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**REVISED
REDD READINESS PREPARATION PROPOSAL
KENYA**

**SUBMITTED TO THE FOREST CARBON
PARTNERSHIP FACILITY**

AUGUST 2010

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List of Acronyms

ASALs	Arid and Semi Arid Lands
CDM	Clean Development Mechanism
CBD	Convention on Biological Diversity
CFA	Community Forest Associations
CITES	Convention on International Trade of Endangered Species
CSOs	Community Supported Organizations
DBH	Diameter at Breast Height
DRSRS	Department of Resource Surveys and Remote Sensing
ERMIS	Environmental Research, Mapping and Information Systems
EU	European Union
FAO	Food and Agriculture Organisation
FAN	Forest Action Network
FCPF	Forest Carbon Partnership Facility
GDP	Gross Domestic Product
GHG	Greenhouse Gas
GIS	Geographic Information System
GBM	Greenbelt Movement
GOFC-GOLD	Global Observation and of Forest and Land cover Dynamics
GPS	Global Positioning System
IUCN	International Union for the Conservation of nature
IPCC	Intergovernmental Panel on Climate Change
KIFCON	Kenya Indigenous Forest Conservation Programme
KFS	Kenya Forest Service
KFWG	Kenya Forests Working Group
KWS	Kenya Wildlife Service
Landsat	Landsat Enhanced Thematic Mapper
LULUCF	Land Use, Land-use Change and Forestry
ME&MR	Ministry of Environment and Mineral Resources
MOF	Ministry of Finance
MODIS	Moderate Resolution Imaging Spectroradiometer
MRV	Monitoring Reporting and Verification
NCCRS	National Climate Change Response Strategy

NACOFA	The National Alliance of Community Forest Associations
NAMA	Nationally Appropriate Mitigation Action
NRCO	National REDD+ Coordination Office
PELIS	Plantation establishment and livelihood enhancement schemes
QA/QC	Quality Assurance / Quality Control
REDD	Reduced Emissions from Deforestation and Degradation
REDD+	REDD with conserving and enhancing stocks and sustainable management
REL	Reference Emission Level
R-PIN	REDD+ Readiness Plan Idea Note
R-PP	REDD+ Readiness Preparation Proposal
REDD+ SC	REDD+ Steering Committee
RS	Remote Sensing
SEA	Strategic Environmental Assessment
SESA	Strategic Environmental and Social Assessment
TWG	Kenya REDD+ Technical Working Group
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
WWF	World Wildlife Fund

General Information

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Executive Summary

Kenya's Readiness Preparation Proposal (R-PP) outlines the process by which the Government of Kenya will develop its national strategy for participating in an evolving international mechanism for reducing emissions from deforestation and forest degradation, conserving and enhancing stocks and sustainably managing forests (REDD+). While this R-PP does not preclude any future policies or anticipate any outcomes, the Government is committed to the REDD+ readiness process and is participating actively in international REDD+ negotiations. Even if an international mechanism to provide carbon finance for emissions management activities in forests do not reach the magnitude many are hoping, the Government of Kenya aims to design policies and measures to protect its remaining forest resources from deforestation and degradation and to enhance forest carbon stocks in ways that help improve local livelihoods and biodiversity. The Government of Kenya's priority is to implement environmentally and socially sustainable land-use and forest policies, and this plan establishes a set of actions to achieve this aim. We are committed to communicating the lessons learned from the Readiness Process both within Kenya and to the Forest Carbon Partnership Facility (FCPF) and broader international community.

The progression from expressing an interest in to fully implementing a mechanism on REDD+ is a challenging task and requires cross-sectoral planning and coordination, as well as a revision of policies, programs, laws and institutions. Within the context of Kenya's REDD+ Readiness preparation proposal (R-PP), this process is organized into two core phases (preparation and implementation/management). Progress in different aspects of preparations and implementation of the various mechanisms envisioned for REDD+ will progress at different speeds. Strategies mentioned in this document are still candidates to be assessed and tested over the next three years. While the FCPF provides funding for readiness preparations, Kenya is supported by many partners in efforts that are closely related. In addition, REDD+ preparations are considered to complement and add to the existing efforts towards environmentally sustainable development planning within Kenya.

The R-PP provides a detailed assessment of the forest sector and the policy, social and legal framework that currently drive activities in this resource. It presents various components that propose:

- four strategy priority areas and actions to design and test REDD+ measures that have emerged from the R-PP formulation process as options for Kenya's forest carbon emission management strategy;
- a management and consultation approach that will underlie all activities in the upcoming R-PP implementation phase, and recommends some legal, economic and financial arrangements for subsequent REDD+ implementation;
- an approach to design Kenya's carbon emissions reference scenario and the means for monitoring these emissions;
- an approach to assess and subsequently monitor social and environmental impacts from the REDD+ strategies and an overall REDD+ program monitoring mechanism.

Each Component has a related list of next steps and initial activities planned to carry out the work plan leading to REDD+ readiness implementation. Each activity has an estimated overall cost, and the sum total of the actions amounts to **\$9,702,500**. A breakdown of costs is given in Component 5.

Introduction and Objective

An international REDD+ mechanism is anticipated to emerge from the negotiations for a post-2012 climate regime under the UN Framework Convention on Climate Change (UNFCCC). The international community has agreed to create incentives for REDD+ as a developing country mitigation strategy. The details of the mechanism are still under development and it remains unclear exactly how emission reductions will be rewarded and at what scale. Consequently, the development of the Readiness Preparation Proposal (R-PP) has to build in flexibility and take into account the evolving nature of a REDD+ mechanism. The process will also need to manage expectations carefully regarding matters like REDD+ compensation mechanisms. The R-PP provides a roadmap of preparation activities needed to create a national REDD+ strategy and implementation framework built on consultation with a large cross section of Kenyan partners who work in the forest sector, distributed across the country. It will guide Kenya's REDD+ preparations in the next three years. For our purposes, REDD is taken to include all the elements mentioned in the Bali Action Plan, Section 1 (b), and officially known as 'REDD+' or 'REDD+', namely 'policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.'

Before describing the content of the major components of the Readiness preparation proposal, we provide an overview of the Kenyan forest context related to REDD+, and the three step process to REDD+ strategy and implementation preparation.

The Kenyan Context

It is estimated that Kenya has 3.47 million ha of forest (indigenous forests, open woodlands, and plantations) and an additional 24.5 million ha of "bush-land"¹. Kenya loses about 12,000 hectares of forest each year through deforestation (primarily conversion of forests to agriculture or for public or private development projects)². The remaining forests are degraded due to among others unsustainable utilisation, illegal logging, uncontrolled grazing and exploitation for charcoal. Deforestation and degradation is evident in both the high elevation water catchment forest areas (popularly referred to as water towers), and in bush land in the arid and semi-arid lands (ASAL) areas. 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.

However, deliberate efforts are being made by the government, private sector, development partners, local communities and civil society to conserve and restore degraded forest areas throughout the country. The water catchment forests have received close attention due to their significance in soil, water and biodiversity conservation, in addition to amelioration of regional climatic conditions. Further, the forests in water catchments have been flagged out as important in supporting the realization of Kenya's long term development agenda, the Vision 2030.

The Kenya Forest Service, under the Ministry of Forests and Wildlife, is the state agency charged with ensuring sustainable management and conservation of forest resources in the country. KFS has administratively divided the country into 10 ecological boundaries forming

¹ FAO Global Forest Resources Assessment 2005, Kenya Country Report, Country Report 180.

² 2010 FAO State of the World's Forests

10 conservancies namely: North Eastern, Eastern, Ewaso North, Central Highlands, Nairobi, Coast, Mau, North Rift, Western and Nyanza (**Figure 1**). Of great importance also are the five critical water catchment forest areas (Mt Kenya, Aberdare Ranges, Mau Complex, Cherangani Hills and Mount Elgon) located within four of the 10 conservancies. These catchment forests 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.

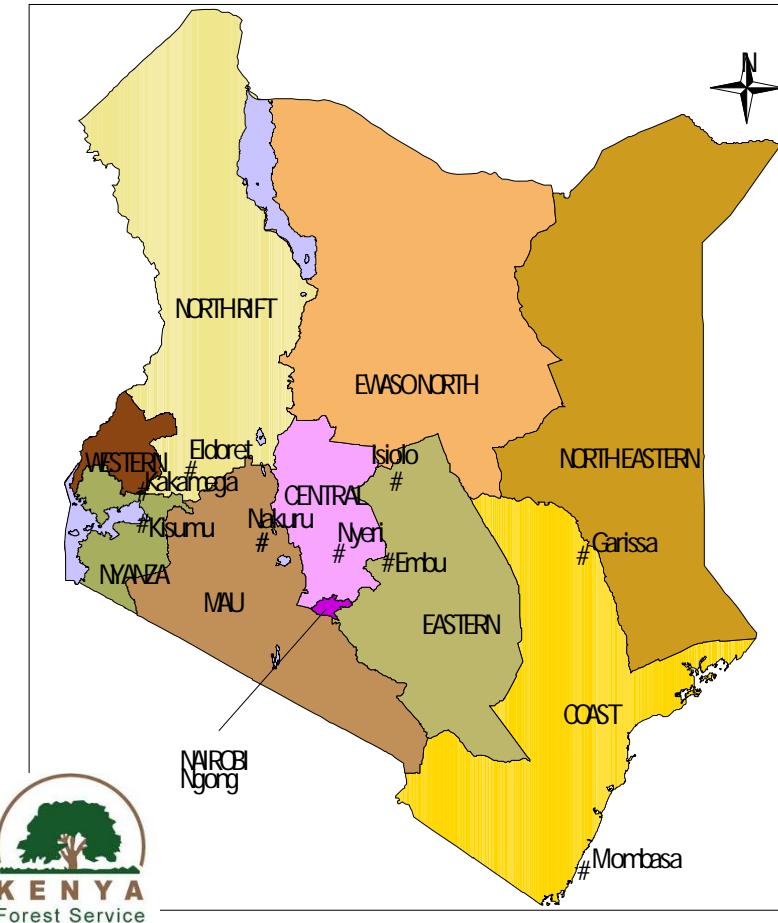


Figure 1. Kenya Forest Service Conservancies.

A specific example that is receiving much attention given its cross boundary impacts is Kenya's Mau complex (**Figure 2**), one of Kenya's five montane forest water catchments and the source of several rivers draining into the major water bodies in Kenya and the East African Region. The Mau has been impacted historically by extensive irregular and ill-planned settlement as well as illegal forest resource extraction, but the government in collaboration with civil society and local communities recently launched an aggressive restoration program. Forest restoration programs are also being contemplated in other important water catchments by the Kenyan government in collaboration with civil society and local communities.

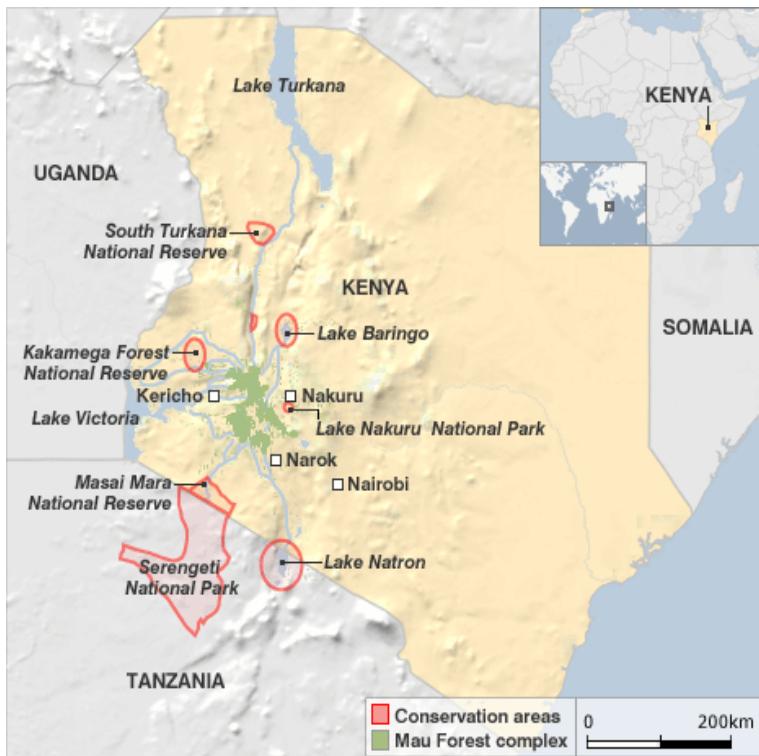


Figure 2. Mau Forest Complex. Source: <http://baraza.wildlifedirect.org/tag/masai-mara/>

In line with these activities, REDD+ is a multi-sectoral program that the Kenyan government is in the process of developing to address the challenges faced within the forestry and other natural resource management sectors. The REDD+ multi-sectoral program will look into the drivers and underlying causes of deforestation and degradation, as well as promote sustainable forest management for improved livelihoods and opportunities to increase forest cover in areas suitable for supporting trees.

With the total area of closed canopy indigenous forest in Kenya already reduced to about 2% of the land area and open woodlands to 3.7% of land area, the scope for REDD+ activities will be on reducing further deforestation and degradation in the remaining forests and thereby reducing carbon emissions from these forests, but also, perhaps to a larger extent, on the “plus” aspects of REDD+ including improving management of remaining forest resources and enhancing carbon stocks on degraded forest land as well as through reforestation and afforestation programs. All activities will be designed with a focus on co-benefits such as improving biodiversity and livelihoods of forest dependent peoples.

Process for REDD+ Readiness in Kenya

This R-PP was preceded by a Project Idea Note (R-PIN) produced in 2008 that outlined our approach towards embarking on the formulation of this document. As an approach to structure the next steps toward REDD+ Readiness during the implementation of this R-PP we consider **three major phases**. These phases are shown below in blue in **Figure 3**, and the white arrows represent the major steps that bring together the initial activities described in the various components of this R-PP. These activities will evolve simultaneously and will be adjusted as we progress eventually towards the selection of REDD+ Strategies. The entities described in the Management component will oversee, guide and monitor the activities in coordination with other sectoral entities.

It is important to note that while the Forest Carbon Partnership Facility (FCPF) provided the impetus and key base funding for formulation of this R-PP, the Government of Kenya has

longstanding goals that align with REDD+ and has also developed strong relationships with many partners, donors and contributors working in this sector over the last decades. Kenya outlined its “Vision 2030” with the ultimate objective of a globally competitive and prosperous nation with a high quality of life by 2030, and this Vision includes a significant component related to changing and improving forest landscapes. Therefore many of these strategies overlap with the REDD+ strategies outlined in this document.

As will be described later, the R-PP implementation will coexist and become part of the broader Kenyan context of national climate change goals and sustainable development planning. We are hopeful of the strong opportunity it presents for cross sectoral integration and decision making.

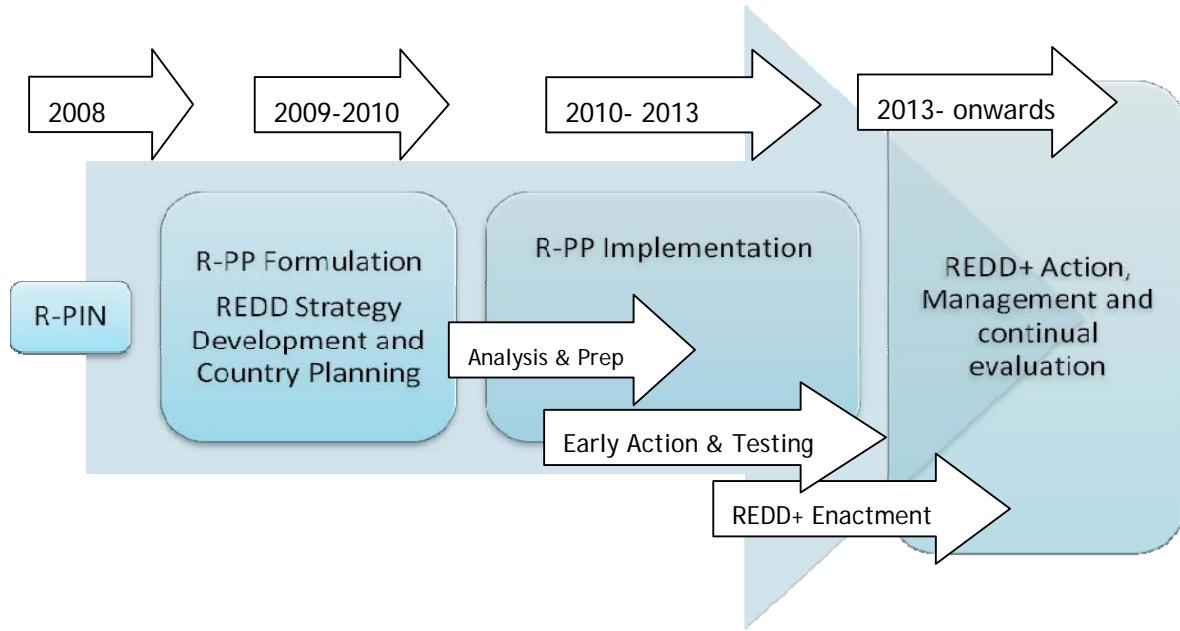


Figure 3. Timeline of REDD+ Readiness preparation in Kenya.

