAC members for their commitments and retaliated the importance of LPAC meeting. She noted that the representation was all inclusive from National Government, communities, county government, Independent Constitution Commissions, UN agencies and task force members.

She highlighted that UNDP recognizes the need for protection of human rights and is fully committed to Human Rights Protection. She noted that all the comments received in the meeting would be included in the minutes which will form part of the Project Document. She informed the meeting that UNDP will take up all recommendations received from the LPAC. These are:

1. Partner with county governments in enhancing capacities for community participation in forest resources management.
2. Inform the Project Executive Board and respective county government on future communication received form any community calling for suspension of the project.
3. Governance and integrity team to always provide an update of the risk assessment and mitigation measures identified. This is to ensure that the project is shielded from all the risks throughout project implementation.
4. UNDP to improve on future communication with the project stakeholders.

Ms. Ngatia assured stakeholders that the project will be implemented through a transparent and consultative framework.

The meeting was informed of the following steps towards finalization and initiation of the project:

1. Minutes to be finalized and shared for review and signing with the Ministry of Environment and Forestry.
2. The Project Document to be revised for signature by UNDP and the National Treasury.
3. Project board to be constituted
4. UNDP headquarters and other Development Partners to be notified on the progress.

In closing, she acknowledged the UNDP team for their commitment and support towards the success of the project and thanked all the participants for their insightful contributions and encouraged collaborations with stakeholders towards implementation of the project.

In conclusion, the REDD+ project was unanimously approved for implementation by the LPAC members.

Closing Remarks

Ms. Masaka thanked the Almighty God for providing a peaceful environment and successful deliberations throughout the meeting. She encouraged all stakeholders to collaborate with UNDP and the Ministry of Environment and Forestry in the implementation of the project.

She then welcomed Ms. Tecla who closed the meeting with a word of prayer.

AOB
There being no any other business the meeting was officially closed at 1400 hrs.

Confirmation of Minutes
Chair
Signature: --- (…) Date: -------------------------------

Co-Chair
Signature: --- (….) Date: -------------------------------