Phase 1: REDD+ Readiness Preparations

1. The development and Submission of the R-PIN (2008)

The Government of Kenya submitted its REDD Readiness Plan Idea Note (R-PIN) to the Forest Carbon Partnership Facility (FCPF) in 2008 and a grant agreement was completed in November 2009.

2. R-PP Formulation (2009-2010)

The R-PP formulation launch and initial information sharing occurred between November 2009 and January 2010, after which consultation and information sharing on the R-PP process occurred between February and April 2010. Final validation occurred between May 3, 2010. More than 200 individuals, representing the main stakeholder groups, were engaged in the development of the R-PP and many were involved at more than one stage in the process. A core team of participants were highly engaged in the entire R-PP formulation process alongside the KFS, and helped to shape the analysis of the components. The REDD+ Technical Working Group (TWG) was created in November 2009 and draws its members from the REDD+ National Consultative Group. A team of consultants has guided and actively supported the process. The Technical Working Group is in turn divided into the following sub-groups: Consultation and Participation; Methodology; and the Policy and Institutions group. In

November 2009, a team from the Facility Management Team of the FCPF conducted a Mission to Kenya with the goal of supporting the R-PP formulation process in the country. This provided a forum for meetings among the 3 subgroups and other stakeholders to launch the R-PP formulation process. Subsequent meetings were held by the Consultation and Participation, Technical and Policy subgroups along with multiple stakeholders, the KFS, and its consultant team.

The broader consultative process has been formative to the development of all R-PP components presented here, providing key inputs to the Consultation and Participation Plan, the identification of key drivers of deforestation, degradation and enhancement of carbon stocks, potential activities to address these, and potential impacts of these activities on different stakeholder groups.

Phase 2: R-PP Implementation Phase (2011-2013)

This R-PP represents a step in Kenya's ongoing efforts to get 'ready' for a future mechanism for REDD+. While funding from the FCPF upon approval of the R-PP is crucial, there are segments of this work plan that can begin to be implemented using funds from other donors, as well as national efforts that have similar aims. (See Annex 2a-2 for a list of international finance supporting Kenya's forest sector activities).

REDD+ strategy development will inform the establishment of the technical, policy, legal, management and monitoring arrangements. Implementation of the R-PP includes 3 steps covering design, testing of REDD+ strategies and early REDD+ enactment. These activities are anticipated to continue through the end of 2013 and culminate with the launch of a National REDD+ strategy. REDD+ Enactment, however, will only have been initiated as of this time. Elements of the major steps include:

Step 1: Analysis, Preparation & Design of REDD+ Strategies

- Detailed analysis of policies relevant for REDD+ (e.g. forest, agriculture, infrastructure policies), legal and technical requirements for different policies and measures
- Setting of the Reference Emissions Level (REL)
- Confirmation of institutional roles, responsibilities and oversight for REDD+ arrangements
- Nomination or establishment of one or several entities responsible for MRV
- Selection of potential REDD+ early action and testing activities
- Continued consultation, information sharing and awareness raising on REDD+ strategy, legislative and institutional proposals

Step 2: Early Action and Testing

- Initial capacity building for pilot activities
- Establishment of pilot / demonstration activities
- Establishment of MRV infrastructure
- Testing of carbon measurement, accounting and monitoring, reporting and verification (MRV) procedures
- Consultation around demonstrations and pilots
- Consultation on potential REDD+ policies, decisions and actions
- Training needs analysis for full scale national REDD+ implementation

Step 3: REDD+ Enactment

- Finalization of REDD+ strategy (to progress towards REDD+ readiness)
- Operational plan to scale up REDD+ in Implementation Phase
- Finalize proposals for new financing mechanisms, procedures, audit and controls
- Finalize operating procedures for MRV entity
- Training and capacity building on the technical aspects of REDD+ for full implementation
- Submission of any new legislation (e.g. carbon rights) and legal texts (as required)

Overview of the R-PP components

The **Consultation and Participation Component** of this R-PP (section 1b) describes the approach taken to obtain input from numerous stakeholders during formulation of the R-PP and concludes with the next steps to be taken related to establishing a robust process as the R-PP implementation work begins. A complete Consultation and Participation Plan for phase 2 (the C&P II Plan) is included in Component 1b. The C&P II Plan emphasizes how the evolving REDD+ strategies will be coordinated with the described consultation approach.

Potential **components of a REDD+ strategy** to control deforestation and degradation, enhance carbon stocks, and promote sustainable forest management and forest conservation are described in components 2a and 2b. Specific proposals for further analysis, elaboration, consultation and validation are included in the component. They are grouped by priority areas of actions including: i) reducing pressure to clear forests for agriculture; ii) promoting sustainable utilisation of forests; iii) improving governance in the forest sector; and iv) promoting enhancement of carbon stocks.

The **REDD+ Management and Implementation Arrangements** described in components 1a and 2c outline the types of entities and institutions that will be needed for policy definition, implementation and management, ranging from civil society to inter-ministerial bodies. A process is defined to identify the resources needed for implementation and to help bolster capacities. Next steps are described for laying the ground work for the financial and legal arrangements needed in the subsequent REDD+ Implementation and Management Phase.

The **Social and Environmental Standards Assessment** (SESA) is an integral part of R-PP Implementation as described in Component 2d. It provides a methodology for assessing impacts of strategies and implementation mechanisms, and ensuring that potential negative impacts are mitigated and positive aspects are strengthened. Framework Terms of Reference for the SESA TOR are presented, and will be modified as necessary during the course of implementation of the preparedness plan as specific strategies and implementation work plans are further defined. Component 4b then describes some major elements of the monitoring and evaluation of the SESA analysis.

Constructing the **Reference emission scenario** (Component 3) begins with an assessment of available data and concludes that while some data on deforestation in the closed canopy, indigenous forest lands (i.e. water catchment forests) are available, data for estimating historic emissions across other lands that could qualify as forest (woodlands, bush land) in Kenya are lacking. It then describes framework terms of reference for how activity data could be acquired to map land cover change, what data are needed, how to obtain emission and removal factors, and how to combine data sets to develop a historic emissions scenario. Specific activities to develop the historic emission level and define a future trajectory are core elements of the work plan presented in the R-PP.

Component 4a describes the **Monitoring, Reporting and Verification (MRV) of Emissions Levels**, and the arrangements needed to quantify carbon emissions and removals from implementing the REDD+ strategies. Because international discussions are ongoing and new monitoring technologies are evolving, the exact details of a MRV system are not finalized in the R-PP. However, a potential MRV framework and terms of reference are discussed that can be modified and revised as the process moves forward.

Each Component has a related list of next steps and initial activities planned to carry out the work plan leading to REDD+ readiness implementation.

Component 1: Organize and Consult

1a. National Readiness Management Arrangements

Introduction

The Kenya government launched its national climate change response strategy during COP 15 at Copenhagen in December 2009, which was developed using a consultative process that included seeking views from participatory regional workshops. One immediate result of this process was that climate change issues are now seen as cross-cutting, and Kenya's resulting national strategy incorporates areas of response such as adapting agriculture, energy and infrastructure to climate change. The strategy thus will support the implementation of Nationally Appropriate Mitigation Action (NAMA) for Kenya, though this has not yet been elaborated. The implementation of part of the strategy has now been taken up by the Office of the Prime Minister, starting with an effort to harmonise environment and climate change policies. The same office is also documenting climate change vulnerability and impacts as well as adaptation and mitigation options for Kenya. Management arrangements for implementation of the R-PP are designed within the wider context of the National Climate Change Response Strategy. The current presidential circular on Ministerial responsibilities vests climate change coordination activities on the Ministry of Environment and Mineral Resources while the mandate on forest conservation and management is vested on the Ministry of Forestry and Wildlife.

REDD+ Management Arrangements during R-PP Formulation

The Kenya Forest Service (KFS) was designated as the body responsible for coordinating REDD+ readiness activities in Kenya and established a secretariat for the purpose, consisting of representatives from each of its core management programmes i.e. Natural Forest Conservation and management, Industrial Forest Plantations, Farm Forestry and Extension and the Drylands Forestry Development Programme. The day-to-day REDD+ readiness and coordination activities for formulation of the R-PP in Kenya are managed by the Climate Change Response Programme at the KFS, as was the formulation of the R-PIN previously.

The KFS invited participants to a consultative forum even prior to initiating work on the R-PP, drawn from a broader institutional and sectoral base. The consultative forum agreed on the formation of a Technical Working Group (TWG) which is comprised of about 40 individuals who have participated in meetings, consultations, drafting of text, revisions and leading consultations since November 2009. The TWG is currently divided into three subgroups providing input into the R-PP process. The subgroup's themes are: Consultation and Participation; Methodology; and Policy & Institutions. Their roles and involvement is further described in component 1b. The terms of reference and composition of the National REDD+ Steering Committee have been agreed and are discussed below.

Objectives of REDD+ Management arrangements

The main objectives of the management arrangements described in this component are to:

- integrate and contribute to GoK's broader climate change goals as stated in the recently developed "National Climate Change Response Strategy" (NCCRS);
- provide the necessary support to development of a coherent and successful REDD+ Strategy;

- bring clear decision making authority to the REDD+ process that is informed by both national climate change goals and REDD+ goals;
- ensure Kenya has its own high level expert technical working group to advise the decision making authority.

Existing National Climate Change Mechanisms

Kenya has ratified the UNFCCC as well as the Kyoto Protocol. The country has also signed the Copenhagen Accord and recently joined the REDD Partnership. A National Climate Change Response Strategy (NCCRS) was launched recently to allow for coordinated efforts to address the challenges of climate change in the country.

The NCCRS proposes that a **Climate Change Secretariat** be established within the Ministry of Environment and Mineral Resources to be responsible for all climate change activities. The Climate Change Secretariat will be backed by appropriate climate change policies and laws and have powers to enforce new laws and regulations relating to climate change. The policy, legal and institutional arrangements underpinning REDD+ strategies and measures to be implemented will be designed within the institutional framework proposed by the NCCRS.

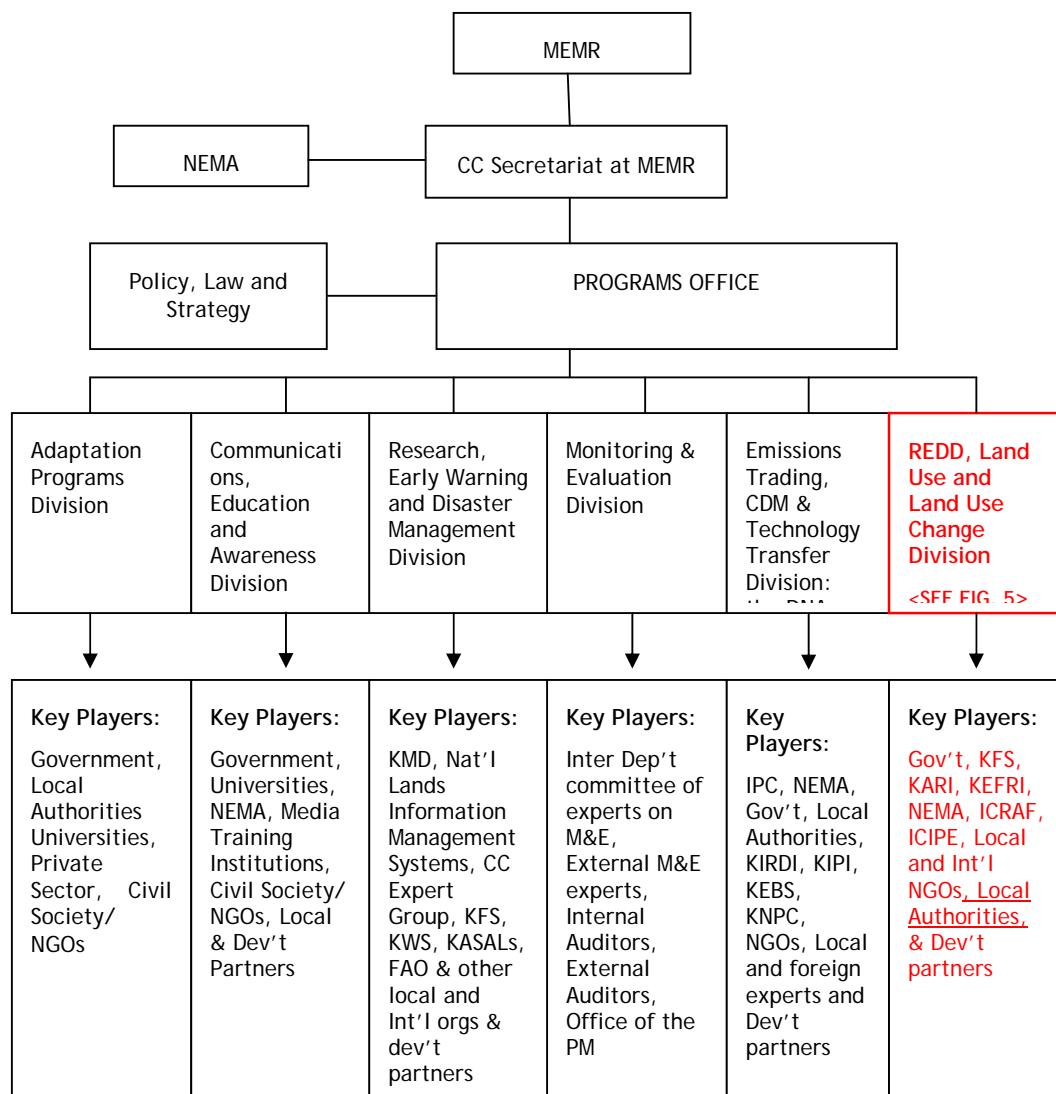


Figure 4. Climate change governance structure proposed in the NCCRS.

The institutional framework in **Figure 4** includes a Division dealing with REDD+, Land Use and Land Use Change. The management arrangements for implementing REDD+ described in this R-PP will be linked to this Division. As the NCCRS Secretariat and its functional units have not yet been set up, it is proposed that the REDD+ unit will function as a stand-alone unit initially and subsequently become integrated into the Secretariat structure once that institution is established and operationalized.

Linked to this REDD+ and Land Use Division, a four tier structure has been created to oversee the evolving REDD strategy as described in this R-PP document. As shown in **Figure 5** below, it consists of a National REDD+ Steering Committee, a Technical Working Group, a National REDD+ Coordinating body, and the REDD+ Component Task Forces and Local Conservancy Officers below that. The roles, functions and development of these bodies are described in this component.

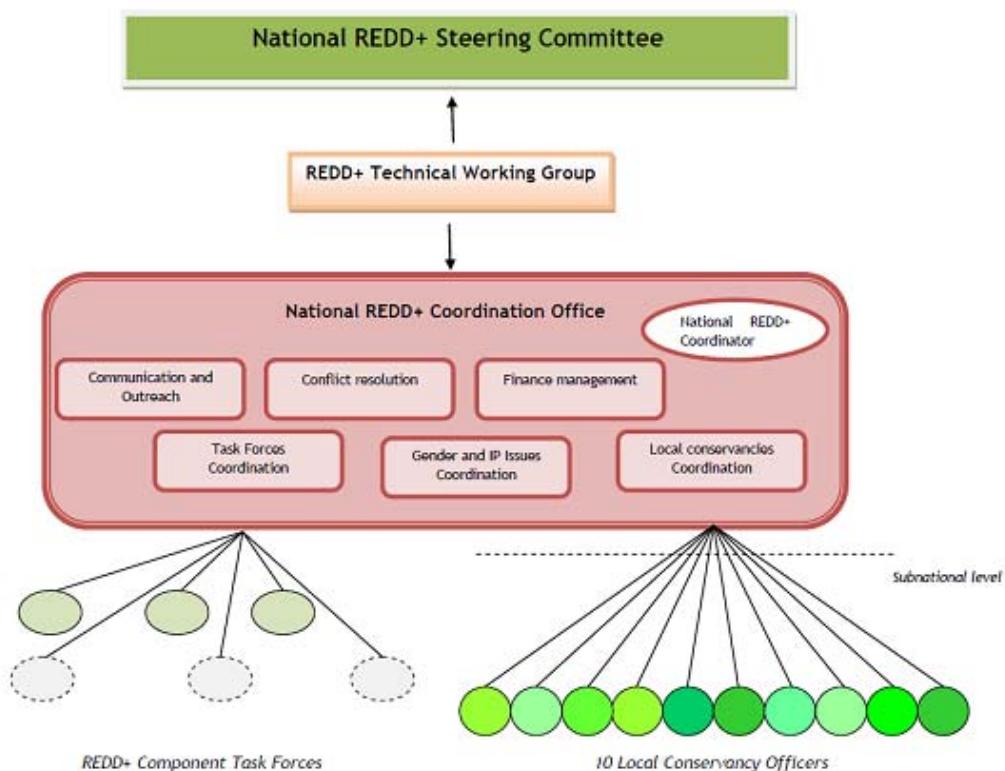


Figure 5. Proposed REDD+ Management Structure in Kenya.

Proposed Future Management Arrangements for R-PP Implementation

Current institutional arrangements will be modified to facilitate implementation of the R-PP (2011-2013). The following four tier arrangement is proposed.

The National REDD+ Steering Committee (RSC): The REDD+ Steering Committee will become operational upon approval of its current terms of reference. The RSC will be chaired by the Permanent Secretary in the Ministry responsible for Forestry. The KFS and KEFRI will provide secretariat services. As the Ministry with the Government mandate for overall forest development policy and oversight functions to ensure sustainable forest management and conservation, afforestation and reforestation programmes and water catchment areas protection, the Ministry is best positioned to steer this Committee. RSC membership is composed of Permanent Secretaries from the Ministries of Forestry and Wildlife, Environment and Mineral Resources, Energy, Local Government, Planning, Finance, the Directors of KFS, KEFRI and NEMA, IUCN, WWF, KFWG, a representative from Universities, UNDP/UNEP and the Donor Coordination Group.

The terms of reference for the Steering Committee are as follow:

- Policy guidance and implementation of REDD+ activities
- National coordination of inter/intra-sectoral REDD+ activities
- Approval of REDD+ work plans and budgets
- Resource mobilization
- Assurance of timely delivery of a national REDD+ strategy, national reference emission level and an effective carbon monitoring system
- Monitoring and evaluation
- Quality control of REDD+ preparedness deliverables
- Provide mechanism for International collaboration with other REDD+ processes

As a result of the R-PP formulation process, it was recommended that a representative of the National Association of Community Forest Associations (NACOFA) sit on the SC, and this will be raised at the next SC meeting. It is proposed that the KFS should provide the secretary of this committee. By officially including ministries responsible for finance and planning in this important decision making entity, we seek to ensure that REDD+ is a national effort and sectors are coordinated, and that REDD + activities will enter the national plans and records. This is further enhanced by the coordination of the Divisions that exists within the NCCRS structure into the Climate Change Secretariat of MEMR.

The RSC Terms of Reference stipulate that it is responsible for policy guidance, inter-sectoral coordination, approval of plans and budgets, resource mobilisation, delivery of REDD+ strategy and baseline emission level, monitoring and evaluation, quality control and mechanisms for international collaboration on REDD+. These roles will be carried out during R-PP implementation. The RSC will meet two times per year. Members are not assigned as staff positions, but honorarium based for the time contributed. The Chair person and treasury officer liaise directly with the National REDD+ Coordinating Body (described below) relating to funding flows for R-PP operationalization.

REDD+ Technical Working Group (TWG): The TWG will play a key advisory role for the National REDD+ Steering Committee. It will also liaise directly with the National REDD+ Coordination Office, whose mandate for the next three years is to carry out operationalization of the R-PP. The subgroup and current TWG will disband, and the new TWG for R-PP implementation will be redefined as a smaller ~8 person entity bringing together specific expertise required in this phase. Members of the 3 current subgroups may be candidates. The new REDD+ TWG will consist of the most well placed individuals in Kenya to help define what strategy actions to move forward with during the R-PP early action and

testing step, and as the final REDD+ National Strategy is defined. They are constantly aware of international discussions on REDD+ mechanism and eligible activities. Members will have expertise in forestry, finance, land use, agriculture, wildlife management, range management, and timber production and the management of private sector enterprises. In addition, there will be one representative from CSOs, one representative from community forest associations, one representative from water resource users groups, one representative from indigenous communities living in forests.

The TWG are also not full time staff positions, but are honorarium based. They are expected to spend 1/4 time on REDD+ R-PP work. They will convene in 2 multiday workshops per year for in-depth analysis and evaluation of proposals and activities of the REDD+ Strategy Component Task Forces. In addition, 2 other meetings per year will ensure consistent oversight over the R-PP implementation via the National REDD+ Coordination Office.

The TWG will be responsible for oversight of the R-PP implementation process, be responsible for managing the monitoring and evaluation activities described in components 2d SESA, 4a and 4b Monitoring, and 6 Program Evaluation.

The National REDD+ Coordination Office (NRCO): The NRCO will be constituted immediately upon approval of the R-PP by the FCPF with the designation of an Interim National REDD+ Coordinator. The Secretariat, which currently consists of part time KFS staff, will be replaced by this NRCO consisting of ~ 15 full-time staff dedicated to RPP implementation activities for the period 2011-2014.

The Interim National REDD+ Coordinator will open the positions required in the R-PP implementation period. These will be full time subject matter specialists and administration and support staff required for the RPP implementation period. They will be dedicated to implementing activities as described by the needs in this R-PP:

- Coordination of work carried out by the five REDD+ Component Task Forces
- Communications of the overall REDD+ process and consultation support to the REDD+ component task forces
- Conflict resolution and grievances management
- Liaison and coordination with local conservancy officers who are the field based arm of the REDD+ strategy component task forces
- Finance management for monitoring incoming funds to REDD+ activities, and tracking expenditures during R-PP implementation
- Oversight for particular gender concerns for all aspects of R-PP implementation
- Others that are delegated to it by components 3, 4 and 6

Some of the roles may evolve out of the National Coordination body such as staff positions to be housed in other national institutions that can play these roles (e.g NEMA's conflict resolution mechanism may be able to handle REDD+ needs). In general, the R-PP implementation phase will seek to make best use of existing entities and strengthen those that are able to take on the functions that will be necessary for REDD+ implementation. The National REDD+ Strategy to be developed in 2013 will describe any changes to the management structures described here.

The NRCO may be supported by consultants or short-term staff seconded from relevant Ministries or government bodies. Specialist civil society organisations, NGOs and CBOs may also be sought out for collaborating in implementing certain components of the RPP.

The bulk of the funding expected to support the R-PP implementation phase will flow through the GoK Treasury, to Ministry of Forestry and Wildlife, to the REDD+ Finance Management Unit located within the NRCO.

At the sub-national level, it is proposed to have one **Local Conservancy REDD+ Officer** designated as focal point for REDD+ in each of the 10 conservancies. These will probably be part time staff initially, depending on the volume of work required, and will report to the National Coordinator. These Officers liaise directly with operational staff of the National REDD+ Coordination Office who in turn coordinate directly with REDD+ component task forces. They play the critical role of helping to implement demonstration activities for the REDD+ component task forces at the local level at pilot sites or locations as defined by the REDD+ Component Task Forces and NRCO..

Conservancy Officers therefore coordinate with local committees that include civil society and other local community actors who take part in the implementation of the activities and take part in evaluations as described by component 6. These staff would have forestry training, an understanding of forest policy and governance issues, as well as more technical issues related to carbon stock measurement and monitoring. They will also have good working relationships with local authorities and other local civil society entities³ such as forest conservation committees and other locally established structures that may be involved in REDD+ early action testing. Local REDD+ conservancy officers will liaise with local representatives from agriculture, land, water, wildlife, community forest associations, CSOs, timber industry as defined by REDD+ Component task force needs.

Finally, **REDD+ Component Task Forces** (described more fully in component 2b and supporting documentation) are small groups that include members elected according to the subject matter of the REDD Strategy they will work on, and to the possible demonstration sites for that task force. . These REDD+ Strategy task forces will include approximately 12 task force members that together have the expertise required for the design and oversight of each particular strategy. They will receive ¼ time honoraria. The budget and activities of these Component Task Forces are described in Component 2b. Each REDD+ task force will elect a REDD+ Component Officer who is a full time staff that reports to the National Coordinator, and thus are members of the project implementation team.

Proposed Decision Making Framework

Analyses of REDD+ strategies and actions take place within the context of the REDD+ Component Task Forces. The NRCO liaises with both these Task Forces and Local Conservancy Officers to evaluate needs for scaling up the strategy nationally. The REDD+ Component officers and local conservancy officers liaise with the National REDD+ Coordinator who structures proposals that are submitted to the Technical Working Group for evaluation.. Advice from this TWG to the REDD+ Steering Committee enables it to make decisions in the context of broader multi-sectoral objectives given interministerial participation in the RSC.

Initial Activities

Activity 1a.1: Establish and operate the Steering Committee

- Secure government approval of this SC

³ Members of this committee are drawn from the timber industry working in the area, community forest associations, the ministry of agriculture, and the ministry of environment.

- Call the first meeting
- Approve the TORs

Activity 1a.2: Establish REDD+ Technical Working Group

Candidates to participate in this new TWG will present their interest to the National REDD+ coordinating body 1 month after FCPF approval of this R-PP. A short list will be presented by the National Coordinator to the National REDD+ SC at their first meeting for confirmation.

Activity 1a.3: National REDD+ Coordination Body

- Establish by hiring a National REDD+ Coordinator, specialist staff positions
- Approval of the TOR for the Body
- Develop a work plan
- Establish office, purchase equipment
- Coordinate with Leads from the REDD+ Component Task Forces regarding their timelines and plans

Activity 1a.4: Establish and operate work procedures of the Local Conservancy Officers

Table 1a-1: Summary of National Readiness Management Arrangements Activities and Budget

Main Activity	Sub-Activity	Estimated Cost in USD			
		2011	2012	2013	Total
Activity 1a.1: Establish and Operate the Steering Committee	Meetings of the SC	15,000	15,000	15,000	45,000
Activity 1a.2: Establish REDD+ Tech WG	Workshops for REDD+ component discussion 2 workshops [\$100* 2 days * 8 people = \$1,600 400 venue, 200 travel *8 = \$1,600]	6,500	6,500	6,500	19,500
	Honorarium Time for analysis(\$1,500/mnth*.25)* 12 months * 8 people	36,000	36,000	36,000	108,000
	Meetings of the Tech WG (2 per yr) \$50*8 people*	1,000	1,000	1,000	3,000
	Training Capacity Bldg workshops (int'l) 8* 2 each during the 3 years- 16 trips 1 week each: return travel = \$5,000 *16=	40,000	20,000	20,000	80,000

	\$80,000				
Activity 1a.3: National REDD+ Coordination Body	Office space RENT: \$13,000*yr + equipment computers, printers, internet, electricity, cell phones: \$120,000	133,000	13,000	13,000	159,000
	Mobility: -5 vehicles -Transport & operation expenses	190,000 50,000	50,000	50,000	340,000
	Salaries: drivers support staff and technical personnel US\$1,500/month *12 months *15 people	210,000	210,000	210,000	630,000
Activity 1a.4: Establish Local Conservancy Officers	10 local conservancy officers: Local travel and expenses	200,000	200,000	200,000	600,000
	Other costs for projects, databases, websites, unforeseen	30,000	35,000	35,000	100,000
Total		911,500	586,500	586,500	2,084,500
Government		50,000	50,000	50,000	150,000
FCPF		200,000	200,000	200,000	600,000
UN-REDD+ Programme (if applicable)		\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$

1b. Stakeholder Consultation and Participation

Introduction and Objective

Discussions and perspectives relating to forest sector management in Kenya have taken place recently within the context of the new Forestry Law and the Social and Environmental Assessment of this law carried out in 2007. In addition, various forest sector initiatives and projects developed over the last 15 years by different partnerships of government, community and civil society actors have also produced important desk studies that have been valuable inputs to the knowledge base of the contributors to this R-PP.

Approaches to manage forest carbon potential and REDD+ began in the context of multi-stakeholder workshops of the REDD+ Consultative Group created in the National Climate Change Response Strategy, as well as in the work to develop the REDD+ readiness R-PIN developed for the Forest Carbon Partnership Facility. This R-PIN brought together many important stakeholders in Kenya working in the Forest Sector to begin formulating priorities for REDD+ readiness during 2008. As the R-PP formulation phase was initiated in November 2009, an early priority was set to make it inclusive. As such, a Stakeholder Consultation and Participation (C&P) Plan was designed and followed in the formulation phase (November 2009- end May 2010). Similarly during R-PP implementation, planned activities will also make use of a C&P plan.

This Component presents the consultation and participation (C&P) activities undertaken since November 2009 during the formulation of the R-PP (C&P I Plan). These activities were undertaken from the first day that the C&P subgroup of the Technical Working Group (TWG) was formed. The C&P subgroup held a series of meetings to develop the outline and work plan for R-PP formulation, as well as create critical materials to guide regional consultation workshops that began on March 2nd 2010. The component also presents a work plan for C&P activities to take place during upcoming R-PP implementation (C&P II Plan). The C&P II plan is an integral part of the entire R-PP, and were validated along with all other components of the R-PP during the May 3rd Validation workshop.

The Stakeholder Consultation and Participation Plan is designed to increase the inclusiveness, transparency and accountability of decision-making processes during preparatory work leading to REDD+ readiness and REDD+ readiness implementation.

Extent of Consultations during R-PP Formulation

R-PP formulation consultations took place at various levels. Regional consultations, described below, were one major element, while 3 subgroups of the Technical Working Group were constituted expressly to involve various practitioners in the forest sector in discussions, drafting and reviewing various elements of this R-PP. These working groups focused on three pillars of REDD+ formulation: a Methodology Working Group for the technical issues, a Policy and Institutional Working Group for broader governance and strategy definition, and the Consultation and Participation Working Group to ensure a satisfactory process in terms of consultation and securing input from local communities and indigenous peoples. In addition, many discussions and conversations between the working group members and their colleagues and constituencies, as well as between KFS staff and other public actors have contributed to the vision presented in the R-PP. Participants include those listed on pages 5 and 6 above.

The Policy and Institutions Working Group began its work in November 2009 and gave a presentation during the national stakeholder workshop held on 18th November. The group subsequently met three times during the formulation of the R-PP. Over multiple interactions

surrounding these meetings and via email, they produced a “drivers and activities matrix” that was a fundamental contribution to the development of the forest assessment and gap analysis, the candidate REDD+ strategies, and the management arrangements in this R-PP. Various tables in the R-PP were derived directly from the analysis and prioritization that emerged from this Matrix table. It is expected that the participants in this working group will continue to play a strong role in developing the thinking and design of activities defined in this R-PP.

The Methodology Working Group also met in November 2009 and again in February 2010. In the February workshop, members of the methodology working group exchanged ideas with the consultant team and together drafted an outline of items to be included and described in Components 3 and 4, which formed the basis of the final text in these Components. During these workshops staffing and technological capacity needs were identified, and existing data for estimating changes in forest area and changes in carbon stocks were discussed and evaluated for appropriateness in a REDD+ context. The potentially significant roles of high resolution aerial imagery (currently being collected by DRSRS) and local communities were discussed at length in the context of developing a potential MRV system for monitoring changes in forest area and changes in carbon stocks.

A C&P working group was established in early November 2009 before the meeting with the Facility Management team in November 2009. Its self-ascribed role was to communicate and disseminate information and sensitize various stakeholders on REDD+ and the R-PP process. Its main objective has been to organize and conduct regional consultations to ensure that the R-PP process of preparation for REDD+ readiness was all-inclusive. As such, it was tasked with running the core components of readiness through the planned consultation process, on the one hand, and on the other, develop the Consultation and Participation plan for the R-PP implementation phase, presented later in this component.

The need to involve the local authorities during the RPP formulation process was recognized very early in view of the fact that they are currently vested with the mandate of managing extensive areas of trustlands, some of which are under forests. During the regional consultations, Local Authorities were invited to participate in discussions and they provided invaluable contributions.

C&P I Plan for the R-PP Formulation

During the Consultation and Participation Working Group meeting held on 22nd January 2010 it was agreed that consultations would be conducted on the basis of the 10 KFS conservancies. For ease of consultation, the ten conservancies were clustered into four regional blocks in such a way that participation and engagement could be solicited from communities and other stakeholder groups with diverse interests in the REDD+ process.

One of the first tasks was to develop a clear and comprehensive brochure (see KFS website) on REDD+ in Kenya. This was posted on the FCPF website in early in March 2010.⁴ Before holding the regional workshops, the brochure was distributed through the Secretariat to the regional heads of conservancies for information and awareness creation about the R-PP process. The aim was to ensure that potential workshop participants had prior information about REDD+ so that they could meaningfully participate at the workshop. Various documents related to C&P are also on the website, including the Outline of the C&P1 Process⁵, the

⁴ http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Feb2010/Kenya_MAGAZINE_RED%2B.pdf

⁵ <http://www.kenyaforestservice.org/documents/redd/Consultation%20and%20Participation%20plan.pdf>

brochure⁶, and the R-PP template of the FCPF. Screenshots of the KFS REDD+ web pages can be found on KFS website.

In addition, time and funding have been used to conduct various workshops around the country. A national stakeholder's forum on R-PP process was held in Nairobi on 18th November 2009 with participating stakeholders drawn from the forestry and other relevant sectors. This was the opening workshop on REDD+ Initiatives in Kenya and Thematic Working Groups that presented their respective plan outlines. Supporting documentation contains these work plans and the participants' list of this stakeholders' forum, completed by the Facility Management Team in the form of the Mission report or Aide Memoire.

Regional consultation workshops were held in March and April 2010 and drew participation from stakeholders across the ten forest conservancies in the country. More than 200 stakeholders, including community groups from forest adjacent areas and groups of indigenous peoples, participated. The Regional Consultation Workshops were distributed as follows (summary in Annex 1b-2):

- Western, Nyanza and North Rift (Western Block), on 2nd March 2010
- Two in the Mau Conservancy (30 and 31 March 2010) with the first one aimed exclusively at consulting with indigenous peoples and the second one for other local stakeholders.
- One in Central Highlands, Eastern, and Ewaso North (Central Kenya block), 24th April 2010.
- One regional workshop for Coast Block, 29th April 2010.
- Nairobi R-PP Validation Consultation, 3rd May 2010.

Highlights of the C&P I approach and methodology are provided here. The complete C&P I plan is provided on the KFS REDD+ webpage indicated above.

Consultation Approach

1. Information was disseminated to the heads of conservancies and CFAs, including the brochure & R-PP template.
2. Workshops were held within the various clusters as indicated in 1b-2 C&P Workshops Table.

Contents of the consultations

Guided discussions at workshops centred mainly on:

- Understanding the REDD+ concept and the current Kenya Government's position on REDD+.
- Identification of factors that contribute to reducing emissions through deforestation & degradation and ways of addressing them
- Increasing forest cover through sustainable forest management and increased carbon stocks
- The REDD+ process in Kenya
- Stakeholders' expected roles & responsibilities in developing the country's REDD+ strategy
- Expectations: roles and responsibilities.

⁶<http://www.kenyaforestservice.org/documents/redd/MAGAZINE%20REDD+.pdf>

- Opportunities and challenges: social and environmental issues

Stakeholders Consulted

- Civil Society Organizations, Forest dependent/ adjacent communities, Community Based Organizations, Women and Youth groups
- Indigenous Peoples
- Private sector including saw-millers and timber loggers, charcoal associations, agro-based industry including the tea, wheat, coffee industries, small scale farmers, Kenya Private Sector Alliance among others.
- Public institutions including research institutions, government institutions, and local authorities.

Channels and means of communication

- Radio programs
- Development and dissemination of information materials
- Community drama groups
- Public meetings known as Barazas
- KFS, FAN and KFWG's website

Implementing agencies

- Kenya Forest Service
- Forest Action Network
- Kenya Forests Working Group
- WWF

Outcomes from Regional Consultations

Awareness of REDD+ issues were quite low, so dissemination of information worked well to generate a basic understanding of REDD+ and the process underway in Kenya among a wide array of stakeholders across the country. There is also better awareness among civil society actors about the need to include consultations and perspectives from the field into the REDD+ process.

The main lessons learned from the C&P process during the R-PP formulation are as follow:

- The REDD+ concept is new, and most stakeholders used the workshops to learn about it. Expectations among stakeholders about REDD+ are high.
- Most stakeholders were interested in arresting the causes of deforestation and degradation and in improving governance in the forest sector.
- Forest dependent communities want to be assured that REDD+ will not place a burden on them, such as by depriving them of their lands and access to forest and forest products.
- Stakeholders want to know how REDD+ will improve their lives and how any revenues that might result from REDD+ will be distributed.

To date, key emerging issues of the workshops have touched on land rights, ownership of carbon stocks, REDD+ and rural poverty, indigenous knowledge and protection of intellectual property rights on conservation, REDD+ and social considerations.

National Validation Workshop

The R-PP has been written collaboratively by experts selected from across Kenya that sit on the 3 Technical Working Groups. Various experts from the forestry sector have been deeply involved in its development and writing, working alongside a small consultant team hired to support the process. A late draft of the R-PP was circulated for stakeholders to study, and the R-PP Components were presented for discussion at a workshop in Nairobi on 3rd May 2010. The goal of this final workshop was to adjust, modify and ultimately validate the submission of the R-PP for Kenya to the FACP and other donors. This final validation workshop was attended by a select group of participants, many who will ultimately be involved in carrying out the steps that are indicated as follow up steps to the R-PP. This includes decision makers from across sectors in government, and a cross section of participants including the private sector, that come from critical regions in the country who are likely to carry out early action testing and ultimately, be participants in REDD+ activities.

C&P II plan

The C&P II plan will be used to conduct stakeholder consultation at various levels during implementation of the REDD+ RPP. Details of the C&P II Plan ties directly into the consultations needed with respect to the next steps identified for each component of this R-PP. As such, the C&P II will guide how consultation occurs over the next 3 years of R-PP implementation, in the context of the general 3 step approach; Analysis and Preparation; Early Action and Demonstration testing (piloting); and REDD+ Enactment.

The approach is to focus C&P II at two main levels:

- Active engagement and communication on the overall R-PP Implementation process and REDD+ advances in the country generally
- Engagement in the design, testing and evaluation of targeted REDD+ Strategies that R-PP implementation will be focused on

Information and Communication Strategy

Securing feedback for the activities occurring during the R-PP implementation can come from many existing entities and sources, including:

- a. Existing KFS structures - KFS structures can be delegated as the primary information dissemination and feedback channel through FCCC and CFAs. This structure would reach many user groups, including grassroots efforts. It is also anchored in the Forest Act 2005 and there is already financing to strengthen it through the Miti Mingi Maisha Bora program.
- b. NRCO REDD+ website- This is a REDD+ website that would be continuously maintained and updated to solicit inputs and information from other channels
- c. Kenya Forest Working Group - Through its extensive/diverse membership, KFWG will be part of the TWG and has a national network.
- d. Donor funded projects – Projects such as Miti Mingi Maisha Bora are currently funding KFS structures.
- e. Maendeleo ya Wanawake structure - A national gender advocacy organization that has elected representation from the national to the local level will be used to ensure gender equity and strengthen women's participation

- f. Other structures – these include Provincial administration structures down to grass root levels
- g. Forest Action Network – Established and functioning resource centres and the website will be used
- h. Existing Specific structures of Indigenous Peoples, private sector and other stakeholders' networks that may be necessary.

Objectives

While implementing the contents of the R-PP, the C&P II Plan will be used in running the core components of readiness through a consultative process. Education and feedback on candidate strategies (described in 2b) are the primary goals of C&P during R-PP implementation. General REDD+ information dissemination will take place in the context of these developing programs, policies and measures. All work will be set in the context of how the Kenya REDD+ work plan fits into the international REDD+ mechanisms, and into Kenya's national climate change framework.

General principles

Principles on information sharing are basically the same as in C&P I but will include:

- Refining the list of stakeholders used in C&P I and identifying and enlisting the right participants for the next phase
- Participatory decision making: Ownership levels of REDD+ will be increased by integrating inputs from a wide range of stakeholders. Involvement of the National Alliance of Community Forest Association {NACOFA} at the national steering committee will provide a two-way information flow and provide transparency on decisions taken within the context of control by the government
- Involvement in implementation: Broad ownership will result from stakeholder involvement in monitoring developments at selected demonstration or pilot project sites
- Monitoring of the R-PP program, as described in Component 6, will involve actors from conservancies where demonstration activities and scale up of REDD strategy activities is expected
- Integration with safeguard measures (SESA): In order to prevent or control adverse impacts on stakeholders resulting from activities of REDD+ it will be necessary to put safeguard measures in place. The World Bank's "Strategic Environmental & Social Assessment" (do no harm) SESA tool is outlined in Component 2d of the R-PP to assist in avoiding negative impacts and enhance additional REDD+ benefits. The consultation included in the SESA process should be integrated into the overall consultation process
- Awareness creation: the content of REDD+ strategies being developed in the coming years provides a big challenge since adequate consultation will be important. Extensive information sharing and increased awareness creation of REDD+ can also take place when discussing forest governance issues or preparation of participatory forest management plans for sustainable forest management
- Confirming information sharing prior to development of activities and decisions.

Tools and Methods to be used for consulting during R-PP implementation

- a) Integration of a communication and consultations expert in the NRCO (see component 1a) will be a central method for integrating C&P directly in the central operations of the REDD+ R-PP implementation body. This person will:
 - o manage a REDD+ web information clearinghouse where various types of information relating to the process can be posted, and create the information bulletins and brochures relating to the REDD+ R-PP implementation process.
 - o give operational support for the REDD+ Component Task Forces, Local Conservancy officers and NRCO regarding consultations to be held, and ensure participation of local stakeholders in designing, testing and evaluating demonstration REDD+ activities during R-PP implementation
 - o help ensure that all REDD+ component task forces have the necessary support and outreach needed
- b) Participation in REDD+ SC by a representative to contribute to decision making of the overall REDD+ process e.g. a representative of NACOFA.
- c) Inclusion of people who will be potential local actors in the Task Forces of the REDD+ candidate strategies (described in Component 2b), and in Committees with whom the Local conservancy REDD+ officers liaise. For example, a local authority who could manage an action in the future REDD+ strategy, heads of conservancies, targeted NGOs, academic institutions that work on this issue, the ministry representative working locally.
- d) Workshops for community participants or stakeholders related to the strategies on site as demonstration pilots progress designed in conjunction with local authorities. Information sharing & awareness creation will be crucial since the current scope and content of REDD+ provides a big challenge.
- e) Documentation of the progress of REDD+ learning and strategy development options through enabling cross site visits among local communities engaged in the demonstration sites and all component REDD+ activities.

Initial Activities

Activity 1b-1: Assign a Communications Consultation Specialist for the Secretariat who will be assigned the task of providing oversight and coordination to the overall C&P activities conducted during the R-PP implementation by the NRCO and the REDD component task forces. As such, the Communications/Consultation specialist:

1. Supports the REDD component Task forces with community outreach
2. Creates digestible information materials on the R-PP implementation process and on the REDD+ Strategy analysis and testing as it evolves, working closely with the NRCO team and the REDD+ Component Task forces
3. Ensures that evaluation of the REDD+ demonstration activities receives adequate input from local communities and other potentially impacted parties
4. Participates in preparation/ dissemination of IEC materials and engage radio, print & electronic media—including local vernacular FM stations

Activity 1b-2: Assign a NACOFA representative to the REDD+ SC for transparent decision making by including inputs from local/grass root communities

Activity 1b-3: Learning & dissemination—

1. Develop an Information Clearinghouse for REDD+ Readiness in Kenya and establish tracking and information acquisition procedures, and upkeep of the REDD+ Information Clearinghouse

2. facilitate local exchanges and visits among demonstration project actors (estimate 15 demonstration sites across the country)
3. Develop Village concerts, radio shows, syntheses vernacular, public barazas (public meetings at local level)

Activity 1b-4: Assign representatives of impacted stakeholder groups to each of the REDD+ Strategies proposed in 2b (depending on the strategy, the impacted stakeholders may be local communities, local government, other ministries, private actors, etc).

Table 1b-1: Summary of Stakeholder Consultation and Participation Activities and Budget

Main Activity	Sub-Activity	Estimated Cost (in USD)			
		2011	2012	2013	Total
Activity 1b.1 Assign a Communications & Consultation Specialist	Coordination of consultations <i>(time of the C&C officer is covered in component 1a Management)</i>				
	Publicity & Awareness campaigns (materials and brochures)	40,000	40,000	40,000	120,000
Activity 1b.2: Assign a NACOFA representative to the REDD+ SC	Ensuring Feedback and input into decisions <i>(Time is also covered in component 1a REDD+ Management)</i>	5,000	5,000	5,000	15,000
Activity 1b-3: Learning & dissemination	Launch and upkeep of information clearinghouse <i>(time of the C&C officer in the NRCO is covered in budget 1a)</i>	40,000	40,000	40,000	120,000
	Dissemination of information <i>(local networking, education and awareness activities)</i>	50,000	75,000	120,000	245,000
	Educational cross visits	15,000	15,000	25,000	55,000
	Documentation of lessons learned for consultation going forward. <i>(Time of analyst)</i>		15,000	15,000	30,000
Activity 1b.4: Assign representatives of impacted stakeholder groups	Participation in REDD+ Components is covered in budget of Component 2b.				
	Updating M&E framework	7,000	10,000	10,000	27,000
Total		157,000	200,000	255,000	612,000
FINANCE SOURCES:					

Government	85,000	50,000	50,000	185,000
FCPF	\$	80,000	135,000	215,000
UN-REDD Programme (if applicable)	\$			
Finnish Government Support (MMMB)	70,000	70,000	70,000	210,000
Other Development Partner 3 (name)	\$	\$	\$	\$

Component 2: Prepare the REDD+ Strategy

2a: Assessment of Land Use, Forest Policy and Governance

The following paragraphs summarize the issues covered in the **Forest Sector Background Paper** which is included as Annex 2a-1 to this submission.

The Forest Background Assessment paper describes the historic trends in forest degradation and deforestation, the underlying causes and challenges, and approaches and strategies in addressing those challenges. Past efforts at afforestation and reforestation, biodiversity conservation and enhancement of forest-based livelihoods are discussed and analysed along with the expected impact of recent reforms in the sector. The lessons learned from past experience provide a basis for identifying promising REDD+ strategies.

The paper was developed through a broad-based consultative process involving review of relevant existing literature, discussions with the technical REDD+ working group representing various institutions and organizations within Kenya, regional consultative meetings with stakeholders around the country, and interviews with representatives of forest adjacent communities, state and private forest management, wood processing industries and forest biodiversity conservation. During the consultative process of R-PP implementation the analysis of drivers of deforestation and forest degradation will continue and will continue to inform strategic approaches to implementation of REDD+.

Current Status of Forests in Kenya

Over 80% of the land area of Kenya consists of arid and semi arid lands (ASALs) where population density is low and livelihoods are based on livestock. Woody vegetation in those areas is sparse and consists of dry bush and open wooded grassland. Most of the rural population lives in the remaining 20% where rainfall is higher and soils are suited to agriculture. About 12% of the land area was originally covered in closed canopy forest but this has been progressively reduced by clearance for agriculture to the present level of about 1.7%. Much of this remaining forest area is protected, either as Forest Reserves managed by the Kenya Forest Service (KFS), as National Parks managed by Kenya Wildlife Service (KWS), or as trust land forests managed by Local Authorities.

In addition to the indigenous forests, there are approximately 107,000 ha of industrial plantations under the management of KFS and an estimated 90,000 ha of private industrial plantations and fuel wood plantations, mainly serving the tea industry. Plantations are located mainly in the higher elevations with high rainfall and fertile volcanic soils, where most of the rural population also lives. The area within each of these classes is summarized in **Table 1**.

As the indigenous forests have been cleared and degraded, exotic trees planted on farms have become increasingly important as a source of firewood and other forest products, and as integral components of agroforestry systems. There are no accurate data available on the scale of agroforestry planting or the contribution of trees outside forests to carbon stocks.

Table 2a-1. Areas of forest in Kenya and rate of change since 1990. Source: FAO Forest Resource Assessment 2010. Country Report for Kenya.

Category of forest resource (using FAO definitions)⁷	Area ('000 Ha)				Annual change 1990 to 2010 ('000 Ha)
	1990	2000	2005	2010	
Indigenous closed Canopy Forest	1240	1,190	1,165	1,140	-5
Indigenous Mangroves	80	80	80	80	0
Open woodlands	2,150	2,100	2,075	2,050	-5
Public Plantation Forests	170	134	119	107	-3.15
Private Plantation forests	68	78	83	90	+1.1
Sub-total Forest land (total of above categories)	3,708	3,582	2,357	3,467	-12.05
Bush-land	24,800	24,635	24,570	24,510	-14.5
Farms with Trees	9,420	10,020	10,320	10,385	+48.25
Total Area of Kenya	58,037	58,037	58,037	58,037	0

Over the past three decades, large areas of forest reserves have been “degazetted” and officially converted to other uses, mainly agriculture, and the remaining protected indigenous forests managed by KFS and KWS have been degraded by decades of illegal logging of valuable timber trees resulting in reduced carbon stocks and degraded biodiversity values. Forests on community trust lands under the control of local authorities continue to be degraded and destroyed through over-exploitation for timber, poles, charcoal and fuel wood, and through unregulated grazing and clearance for agriculture.

Government owned industrial plantations consisting mainly of *Cupressus lusitanica* and *Pinus patula* have also performed below expectations due to poor management and inadequate

⁷ FAO definitions used in Table 1:

Indigenous Forests: A group of trees whose crowns are largely contiguous and include the ecosystem that makes it up and a tree canopy cover of over 10% and the canopy is essentially of indigenous tree species growing under natural conditions and excludes planted indigenous plantation forests. The forest is delineated through legal gazettlement. The area includes Mangroves and bamboo ecosystems.

Plantation forests: All areas of systematically planted, man-managed tree resource composed of primarily exotic species. Categories include both young and mature plantations that have been established for commercial timber production. It includes clear felled areas within plantations and excludes all plantations of non-timber such as tea and coffee. It includes associated land cover/use such as roads, fire-breaks and building infrastructure if they are too small to be clearly mapped off the satellite imagery.

Open woodlands: Land classified as forest with trees higher than 5 metres and canopy cover of between 10% - 40 or trees able to reach these threshold in situ or with a combined cover of shrubs bushes and trees above 10%.

Bush lands: Communities typically composed of tall, woody self supporting single and multi-stemmed plants branching at or near ground with in most cases no clearly definable structure. Total canopy cover >10% with canopy height between 2-5M

Farms with trees: Trees found on privately owned farmlands

allocation of financial resources. The public plantation area has been progressively reduced from 150,000 ha in the early 1990s to 107,000 ha at present due to conversion to agriculture or failure to replant after clear-felling. Private plantations mainly owned by tea estates on the other hand are generally well managed and although their size is expanding, the extent is still small compared to government plantations. The extent of trees outside forests is increasing.

Role and Importance of Forests to the Economy

Kenya's forest resources are of immense importance for the environmental and ecosystem services they provide, for their contribution to economic development, for their contribution to rural livelihoods. The contribution of forests in water catchments is critical to Kenya's rural and urban water supplies, and approximately 70% of power is hydro generated. Much of Kenya's biodiversity and wildlife resources depend on forests, woodlands and dryland forest, being a major factor in attracting foreign tourism. A large rural population depends on woodland and bush resources to provide firewood, charcoal and other forest products which are critical to rural livelihoods.

The plantation resources make a substantial contribution to economic development in Kenya and are an import source of raw materials for economic development in the wider region. In the mid 1990s, it was estimated that the sawmilling industry provided 30,000 direct jobs and 300,000 indirect jobs in Kenya. In 2007, the forest sector was estimated to contribute about 1% to GDP (Ksh 16.4 billion) to the economy, and that more than 10% of households living within 5 kms from forest reserves depend on them for subsistence resources (FAO, 2007)

Forest Governance, Policy and Institutional Context

The rapid deforestation and degradation of forests over the past two decades has been mainly attributed to declining standards of governance, mis-management of the resource and misuse of existing legislation. Changes in rainfall patterns affecting agriculture, hydroelectric power availability and water availability have been blamed on forest destruction. Widespread public concern in the early 2000's over the environmental impacts of forest loss resulted in revision and updating of both the forest policy and legislation aimed at improving governance of forest resources and reversing the trend in forest degradation and destruction. The revised Forest Act 2005 came into force in 2007, although the new policy is still in draft form. This new framework for forest governance is the result of almost two decades of planning and consultation and paves the way for a new era in forest governance in Kenya. The dominant features of the revised policy and Act are provisions for a new institution to replace the Forest Department, enhanced civil society participation and partnerships in forest management, new benefit sharing arrangements, and recognition of the important role of forests in livelihoods and sustainable development. The subsidiary legislation and the operating rules and regulations required to implement the Act effectively are currently at various stages of development but generally progress is slow.

A number of broader national level plans and strategies are relevant to forest governance including the Vision 2030, The National Climate Change strategy, the Arid and Semi Arid Lands policy, the Livestock Development policy, and the Charcoal policy. In addition, the international conventions signed by Government of Kenya are relevant, including the CBD, CITES, UNFCCC, and UNCCD. Pending legislation on land reform and a revision of the constitution may also impact on forest governance.

The new institution responsible for the forest sector is the Kenya Forest Service (KFS). It has regulatory as well as management functions. It is a young institution and is still at the stage of developing its organizational structure and decentralized management levels.

There are a number of other technical institutions supporting the forestry sector including a Technical Forestry Training College, two Universities offering forestry degree courses, the government forestry research institution, KEFRI, and several civil society organizations that play advocacy and awareness raising roles. Civil society organizations have an important role in forest governance in Kenya and have proved to be an effective means of raising awareness and changing attitudes and behaviour. The timber processing sector is represented by the Timber Manufacturers Association. Technical competence within these institutions is high.

Tenure and ownership of forests

KFS owns and manages all State Forest Reserves, but under the new Act it also has regulatory functions relating to all other public and private forests. These regulatory functions are aimed at ensuring forests receive appropriate protection and are managed sustainably through management plans.

Trees on private farms are not subject to state regulation. Private forests consisting mainly of commercial plantations, and fuel wood plantations owned by tea estates, are not subject to KFS interference except in cases of destruction or mismanagement, in which case they can be declared provisional forests and are temporarily brought under the jurisdiction of KFS. Local Authority forests on trust lands are not regulated by the KFS unless requested to do so by the Local Authority.

The Role of Communities

The new policy and legislation introduces provision for empowerment of communities in forest management and more equitable sharing of benefits. This is a major departure from the past when communities had little or no role and access to subsistence resources in forests was often prohibited, resulting in conflicts between communities and forest authorities. The new provisions are aimed at improving livelihoods by increasing the benefits of forests and thereby reducing the pressures on forests.

One of the mechanisms for community empowerment and benefit sharing is through the Community Forest Associations (CFAs), which are a new concept introduced to implement the community empowerment provisions of the new Forest Act. KFS can allocate forest areas to CFAs that then manage the forest under a management plan agreed with KFS. CFA members need training and other forms of capacity building to operate effectively. However few CFAs have been set up to date, and progress is slow although KFS has plans in place to get the process underway.

Benefit sharing arrangements are being discussed between KFS and communities but are not finalized. The benefits include access to firewood and other resources in forests and participation in taungya system planting in plantations. KFS has in some few cases offloaded all carbon rights to communities who have invested in management and conservation of specific forest blocks with climate change mitigation as an added benefit. Some communities expect that revenue for timber sales and payments for ecosystem services will be shared, but no agreement has been reached on this issue and it is not specifically covered in the new policy and law, and is a potential source of future conflict.

Private sector involvement

On-farm tree planting has gained momentum in recent years as a result of agroforestry extension efforts over the past two decades and this is set to increase with efforts to achieve the National Plan (Vision 2030) target of 10% of land area covered in trees. In addition there is increasing interest shown by private individuals in establishing commercial plantations in recent years. Wood processing is primarily a private sector activity and in recent years a number of saw-millers have established fast-growing plantations as a means of securing future timber supplies. Private companies have expressed interest in taking concessions on state plantations as this is now provided for in the 2005 Forests Act. However, no concession arrangements have been agreed to date and the regulations governing the same are now being finalized.

Underlying causes of deforestation and degradation

Kenya's rural population is concentrated in areas which have rainfall levels adequate to support agriculture. These are also the areas where most of the forest resources are located. The rapidly increasing population has progressively cleared the forest to expand agriculture and this has been one of the most important drivers of deforestation historically. Subsistence agriculture remains the mainstay of rural livelihoods as there are few alternative livelihood options both in rural and urban areas. Pressure for agricultural land combined with widespread poverty has resulted in forest clearance for agriculture and degradation through unsustainable utilisation.

Unsustainable utilization tends to degrade rather than destroy forests but can lead to greatly reduced carbon stocks. Charcoal production is one of the few income generating opportunities available to resource poor rural people. As utilisation of bush and woodland resources in trust lands are not effectively unregulated, they are over utilised and degraded by extensive exploitation for the charcoal trade. Over-grazing in those areas is also causing degradation. Indigenous forest reserves and state owned plantations are in theory protected in forest reserves but poor governance has allowed unsustainable utilisation to take place leading to degradation and forest clearance through inappropriate thinning and illegal logging.

The impacts of direct pressures on the forest resources such as clearance for agriculture and unsustainable utilisation, have been compounded by weak governance of the forest sector that has facilitated forest destruction. Weak governance in public administration in general and in the forest sector in particular is regarded as a key driver of deforestation and degradation in Kenya and is linked to many of the other underlying causes. Since the mid 1980s the strength of the then Forest Department declined, political interference in forest administration increased, government funding declined, law enforcement declined, and staff morale declined. During this period, silvicultural treatments were reduced, and the backlog of areas to be reforested increased substantially. The timber processing industry declined as roundwood supplies from plantations dried up. During this period also, substantial areas of gazetted forest reserves were excised and converted to agriculture, motivated by individual political gain rather than by the common good. Efforts at forest conservation and improving forest management during this period with donor support failed to achieve their potential due to poor governance at local and national government levels.

Trustland forests were not subjected to any management or regulation of exploitation and although the Constitution and the Trust Lands Act vest power on the county councils to hold trust land in trust and for the benefit of people resident in such areas, the power to alienate trust land lies with the Commissioner of Lands who is a direct representative of the President. This has resulted in irregular alienation of trust land to individuals or companies in total disregard of the needs of local residents.

Poor governance has been a major driver of deforestation and destruction in the past and has hindered efforts to reverse the trend. The reforms of the policy and Forests Act 2005 were aimed at addressing these weaknesses and improving governance in the forest sector.

The drivers listed in table 2a-2 are grouped into six categories – governance drivers, policy drivers, economic drivers, technology drivers, cultural drivers and others. Many of the drivers are interlinked and some are much more important than others. A distinction is made between direct drivers (such as agricultural expansion) and indirect drivers (such as weak governance).

The principal drivers, summarized in order of importance, are (1) **clearance for agriculture** (linked to rural poverty); (2) **unsustainable utilization** (including timber harvesting, charcoal production, grazing in forests; and (3) **poor governance** and institutional failures in the forest sector.

Table 2a-2. Drivers of deforestation and forest degradation

CATEGORY	DIRECT DRIVERS	INDIRECT DRIVERS
GOVERNANCE DRIVERS	De-gazetting forest lands (Note this was an important driver of deforestation in the past although it is now addressed through the Forest Act 2005)	Poor governance, including weak institutions, corruption, illegal logging, weak law enforcement. Weak community participation in forest management Inadequate benefit sharing from forest resources (including revenue sharing) Local authorities do not value their forests Communal land systems - lack of private ownership of the resources/land Unclear tenure and access to forest resources (e.g. Local Authority forests)
POLICY DRIVERS	Allowing grazing in forest reserves during droughts causes degradation Banning Taungya system has slowed reforestation Bad administration of the Taungya system	Agricultural policies urging farmers to produce more cash crops for export The focus on gazetted forests has led to reduced attention on dry land woodlands and other types of forests including coast and riparian forests Harvesting ban in plantation forests
OTHER GOK POLICIES		Inadequate of integration of the forest sector into the economy and national accounting
ECONOMIC DRIVERS	Poverty (broad issue - focus on livelihoods) Reliance on charcoal fuel / Unsustainable charcoal production/large urban market for charcoal fuel Conversion of trustland woodland to agricultural use for large-scale commercial production of bio fuel crops or other agricultural crops Population pressures causing clearing (Competing land uses), including agricultural expansion Conversion of coastal forest to other uses	High prices for agricultural products. Subsidies/Incentives- tax exemption for fertilizers, for farming tractors Fixing timber prices at too low levels

TECHNOLOGY DRIVERS	Lack of knowledge and use of appropriate technology in tree growing, and nurseries production Lack of knowledge by the population about impacts of deforestation. Lack of knowledge on tree planting and lack of access to information (ref. Uganda success in tree planting partly due to provision of good extension information) Improved saw milling technology	Lack of security of supply of timber to the sawmilling industry (low investment in timber processing technology, poor timber conversion ratios)
CULTURAL DRIVERS		The cultural urge to own land
OTHER CAUSES: (anthropogenic)	Fires used in agric clearing, inadequate capacity to manage fires Wildlife damage (elephants and other) Droughts	

Analysis of Measures to Address Forest Destruction and Degradation

The comprehensive reforms in forest governance introduced over the past 5 years in Kenya are aimed at overcoming the trend of deforestation and degradation in the past and overcoming past deficiencies. The reforms were carefully formulated over the last two decades and were based on comprehensive research and detailed data collection. Therefore, the most promising strategy for REDD+ is to provide support for the implementation of the current reforms.

The key elements of the new policy and legislation are:

- A greatly enhanced role for communities through Community Forest Associations and other mechanisms
- A focus on livelihoods and sharing benefits from forests more equitably
- Forest management planning that is guided by professionalism, is science based, and uses an eco-system approach
- Appropriate incentives to promote sustainable use and management of forest resources
- Establishment of semi-autonomous Kenya Forest Service as a new institution to replace the Forest Department with an expanded mandate in the management of all types of forests
- Promotion of commercial tree growing
- Excision of gazetted forests will require EIA and parliamentary approval
- Management plans are required for all major forest ecosystems
- Establishment of a Forest Management and Conservation Fund
- Payments for ecosystem services
- Commitments to Sustainable Forest Management
- Commitment to environment role of forests including water values, biodiversity values, climate change values

In addition to measures resulting from the new forestry policy and legislation, other sector policies and laws have impacts on trends in forest destruction and degradation. Of particular

note is the Agriculture (Farm Forestry) Rules 2009 introduced under the Agriculture Act, aimed at promoting and maintaining farm forest cover of at least 10 per cent of every agricultural land holding as a means of preserving and sustaining the environment in combating climate change and global warming. The proposed new constitution, also refers to a target of achieving and maintaining tree cover of at least 10% of the land area of Kenya (Article 69(1)(b)). The new constitution if passed in a national referendum later in 2010, is also likely to have important implications on management of trust lands where significant forest resources are found. A new Land Policy has been drafted and is currently under public discussion. The new policy aims to streamline land management and administration, review existing land laws and address past problems including inequalities in access to land, land tenure issues, under-utilisation or abandonment of land, and over exploitation and unsustainable use of land. The new constitution and land policy are likely to have far reaching impacts on the management of forests in trust lands currently managed by district councils.

A series of programs and sub-programs have been developed by KFS to operationalise the reforms. Most are at an early stage of development and would benefit from support through REDD+. Reforms related to community participation are already underway with support from a number of sources and institutional support is being provided by Finnish Government. However, additional support is required in those and in other aspects of the reforms.

The new forest governance measures and associated programs are at an early stage of implementation and have not begun to show results yet. However, two notable achievements to date are the success of the new legislation on stopping excisions from forest reserves and the reversal of a previous government decision to convert a large area of the Mau forest catchment to agriculture. The forest destroyed over the last twenty years is now being restored. These are examples of the successes achieved through the new forest governance measures which give confidence that supporting the implementation of the new measures will be a successful strategy for REDD+.

Civil Society organizations have had a major role in raising awareness, and changing attitudes and behaviour of both politicians and civil society in general. They had an important role in facilitating dialogue between the stakeholders during the formulation of the new policy and legislation, bringing together politicians, technical forestry staff and the general public, and giving a voice to marginalized forest adjacent communities. The R-PP can assist civil society organizations to continue their advocacy and awareness roles which are needed for successful implementation of the new strategies and measures.

KFS as an independent public service agency working closely in partnership with communities, the private sector and other arms of government, has the potential to radically improve governance in the sector, enable trends in forest destruction to be reversed, and to enable the benefits of sustainable forest management to be realized. The Service still faces challenges in building its institutional capacity and ability to implement its mandate. Supporting the KFS institution in a range of activities will strengthen governance of the forestry sector in Kenya. Major areas of support should include building its institutional capacity, support in development of operational guidelines, subsidiary legislation, rules and regulations; operationalising community forest management arrangements; developing and piloting arrangements for involvement of the private sector; benefit sharing arrangements; assistance in developing forest management plans; and many other tasks which KFS faces at present.

Community participation and benefit sharing is a major theme of the new governance arrangements and is expected to reduce pressures on forests. This theme has a number of interlinked components including benefit sharing arrangements, involvement in decision making, protecting customary access, and enabling equitable and fair partnerships. The modalities for

operationalising the role of communities and piloting the new arrangements are under development. The R-PP can make a significant contribution by supporting this process.

The new arrangements support a stronger role for the private sector but concession and other types of arrangements to facilitate this are still under development. Commercial plantations managed by the private sector are likely to be much more productive and carry much higher carbon stocks than at present. The R-PP can support the process by supporting KFS in developing and pilot such arrangements.

The new arrangements support sustainable forest management (SFM) which brings greater social and environmental benefits as well as resulting in higher carbon stock in forests. The R-PP can support implementation of SFM.

Information gaps

The information gaps related to the drivers of deforestation and degradation are:

- Inadequate data on the forest resources – trees outside forests, private plantations, GoK plantations, biomass in bush and dryland forests
- Data gaps related to governance drivers - inadequate information on the current domestic timber requirements, the current domestic supply, the timber value chain, adequacy or deficiency and understand timber import and export dynamics, supply and demand modelling. In relation to the logging ban currently in force, there is inadequate information on the economic impacts and a cost benefit analysis is proposed to enable an assessment of the effectiveness or otherwise of the ban.
- Unsustainable production of charcoal - a better understanding of the charcoal value chain is needed
- Community related drivers - methodology for monitoring and evaluating the impact of increased community participation, mechanisms for benefit sharing arrangements, manuals are required for building capacity of CFAs
- Livelihoods related drivers - inadequate information on what alternative livelihood activities are worthwhile, inadequate information on the impact of forestry on livelihoods and the wider economy and the contribution of forestry to GDP
- Forest degradation due to over grazing - inadequate information on appropriate forest management systems that incorporate grazing, levels of livestock carrying capacity and sustainable solutions to over grazing in the ASAL areas.
- Data on Impact of fires on forest resources and carbon stocks

Initial Activities for R-PP Implementation

Given the status of knowledge regarding forest sector practices and considering potential REDD+ Strategies, and their management and implementation arrangements, the following topics are proposed to be further researched as next steps during the early phase of R-PP implementation, although others may be defined as the candidate strategies and REDD+ processes evolve.

- Estimates of trees outside forests, biomass in gazetted forests and bushlands, consolidated database of forest resources
- Domestic timber supply and demand
- Economic assessment of the impact of the logging ban in plantations
- Charcoal value chain assessment

- Methodology for assessing the impact of community involvement in forest management
- Assessment of promising alternative livelihood activities
- Methodology for provision of disaggregated data on the forestry sector in government accounting
- Development of appropriate systems for forest management that include grazing
- Impact of fires on carbon stocks by forest type burned

Table 2a-3 provides an indicative budget for these next steps. In practice the individual research activities are likely to be integrated into the work of designing and developing REDD+ Strategies that is specified in Components Two, Three and Four. In that process, targeted research studies will be designed and initiated. Some funding is suggested.

Table 2a-3: Summary of Forest Sector Assessment Activities and Budget					
Main Activity	Sub-Activity	Estimated Cost (USD)			
		2011	2012	2013	Total
	Assessments to fill knowledge gaps (as defined by REDD+ component task forces)	40,000	100,000	100,000	240,000
Total		40,000	100,000	100,000	240,000
Government		\$	\$	\$	\$
FCPF		40,000	100,000	100,000	240,000
UN-REDD Programme (if applicable)		\$	\$	\$	\$
Other Development Partner 1		\$	\$	\$	\$
Other Development Partner 2		\$	\$	\$	\$
Other Development Partner 3		\$	\$	\$	\$

2b: REDD+ Strategy Options

Overview of REDD+ Candidate Strategies

As presented in detail in the Forest Sector Assessment component 2a, and in Annex 2a-1, deforestation occurs mainly in local authority and gazetted forests, while forest degradation exists across the country in gazetted forest and woodland areas. Priority REDD+ strategies must therefore focus on institutional strengthening so that forests with different uses and under different management types can be managed cohesively for the purposes of REDD+.

In addition to activities related to reducing emissions from deforestation and forest degradation, activities that increase CO₂ removals such as Improved Forest Management and enhancement of forest carbon stocks could also contribute significantly to reducing the overall net emissions flux in Kenya. As such, critical elements in Kenya's REDD+ vision include strategies to improve existing policies and approaches to promote these activities as well as the development of innovative new policies that encourage broader and more efficient uptake of activities that reduce emissions and increase removals of CO₂.

Linkages Between REDD+, NCCRS and other Government Policies

The overall objective of the REDD strategy is to reduce the current deforestation and forest degradation and provide opportunities for sustainable management and conservation of forest resources in the country. Implementation of the strategy will in turn support implementation of environmentally and socially sustainable land-use and forest policies identified under the National Climate Change Response Strategy (NCCRS). The Strategy was developed to enhance Kenya's response to the vagaries posed by climate change, promote sustainable and climate friendly development programmes and enhance participation in the global climate change discussions. Afforestation, reforestation, and sustainable management of forests have been identified as key areas of focus in climate change mitigation and adaptation and in adapting national efforts towards a low carbon development pathway. Forestry activities will support agriculture, energy, water and rural development sectors where most adaptation efforts will be directed. The current high levels of deforestation and forest degradation and immense opportunities within the country for sustainable management of forests and enhancement of carbon stocks provide a strong ground for supporting REDD+ initiatives in the country to deliver NCCRS objectives. The annual loss of 12,000 ha of forest results in a loss of approximately 1.6 million tons of carbon per year. Carbon losses from Woodlands (i.e. trees in grasslands and bushland) amount to 406, 000 metric tonnes of carbon, assuming an annual loss of 33,500 ha of other woodland.

While supporting the realization of the NCCRS goals, the proposed REDD strategies will complement government efforts in implementing the following related policies:

Vision 2030: the country's economic blueprint, through its support to the other primary sectors of the economy, particularly agriculture, tourism and energy. Under Vision 2030, Kenya aims to protect the five water towers (Mt. Kenya, Aberdares, Mau, Cherangani and Mt. Elgon) and increase the forest cover to 10% through an aggressive afforestation and reforestation and restoration programme. The proposed REDD strategy will greatly support these efforts through improved forest sector governance that will promote sustainable management and conservation of the five key forest ecosystems.

The Strategy for Revitalizing Agriculture (SRA): The proposed REDD strategy seeks to provide viable and sustainable income sources at the farm level that could reduce the current poverty levels and reduce overdependence on forests for livelihoods. These interventions will complement other programs for enhancing agricultural productivity already under implementation, including the Kenya Agricultural Input Supply emergency project and the Kenya Agricultural Productivity and Agribusiness Project. All these efforts enhance overall agricultural productivity, diversify incomes and increase farmhold incomes which are core objectives of the Strategy for Revitalizing Agriculture.

The Environmental Management and Co-ordination Act (EMCA) of 1999: This Act provides a framework for integrating environmental considerations into the country's overall economic and social development. It aims at harmonising the various sector specific legislations that impact on environment to ensure greater protection of the physical and social environment. The REDD strategy supports the EMCA through improved Forest Law Enforcement and Governance (FLEG).. There are proposals to harmonize all legislations affecting FLEG while strengthening partnerships to ensure the forestry sector effectively functions and delivers required social and economic benefits.

The Energy Policy: The Energy Policy seeks to among others ensure adequate, quality, cost-effective and affordable supply of energy to meet development needs, while protecting and conserving the environment. Specific objectives include providing sustainable quality energy services for development, improving access to affordable energy services, enhancing security of supply and promoting energy efficiency and conservation. The proposed REDD strategy provides for sustainable management and conservation of major water catchment areas thus securing improved and regular water flow to the hydro-electric power generating dams. In addition the strategy will support the policy in addressing the issue of improving access to sustainable and affordable fuel wood energy sources and in promoting energy conservation initiatives;

The Water Policy: The REDD strategy supports an ambitious water catchment protection program that will ensure sustainable water flows to support agriculture and other key sectors.

The Policy on Arid and Semi Arid Lands: The REDD strategy contains provisions that would promote integrated management of dryland natural resources, conservation and management of dryland forests and regulating unsustainable utilization of forests including charcoal burning. Unsustainable utilization of dry land forest resources will be addressed through a streamlined charcoal production and transporarion rules and programs that promote participatory management of forest resources in the ASALs

Candidate REDD+ Strategies

Current candidate REDD+ strategies (policies) are summarized below. These candidate components and actions were developed and discussed during meetings of the Policy Working Group, including Kenya Forest Service staff and the Consultant Team at various gatherings of this expert group. Further guidance on priority strategies and next steps was also derived from consultations performed during the R-PP formulation period, as described in Section 1b (with Annexes 1b-1 and 1b-2).

The term 'REDD+ strategy' is used in this R-PP to refer to various policies, measures and actions taken by public and private actors that are developed for the purpose of reducing emissions and increasing removals of CO₂ in the land use sector. A REDD+ strategy can involve modifications or improvements to existing policies, development of new policy measures and programs, 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 communities, private forest owners and forest industries to enable and encourage them to engage in REDD+ activities.

The selection of Kenya's priority REDD+ strategies is only the beginning of the process. This R-PP describes the steps by which these potential candidate strategies will be evaluated further and put into practice. However, until the costs and implications associated with implementing each strategy elaborated, and until quantified analyses exist of their actual potential to lead to the desired emission reduction or stock enhancement, these candidate REDD+ strategies are essentially priority options under evaluation, built from a validated multi-stakeholder process. Thus, the strategies that follow are focused on fact-finding, expert reviews and consultation that would lead to testing of the measures, policies and programs as early action. These steps will lead to proposals for how to design the selected REDD+ mechanisms as the R-PP implementation process concludes. As described in component 2c, early action strategies through which performance-based emission mitigation can be demonstrated will enable access to early finance for measures to be taken.

The international REDD+ mechanism expected to be finalized in the coming months will likely clarify the modalities by which Kenya will be able to access funding for REDD+ strategies it may select. In the meantime, therefore, our priority is to elaborate on the institutional, legal, economic and policy designs that various REDD+ strategies will require (as described in component 2c Implementation Arrangements). In this R-PP, we describe a decision framework (in Management Component #1a) that can be used, along with the rich contributions that should emerge during the process of analysis, testing and early enactment, to ultimately select REDD+ strategies for implement in the national REDD+ program.

Kenya's REDD + strategy has the following main objectives:

- To reduce emissions from deforestation and degradation of existing forest lands
- To increase carbon stocks in existing forests
- To reduce pressure on forests
- To enhance the value of forests to livelihoods and the national economy

The strategies that are proposed to attain these objectives are designed to address the main drivers of deforestation and degradation described in 2a (clearance for agriculture, unsustainable utilisation and poor governance) and draw on lessons learned and successes in addressing degradation and enhancing carbon stocks in recent years. The drivers are interlinked (for example both unsustainable utilisation and clearance for agriculture are partly due to poor governance) and some of the strategies proposed will have an impact on several drivers.

The candidate strategies proposed for the R-PP fall into priority areas as follow:

- Reducing pressure to clear forests for agriculture
- Promoting sustainable utilisation of forests
- Improving governance in the forest sector
- Promoting enhancements of carbon stocks

A series of potential strategies or activities are proposed under each category below, considered to be the most appropriate and potentially successful strategies to achieve the objectives. The list will be refined and specific strategies selected through a process described in next steps section below in the course of R-PP implementation. The list is not exhaustive and additional strategies may be identified during R-PP implementation by the REDD+ Component Task Forces that will lead them.

Below, we briefly describe the rationale for the strategies and link them to the main drivers of deforestation and degradation. The strategies and REDD+ activities proposed will be validated and elaborated during R-PP implementation, including considerations for an institutional arrangement to pursue the strategy, early reflections on feasibility, sustainability

and links to other forest sector policies, risks of leakage, key actors to engage and next steps to be taken to eventually define each candidate component's role within a National REDD+ Strategy.

Many of the REDD+ strategies in our portfolio will not involve developing new initiatives, when for example they stem from existing policies or programs. Improvements or modifications of existing measures and programs have been suggested by consultations and analysis for use during R-PP formulation. For these, testing and analysis phase may be abridged depending on the data and information available, and the R-PP implementation could move straight to design of the REDD+ component at the national level. In general, the evolving needs of strategies development will be considered by Task Force Officers as they evolve.

Some of the strategies proposed below will have an immediate and direct impact on carbon stocks while others are more indirectly linked to carbon accumulation. For example a reforestation program will directly increase carbon stocks. Improved governance measures, or capacity building measures are less directly linked to carbon accumulation, however, are essential to ensure that impact of the reforestation and other direct carbon accumulation strategies are sustained in the long term. Therefore candidate strategies listed below include interventions that will have both direct and indirect impacts on deforestation and degradation.

Description of Candidate REDD+ Strategies

The major outcomes sought via the candidate strategies are described in some detail according to the priority area they address. The following gives a brief overview of the main activities possible within the strategies.

Priority Area I: Reducing pressure to clear forests for agriculture and other uses

Clearance for agriculture has historically been the main driver of deforestation. However, in recent years the problem of clearance of gazetted Forest Reserve land for agriculture has been largely addressed through the provisions of the Forests Act 2005 and through successful advocacy and awareness campaigns. However, clearance for agriculture continues to be a problem in trustland forests and in forests occurring on group ranches.

As most forest clearance for agriculture is currently occurring in trustland forests under the control of Local Authorities, a series of activities is proposed to support local authorities to address this problem including technical assistance, development of forest management plans, awareness and advocacy activities.

Awareness and advocacy activities have been a successful strategy in mobilising public opinion in favour of protecting forests and in securing political commitment to protect existing gazetted forests and restore degraded forests, and these activities will be included among the R-PP strategies.

Rural communities are poor and depend on forests for subsistence resources. The access rights provided through the Forests Act 2005 have recently been elaborated in subsidiary legislation, along with provisions for the new benefit sharing arrangements outlined in the Act. Implementation of these arrangements will provide a new role for communities in utilisation of forest resources and protection of forests, with the aim of increasing livelihood benefits, and thereby increasing the value of forests to adjacent farming communities which should result in a reduction of pressure to clear the forest.

The following strategies and activities are proposed:

- Awareness and advocacy activities among farming communities, and the wider public on the impacts of forest clearance.

- Strengthen the capacity of Local Authorities to manage the trustland Forests, including technical assistance, guidance in the development of management plans, awareness and advocacy activities
- Pilot management of trustland areas by CFAs (Community Forest Associations) as described in the Forest Act 2005 (this strategy will also address unsustainable utilisation in trustland)
- Assist KFS to pilot community participation arrangements described in the recently elaborated subsidiary legislation to the Forests Act 2005
- Assist KFS to elaborate and pilot test benefit sharing arrangements in the context of the REDD+ task force work, including access to forest resources, with local communities, also elaborated in the recent subsidiary legislation. (Note this activity will also address unsustainable utilisation of forest resources described under “Priority Area 2” below)
- Support KFS implementation of the taungya system in plantation forests (PELIS)
- Support KFS to address forest fires (usually caused by agricultural clearance), including early warning systems, fire preparedness, and enhancing fire fighting capability.

Interventions at the farm level will be identified in close collaboration with the Ministries of Agriculture and Livestock Development which already have programmes aimed at increasing productivity and rural incomes. The ultimate aim is to provide viable and sustainable income sources that could reduce the current poverty levels and reduce overdependence on forests for livelihoods. These interventions will complement other programs for enhancing agricultural productivity already under implementation, including the Kenya Agricultural Input Supply emergency project and the Kenya Agricultural Productivity and Agribusiness Project. The Strategy will target forest adjacent communities and who currently have a strong dependence on forests for their livelihoods.

The proposed activities include:

- Providing agricultural inputs to poor and vulnerable forest adjacent communities in line with the government’s National Accelerated Agricultural Inputs Access Program (NAAIAP). The provision of agricultural credit through commercial banks and other financial institutions under the “Kilimo Biashara” program—a credit guarantee system for farmers and agro dealers is also proposed.
- Encouraging farmers to take up intensive farming practices and soil fertility management that will enable them to produce more on existing farm land
- Supporting alternative income generating activities among forest adjacent communities including forest-based enterprises targeting non-wood forest products
- Encouraging commercial on-farm tree growing
- Encouraging livestock keepers to improve the quality of their livestock, reduce numbers, and implement increased management of grazing lands

By participating in the National REDD Steering Committee, the National Technical Working Group and the Thematic group discussions, the Ministry of Agriculture will have an opportunity to spearhead and coordinate activities that increase overall agricultural productivity in line with its mandate. . The National Climate Response Strategy highlights the critical role of the Ministry of Agriculture towards realizing the overall national climate change mitigation and adaptation goals. The Ministry is a key participant in policy deliberations currently coordinated by the Ministry of Environment and Mineral Resources and is the implementing agency for mitigation and adaptation activities in the agricultural sector.

Priority Area 2: Promoting sustainable utilisation of forests

Unsustainable utilisation degrades or destroys forests and is an issue for gazetted Forest Reserves, trustlands, woodlands and bush lands. As already mentioned, both the drivers of deforestation and the strategies to address them are inter related. A number of the strategies described under Priority Area 1 above that address clearance of forests for agriculture, will also help to address unsustainable utilisation.

In Forest Reserves, the issue of unsustainable utilisation has two dimensions – community use and commercial timber harvesting. In relation to community use, the issue will be addressed by implementing the new measures in the Forest Act 2005 described above (i.e. piloting access and benefit sharing arrangements, support to establishment of CFAs, and promotion of agroforestry). In relation to commercial timber harvesting, the issue will be addressed by better protection and better management resulting from implementation of the governance measures described in “Priority Area 3 Improving Governance” below. There is however a need to introduce standards in sawmilling technology while subsidizing access to efficient technologies to increase recovery rates that are currently on average very low.

The legal and institutional environment for management of the trustland forests is likely to change with the introduction of the new land policy, and proposed revisions to land laws as discussed in component 2a. These changes will facilitate better management of the trustland forest resources. The strategies proposed for addressing unsustainable utilisation in trustland forests include piloting management by CFA's and strengthening the capacity of Local Authorities to manage forests as described in priority area 1 above.

Biomass is the largest form of primary energy consumed, accounting for 68 % of the total national primary energy supply. The rural population will especially continue to rely on forest and woodland resources for rural energy. The principal drivers of biomass energy demand are population growth, lack of access to biomass energy substitutes and the growing incidence of poverty among the Kenyans. The biomass energy supply and demand imbalance is exerting considerable pressure on the remaining forest and vegetation stocks, thereby accelerating the processes of land degradation. This is particularly prominent in the bushlands and trustland forests. In addition, the production of biomass energy poses a threat to competing land use systems such as agriculture, forestry and human settlements.

It is important to ensure that energy policies are consistent with REDD+ strategies. The mandate for implementation of the energy policy is vested in the Ministry of Energy and which has established a specialized Department of Renewable Energy that implements initiatives related to energy conservation, energy efficiency and promotion of alternative energy sources. There is a strong case for establishing a strong inter-institutional linkage between KFS and the Department of Renewable Energy to comprehensively address the issue of fuelwood supply and utilization in the country. Unsustainable harvesting for fuelwood will be addressed by the following strategies:

- Assist KFS to operationalise the recently gazetted subsidiary legislation on charcoal production;
- Support the Ministry of Energy in the promotion of efficient charcoal making technology aimed at reducing waste and associated pollution;
- Assist KFS, Ministry of Energy to finalize and operationalize a fuelwood development strategy for the country
- Promote fuel-efficient institutional and household charcoal stoves through the KFS networks and Energy centres established by the Ministry of Energy;

- Promote fast growing fuelwood plantations and development of outgrower schemes to supply fuelwood to tea , tobacco and other industries that currently rely on fuelwood for curing and heating;
- Promote agroforestry
- Promote community based utilization of biofuels for lighting and cooking thus reducing demand of fuelwood; and
- Introduce woodlands management guidelines including establishing and enforcing sustainable harvesting levels in line with the Forests Act , The ASAL development Strategy and Land Use Policy for the country

Priority Area 3: Improving Forest law Enforcement and Governance

Poor governance and institutional weaknesses were identified as a major cause underlying deforestation and forest degradation. Kenya is a key participant in the East African Forest Law Enforcement and Governance (EA-FLEG) strengthening process which seeks to operationalize the Younde Ministerial declaration on Africa Forest Law and Governance (AFLEG). Improving forest law enforcement in Kenya will be implemented and monitored within the framework of the EA-FLEG process. The Kenyan process has identified the following key issues for consideration during the implementation of the EA-FLEG process:

1. Expedite the preparation of subsidiary legislation needed to operationalize the Forestry Act 2005.

- Preparation and validation of legislations, rules, regulations and guidelines required to implement the new Forest Act 2005 ;
- Undertake consultations to clarify the access and user rights of forest areas ;;

2. Strengthen national capacity for FLEG (through advocacy, training and awareness creation) for forest law enforcement and governance:

- Implement a series of training workshops on forest legislation for KFS staff, to inform and develop Action Plans.
- Design and implement a programme on information, public education and advocacy relating to forest law enforcement and governance for policy makers.
- Building an effective framework for exchange and sharing of information at the national, sub regional and international level ;
- Design and implement an awareness and capacity building programme for local communities in establishing and managing Community forest associations.

3. Strengthen the system for Monitoring and tracking of illegal logging and other forest crimes:

- Undertake a comprehensive study to assess and analyze the existing information on the scope and extent of illegal logging and other forest crimes to provide a basis for regular monitoring and up-dating of information.
- Prepare a strategy for forest law enforcement in the context of the KFS Strategic Plan 2009-2014.

4. Strengthen KFS partnerships and resource mobilization for FLEG:

- Undertake feasibility studies for the establishment of private companies and enterprises to tap into commercial tree farming;

- Set up of a fully fledged “Business Enterprise Programme” within KFS for resource mobilization and the development/promotion of all public/private partnerships.

5. *Harmonization of legislations affecting FLEG:*

- KFS undertakes a review to identify the key areas of conflict/overlap with other acts/legislations (e.g. in the management of the water towers- ministry of Water)
- Initiate, involving NEMA as appropriate, in the consultative process leading to conflict resolution through the existing mechanisms (e.g. the National Environment Council).

The following strategies have been proposed to support implementation of reforms proposed in the new Forests Act 2005 and the implementation of the East African Forest Law and Governance process. They are expected to have a direct impact on addressing deforestation and forest degradation in the country.

- Strengthen the capacity of KFS to implement reforms
- Strengthen KFS capability for forest resource assessment and monitoring and tracking down illegal forest activities
- Elaborating subsidiary legislation in support of the Forests Act 2005
- Capacity building at all levels to implement the new governance arrangements
- Support and strengthen community and private sector partnerships, including piloting joint management arrangements
- Capacity building of CFAs
- Development of management plans (including user friendly plan templates for use by CFAs)
- Advocacy and awareness activities related to the new governance arrangements
- Harmonization of legislations affecting FLEG and strengthening conflict resolution mechanisms including the National Environmental Tribunal
- Strengthen the capacity of civil society organisations working in the forestry sector
- Strengthen the capacity of the judicial system in relation to forest and environment laws.

Priority Area 4: Enhancement of carbon stocks

The following measures are proposed to increase carbon stock in existing forests and to encourage new forest establishment, reforestation of degraded and deforested areas and expansion of trees on farms. The strategies are based on analysis of previous experience and lessons learned. These measures will be implemented in pursuit of the Vision 2030 and the NCCRS goals of increasing the forest area by 4.1 million hectares over the next 20 years and will be implemented with support from schools, youth groups, other organized groups and Regional Development Authorities.

- Advocacy, awareness, at all levels, changing attitudes, including strengthening civil society organisations engaged in such activities
- Tree planting campaigns and support to provision of high quality germplasm to farmholdings. These activities will be jointly implemented between KFS and the Ministry of Agriculture to support implementation of the new Agriculture rules that prescribe that a minimum of 10% should be under forests.

- Farm forestry extension, including developing manuals and tools to support best practice in tree growing
- Support GoK to introduce incentives for commercial scale investment in tree planting
- Support to promotion of sustainable forest management (SFM). This support which will be extended to all the water towers will while delivering carbon benefits also enable realization of the objectives of Vision 2030, The National Climate Change Response Strategy, ASAL development Strategy, Land use policy and others.
- Support for forest protection that increases carbon stock, improves biodiversity and livelihood benefits
- Support to the GoK target to plant 10% of land with trees. This is in line with the vision 2030 objectives and the Agriculture rules that require a minimum of 10 % of agriculture land to be under trees.

Initial Activities:

The next steps in the R-PP implementation phase leading to defining the REDD+ strategies, include those described below. These activities will take place on their own timeframes for each priority area and strategy component. Thus, the National REDD+ strategy can be built as each measure and strategy is finalized.

Activity 2b.1: Validation of R-PP to approve the REDD+ strategy component task forces

- Give the mandate and resources to approved institutions on the task force to lead on the analysis and design of candidate strategies
- Designation of REDD+ Component leaders by task force members

Activity 2b.2: Initiate REDD+ component Task force work

- Depending on the REDD+ Component TORs, most begin with analysis of the measures being investigated for design and demonstration. Either task force experts or others will be subcontracted to perform the analysis that will inform the design of the strategy.
- Hold first workshop to initiate Task force work plan and to set agenda for subsequent discussion workshops where design elements are elaborated and proposals made for demonstration or early implementation (submitted to National REDD+ Coordination). Likely 2 workshops each year.
- Create linkages between the REDD+ Component task force and the National REDD+ Coordination body.
- Establish necessary coordination and linkages between REDD Coordination Body and the NCCRS implementation Body
- Establish linkages between REDD coordination body and other Ministries which are expected to play key roles in REDD implementation and whose policies will be positively impacted by a successful REDD+ implementation.

Activity 2b.3: Begin early implementation of measures

- Get mandate from REDD+ SC to begin early implementation of the measures designed, and subsequently liaise with the local conservancy officers of the areas where demonstration will occur
- Establish all necessary coordination with REDD+ National Coordination body and other relevant Government Ministries to ensure appropriate accounting, oversight, and transparency in the implementation of the test implementation

Activity 2b.4: Evaluate and monitor outcomes of early action testing

- Once strategies have been implemented for the defined amount of time, an external consultant to the Task Force will be hired to evaluate the outcomes and lessons learned. Design a TOR for this evaluation.
- Could be a foreign consultant or local consultant, estimated at full time over 6 months
- Generation of progress reports from sites by a hired Task Force consultant

Activity 2b.5: Elaborate proposal for scaling up the REDD+ Strategy, for those REDD+ component measures that are deemed successful enough to be considered by RSC for future inclusion in REDD+ National Strategy

- Hire consultant to carry out economic analysis for costs of scaling up the strategy to the whole country
- Task Force incorporates lessons learned from implementations, evaluation and consultation workshops feedback (at task force workshops) to begin to elaborate proposal for inclusion into the national REDD+ strategy
- Design the institutional structure for implementing, managing and tracking the REDD+ measure at the national level (at task force workshops)
- Submit to the National REDD+ Coordination body for review with the Technical Working Group and the REDD+ SC for decision.

Activity 2b.6: Present REDD+ strategy at the REDD+ Strategy launch workshop

Upon completion of the R-PP testing and demonstration step, present the REDD+ strategies selected for national scale up at a National Workshop

Table 2b-1: Summary of REDD+ STRATEGY DEVELOPMENT Activities and Budget

Main Activity	Sub-Activity	Estimated Cost (USD)			
		2011	2012	2013	Total
2b.1: Validation of R- PP to approve the REDD+ strategy component task forces	Inaugural Workshop 100 people 3 days in Nairobi some travel costs	27,000			27,000
2b.2: Initiate REDD+ component Task force work	Analyses for 6 REDD+ Activity options 30 days * \$500	90,000			90,000
	Workshops 2 per year * 12 people * 6 REDD+ Components	48,000	48,000	48,000	144,000
2b.3: Begin early implementation of measures	Depends on the REDD+ component needs and how many	1,000,00 0	1,500,000	1,500,000	4,000,000

	demonstration sites...				
2b.4: Evaluate and monitor outcomes of early action testing	internal REDD+ Component evaluation and monitoring for R-PP purposes “ 20 days for each REDD+ component * \$500/day		60,000		60,000
	External evaluation team/person 20 days *1000/day * 6 months		120,000		120,000
2b.5 Elaborate proposal for scaling up the REDD+ Strategy	Consultant expert support for each strategy: 20 days for each REDD+ component * \$500/day		60,000		60,000
2b.6 Present REDD+ strategy to the Conclusion R-PP / REDD+ Strategy launch workshop	Presentation materials for Strategies			5,000	5,000
	Workshop at conclusion of R-PP Implementation phase (REDD+ National Strategy launch) 100 people 3 days in Nairobi, some travel costs			27,000	27,000
Total	1,165,000	1,788,000+	1,580,000+	4,533,000+	
Government	100,000	100,000	100,000	300,000	
million from FCPF	1,000,000	368,000	\$	1,368,000	
UN-REDD Programme (if applicable)	\$	\$	\$	\$	
Finnish Government Support (MMMB)	\$	\$	\$	\$	
Other Development Partner 2	\$	\$	\$	\$	
Other Development Partner 3	\$	\$	\$	\$	

2c. Arrangements for REDD+ Implementation

Context for Implementation Arrangements: quick overview of R-PP Components

This R-PP presents a roadmap for Kenya's elaboration of a National REDD+ Strategy that includes REDD+ activities that mitigate emissions from the forest sector, attract and be eligible for international finance, be well managed and monitored, and in-line with national economic, social and environmental priorities. This component discusses the underlying legal, financial, policy and institutional needs to enable the next steps of the R-PP and support credible and transparent processes.

Component 1a of this R-PP describes the management arrangements and institutions proposed to lead in the pursuit of this road map, their roles and how decisions are taken and integrated in the National Climate Change Response Strategy. Component 1b describes the approach to use the perspectives of local stakeholders in the design, testing and evaluation of potential REDD+ Strategies, to ensure there is transparency in information during overall R-PP implementation process and secure their support and commitment to it. Based on an assessment of policy and investment gaps in the forest sector, component 2b presents strategies on which the R-PP phase will focus, and identifies possible demonstration activities for the new programs, policies and measures to be designed and carried out by REDD+ Component Task Forces with selected expert members from across Kenyan stakeholder groups. Components 2d, 4 and 6 discuss the approach to monitoring and overall R-PP evaluation. All components describe next steps and actions to be taken during the R-PP implementation period of 2011-2013, but do not fully discuss the structural needs that cut across the components and are of a more systemic nature. This Component elaborates structural cross cutting arrangements.

A critical requirement for success of the R-PP is that decision making lies with the correct entities and involves the correct parties. This implies for example that:

- In the design of the emission reduction actions that will ultimately be carried out in the field, input and participation of the types of stakeholders on which the activity relies have been a part of its design, testing and evaluation during R-PP implementation. This occurs particularly in the composition of the REDD+ component Task Forces and the Local Conservancy Committees, which will involve cross sectoral representatives (eg. Energy, Water and other government authorities) as well as multiple levels of civil society and public sector actors.
- when the REDD+ Component Task Forces, Local Conservancy Committees and NRCO evaluate the tested REDD+ strategies, they are able to design robust strategy proposals to be evaluated by the TWG for inclusion in a REDD+ National Strategy once R-PP implementation concludes.
- REDD SC and TWG are able to define priorities and actions for REDD that feed into the decision making taking place in other ministries and align with overall country priorities and decision makers in other realms.

Importance and Planning for Early Action and REDD+ Strategy testing

A central element of Kenya's R-PP implementation will be action learning and capacity building through the specific R-PP implementation activities. Policies, programs and measures will be improved through testing on the ground during the R-PPs adaptive approach to

implementation. This will ensure that the final measures proposed in the National REDD+ strategy are most appropriate and successful. Increasing capacities and readiness of institutions, actors and managing entities will be important as they participate in and carry out REDD+ strategy measures. Early action will be at a pilot scale, thus entities will not be committing to (or unwisely investing in) a given activity until there is some certainty that the REDD+ measure will work well in terms of the emissions reductions and other social and environmental co-benefits. This approach also buys time while international REDD+ financial channels become better defined within the context of UNFCCC and other bilateral settings. It can also help ensure that REDD+ strategies and interventions selected are designed as eligible actions vis a vis these settings.

Thus, work towards meeting emission reduction goals in Kenya's land use sector will begin with R-PP implementation, ensuring that existing successful policies, measures and initiatives are improved and rolled into the overall REDD+ MRV and management framework for proper accounting and tracking. The private and NGO sector, including supporters of sub-national level project activities, should be encouraged to engage in partnerships with local actors to develop and implement REDD+ projects in various areas. Early action can be feasibly implemented at the national or sub-national level if actors have the confidence that investments and risk-taking are shared among entities and will eventually be counted by the government as eligible for reward by an international REDD+ mechanism. By channelling finance to REDD+ sites via active, experiential approaches, methodology and modality development will provide much needed clarity to the definition of REDD+ credits.

Objective of this component

The objective of this component is to describe the arrangements to enable the design, testing and evaluation steps to be taken during R-PP implementation, and also those that lay the foundations for institutional, legal and economic requirements once the National REDD+ strategy is put in place at the end of the R-PP implementation phase. The full set of legal, institutional and economic structures that will be needed for REDD+ strategy implementation and management will emerge from the process of analysis, participative design processes and testing during R-PP implementation. They will also need to be consistent with emerging decisions relating to the structure of the international REDD+ mechanism. Therefore the structures put in place early on in the R-PP implementation process should be flexible and able to evolve with national level learning expected in the next three years.

Thus, we discuss arrangements required for REDD+ readiness and implementation primarily during stage i) and indicate which can be foreseen for stage ii):

- (i) Arrangements needed during R-PP implementation 2010-2013
- (ii) Arrangements foreseen to be needed during REDD+ Strategy implementation following 2013

Priorities for R-PP implementation include:

- Institutional strengthening for participants in REDD+ readiness to successfully engage in R-PP activities and to contribute to scaling up the REDD+ activities after the R-PP implementation phase. Participation in demonstration sites will help orient what tools, training and information dissemination will be needed for different actors.
- Increasing awareness of local government and other local actors on emissions profiles was designated a priority area for a REDD+ Component Task Force and its implementation requires the creation of a comprehensive system of information and transparent tracking systems for activities, finances, credits, participation, as described

in the NRCO responsibilities of the Consultation and Communications specialist in component 1b.

- A significant number of regulations are emerging as part of new Land and Forest laws and the Constitution that will increase the requirements of various public institutions to carry out and enforce certain activities. Appropriate resources and capacities will be necessary and the REDD+ NRCO and monitoring framework can contribute to such evaluations.
- Policy alignment of REDD+ that integrates smoothly with NCCRS, Vision 2030, evolving Nationally Appropriate Mitigation Action (NAMA) plan, and other sectoral actions as well as alignment with agencies and institutions acting in the forest sector from the President's office and to the local community actors.
- Creation of financial management processes and economic incentive schemes that are adequate for the phase of designing, testing and learning from R-PP implementation, and that can inform the design of financial instruments and mechanisms to be used in REDD+ implementation post R-PP Implementation. Another priority is designing economic incentives and financial processes with demonstrated government commitment to co-finance and create synergies between multiple sources of funding for readiness, with clear accountability.
- Generating responses to the gaps in tenure, ownership and related legislation and policies that are needed to underpin REDD+ activities of public and private actors going forward.
- Defining a clear set of procedures and rules for carrying out carbon credit generating activities once the national REDD+ Strategy is in place. During the R-PP Implementation phase, testing via officially endorsing subnational activities and establishing transparent rules on the allocation of carbon rights, participation in subnational activities, and domestic approval requirements will lessen risks for non-state actors to engage in REDD+ at the subnational level. It will also help build the necessary infrastructure for managing national REDD+ activities in future.

Implementation Focus topics

As the R-PP process advances, the above priorities will be a focus of the NRCO to either study, resolve or implement via some of the actions listed below.

Institutional actions

1. Building institutional links between Agencies operating in the land use space, and also between Regional authorities and NRCO and KFS, as these are also important forest owners.
 - a. Ensuring cross-sectoral alignment and coordination in the work of these agencies
 - b. Clear designation of oversight and enforcement authorities. Designate enforcement capacities, particularly following R-PP implementation to oversee the REDD+ Strategy implementation.
 - c. Authority to implement decisions taken up from TWG and REDD+ SC, and also to engage actors in local areas, such as Local Authorities, in particular.
2. Build capacity, involve stakeholders and manage expectations. Capacity building and knowledge building will be important in R-PP implementation to ensure that the REDD+ National Strategy in 2013 can be validated by a

broad spectrum of actors who have followed and participated in the process of R-PP implementation. For implementation of scaled up REDD+ strategies, sufficient preparation and knowledgeable institutions will be critical, and many are targeted to be involved in R-PP implementation. Care must be taken to not raise expectations during the R-PP phase for activities that are still being tested and designed.

- a. Documenting lessons from the exchanges to take place among demonstration sites of the REDD+ components will be valuable as capacity building tools for broader audiences.
 - b. Once testing of potential REDD strategies takes place, the gaps in capacity of local actors or actors who implement the strategies will become apparent. Towards the end of the R-PP implementation phase and after its conclusion, capacity building of the institutions expected to play a part can be designed to the specific gaps and needs.
 - c. Interactions with similar initiatives in other REDD+ countries in the region and globally can also be used to enrich the learning and institutional strengthening of actors in Kenya.
3. Tracking and information systems (via the NRCO and other means as described in Component 1b) for bringing transparency in R-PP implementation with regards to i) emissions and credits generated from the Task Force activities, ii) funding and financial flows, iii) actors and institutions involved, iv) evaluation activities, among others.
 - a. Clear process and rules for all facets of R-PP implementation and for the future REDD+ engagements. For example, with respect to registering emissions reductions, defining how activities of entities carrying out REDD+ actions get tracked and registered.
 - b. An information clearinghouse for REDD+ knowledge will need to be meticulously managed and actively used by the NRCO and the actors and participants operationalizing the R-PP.
 4. Instituting clear conflict resolution and grievance management procedures.
 5. Enable early action efforts in REDD+ via
 - a. Adopting and developing a set of standards for REDD+ strategies and for public and private actors in Kenya will bring credibility and rigor to activities. Various existing national and project level standards can be considered when defining criteria to which authorities in Kenya can evaluate candidate actors. This includes applying safeguards to ensure that social (gender, IP, marginalized groups) and environmental impacts are minimized and mitigated, reflecting on wealth of ongoing international work in the field of safeguards.
 - b. Define the rules and criteria that the activities will have to meet to be authorized by national and eventually international entities, and clearly communicate such information to promote engagement in activities. Endorsement can include institutions and authorities who
 1. approve projects with a clear statement that the relevant project will be recognized once an international REDD+ mechanism is in place (provided the project is in line with international guidelines);
 2. account for approved projects and subnational activities when setting the reference levels (and creating a reserve or buffer for early action credits);
 3. authorize the generation of voluntary emission reductions and removals before a national reference level is in place; and

4. approve subnational reference levels developed and recognize their validity until the date of review or re-validation of such subnational reference level.
- c. Risk mitigation strategies for the system will become more and more necessary as we implement REDD+ national strategies broadly. Design of a national buffer of carbon emissions credits can meet several risk mitigation needs.

Economic Actions

1. Secure a comprehensive understanding of the financial flows that will take place between public and private, central, regional and local actors in the implementation of the R-PP to aid in designing financial mechanisms⁸ for the full scale REDD+ national strategy.
 - a. How burden and benefit sharing rules will apply to REDD+ activities. Helping to operationalize the rules in place in the Forest Act.
 - b. How the policies or measures that require new fiscal measures such as taxes, subsidies, levees, etc. will need to proceed. NRCO and Component Task Forces will need to know what analysis needs to be presented to MoF, Prime Minister's office or NCCRS entities to begin such processes and establish new incentive programs.
 - c. What requirements exist to establish Fund mechanisms to which participants of a program can apply?
2. Coordination of donor support activities and the development of transparent and efficient systems for managing donor resources will be necessary and can take place within the NRCO's financial office.
 - a. Links to Forestry Donor Coordination Groups and the Kenya Joint Assistance Strategy will form part of the arrangements made to help track and manage incoming finance.
 - b. Fragmented sources of such support already exist in Kenya from government agencies, multilateral institutions, and private foundations; although further coordinating these pockets of grant/subsidy assistance is an important implementation arrangement. The information clearinghouse for such development financing sources will be a valuable addition to REDD+ capacity building efforts.
3. For REDD+ site level activities: Agile funding flows for task force actions and demonstration activities will be needed whereby the REDD+ SC can assign funding to the NRCO, and its implementation team- the REDD+ Component task forces and local conservancy officers.
 - a. Enable public funding to be directed to private and NGO actors (legal arrangements also potentially required for this).
 - b. Enable public and private actors to develop programs and mechanisms that contribute to the efficiency of the REDD+ activities across Kenya.
 1. Creating supportive aggregating mechanisms (such as exploring development of Program of Activities⁹ actions in the forest sector, or strengthening local institutions that can deliver support to actors locally).

⁸ Types of Finance tools that may ultimately be used include taxes, or tax relief, subsidies, grants, support for low interest loans, commercial or financial insurance, transfer payments, levies, equity guarantees, export bans, currency devaluation, price controls, direct payment schemes, debt for nature swaps, credit auctioning, cap and trade allocations, concessions arrangements

⁹ A Program of Activities is an approach defined by the UNFCCC mechanism

2. Invest in actions and data that can lower transactions costs for local actors. Concentrated government activity either on methodology development or direct financing for early action projects will attract and leverage private and NGO capital, and provide valuable learning for public and private institutions as this new market evolves. A clear need is funding early development costs such as project setup and documentation expenses, baseline establishment, as well as marketing costs for project sponsors to be able to access international investors.

Legal Actions

1. Authorize institutions to carry out certain actions during R-PP implementation and within the context of the REDD+ Strategies that emerge from R-PP implementation, understand the rights needed for REDD implementation post 2013:
 - a. What rights to carbon benefits and to tree or carbon ownership require clarification?
 - b. Which regulations are required for limiting or promoting certain activities?
 - c. How well do the Rights to access provisions in the new Forestry Act work for the strategies being proposed and then ultimately for REDD+?
2. Integration of REDD+ NRCO and Task Force officers in the ongoing process of regulating the Forest Law. In general, link the proposals and reviews of legislation and policies being made for REDD+ with the efforts going on in the water, agriculture, energy and other sectors that impact the forest sector.
3. For REDD+ site level projects: Define where the authority to transact international carbon credits sits. Analyze options for enabling local actors to directly carry out carbon finance activities on private lands, according to defined national standards.
 - a. Whether credits are channelled from local actors to a national entity for disbursal, or directly transacted between local actors and investors.
 - b. Roles of institutions to enforce standards and rules, and how monitoring occurs.

Initial Activities

These activities are responsibility of the NRCO Coordinator and staff.

Activity 2c.1: Enable early action of REDD+ activities for REDD+ Component Task Force demonstration sites and for non-state actors to know how to engage in REDD+ activities

1. Establish standards and rules for REDD+ activities.
2. Clarify institutions that authorize, support and/or monitor activities and ensure they have the resources and capacities required
3. Analysis of arrangements for operationalising national and sub-national level activities in Kenya in the post R-PP phase

Activity 2c.2: Ensure robust information systems as an aid for capacity building efforts and for cross sectoral implementation efforts

1. Document lessons in financial requirements for implementation of REDD+ activities and management structures, activities of the R-PP implementation and of other REDD+ activities in Kenya including roster of actors and contributors to the activities
2. Design tools and capacity building training materials and programs, begin training programs in 2013

Activity 2c.3: Develop Financial Management Arrangements

1. Establish finance flow procedures within the context of the management arrangements and the REDD+ SC terms of reference
2. Review best practice of benefit sharing in the demonstration projects, in existing community based activities in Kenya and other countries to inform benefit sharing rules for future REDD+ actions
3. Estimate levels of financial activities and flows expected among various actors as REDD+ evolves to ensure appropriate financial management frameworks and financial sustainability of the REDD+ program

Activity 2c.4: Legal Preparations for R-PP Implementation

1. Integration of relevant REDD Component Officers and NRCO officers in efforts for regulating Forest Law
2. Establishment of appropriate channels to enable relevant government institutions to apply decisions taken by the RSC.

Table 2c-1 : Summary of Implementation Framework Activities and Budget					
Main Activity	Sub-Activity	Estimated Cost (in USD)			
		2011	2012	2013	Total
Activity 2c-1: Enable early action of REDD+ activities	Analysis of REDD+ Standards applicable to Kenya's REDD+ program and design of local standards	15,000	20,000	20,000	55,000
	Clarify institutional roles for REDD+ activities <i>(Time of the NRCO Coordinator covered in 1a)</i>				
	Analysis of options for institutions and finance for project and national activities	35,000			35,000
	Implementation of framework (support from consultants)		20,000	20,000	40,000
Activity 2c-2: Capacity Building for Implementation	Ensure lessons on various economic, institutional and legal issues documented in Information Clearinghouse <i>(Time of NRCO Staff in 1a)</i>				
	Design tools and capacity building materials and programs		20,000	45,000	65,000
Activity 2c-3: Develop Financial Management Arrangements	Finance flow procedures for R-PP <i>(Time of NRCO Staff in 1a)</i>				
	Benefit sharing analysis and rule making	20,000	20,000	20,000	60,000
	REDD+ economic activity level analysis		20,000	20,000	40,000
Activity 2c-4: Legal Arrangements	Legal Analyses and implementation advice and support, including drafting of	35,000	35,000	50,000	120,000

	regulations. <i>(Legal Consultant plus Time of NRCO Staff in 1a)</i>				
	RSC implementation authority <i>(Approval of TORs and Time of RSC meetings)</i>				
Total		105,000	135,000	175,000	415,000
Finance Sources:					
Government					
FCPF		105,000	135,000	175,000	415,000
UN-REDD Programme (if applicable)		\$	\$	\$	\$
Other Development Partner 1		\$	\$	\$	\$
Other Development Partner 2		\$	\$	\$	\$

2d: Social and Environmental Impacts

The strategy options and implementation framework described in sections 2b and 2c can have positive and negative social and environmental impacts that lie beyond the reduction of greenhouse gas emissions and that are important for the success of REDD+ activities.

REDD+ activities can potentially present constraints for the local and indigenous populations, particularly under certain design options, for example concerning resettlement issues and forest governance. Support to the REDD+ activities and achievement of the goals of the REDD+ strategies can be weakened if these are not considered and mitigated.

A Strategic Environmental and Social Assessment (SESA) is a critical instrument in the R-PP process that will help to identify and ensure due consideration to the environmental and social impacts of Kenya's REDD+ strategies. Appropriately designed, it can influence decision-making on the REDD+ strategies and lead to more sustainable implementation in the long term. The purpose of this component is to describe a multi-sectoral and participative methodology for assessing these impacts and ensuring potential negative impacts are mitigated and positive aspects strengthened.

The criteria and indicators for sustainable forest management (SFM) provide a backdrop and reference framework for refining the proposed strategies and developing specific project proposals with stakeholders. SFM criteria and indicators provide a comprehensive set of social and environment safeguards for planning and implementing forestry projects. In addition the proposed strategies and project plans will be assessed for compliance with Kenya's environment legislation which recognizes modern environmental principles and concepts like public participation, international cooperation, the precautionary principle, and cultural and social principles traditionally applied by any community in Kenya for the management of natural resources. The social and environment assessment of REDD+ strategies and activities will take into account the findings and recommendations of the Strategic Environmental Assessment of Kenya's Forest Act 2005. As funding from FCPF is expected to support readiness activities, the proposed REDD+ preparedness activities will also be assessed for compliance with World Bank safeguard policies.

The Terms of Reference (ToR) for designing and implementing the SESA are outlined below. The TOR will be further elaborated and modified as necessary during the course of R-PP implementation as specific strategies and implementation work plans are further defined. This TOR describes the approach to be taken in developing the SESA of Kenya's REDD+ strategies. The process focuses on the strategic level in contrast to EIAs which focus at the project level and are concerned with impacts of specific projects.

The SESA will be a participatory process involving civil society organisations, private sector, community members, local and national government. It will be closely linked to the consultation and participation plan described in component 2b, and a number of the steps described in the C&P plan will involve elements of the SESA. The stakeholder groups indentified as part of the C&P plan will also be involved in the SESA. The C&P process will help to mobilise stakeholders for implementation of the SESA.

Methodology

The SESA has two components: a **Strategic** component and an **Environment and Social Management Framework** (ESMF) component. The following activities are proposed under these two components.

Strategic component:

a) Stakeholder and political economy analysis

A stakeholder analysis is required to ensure that people who are affected by the proposed reforms are adequately consulted and that their interests are given due consideration. This is done in conjunction with the consultation and participation plan described in 2b. The analysis will draw on previous analyses that were done during the reform processes over the past 10 years including the SEA of the Kenya Forest Act 2005, and on current stakeholder databases of key organisations such as KFS and KFWG. The stakeholder analysis will indicate which stakeholders are affected by the proposed reforms, how they are affected and to what extent, and the influence individual stakeholder groups will have in relation to the proposed reforms. Tools such as stakeholder mapping can be used to assess the impacts on different stakeholder groups and to determine mitigating measures to ensure the reforms can be implemented effectively.

The assessment of the political economy involves assessing power relations between different stakeholder groups, and understanding the role of different stakeholder groups vis a vis implementation of proposed reforms. This assessment will provide an understanding of the potential repercussions and reactions of stakeholders to proposed reforms and will help in designing sustainable solutions and responses to DD.

The stakeholder and political analysis will require awareness raising and training workshops for stakeholders to communicate the role and purpose of the SESA, which may be carried on in conjunction with the consultation and participation activities described in 2b.

b) Identify and prioritise key environment and social considerations related to REDD+

The key environmental and social issues relevant to REDD+ will be identified and prioritised through participatory consultative processes and through analytical approaches. The analysis will build on initial diagnostic work done during the consultative process undertaken during the formulation of the R-PP and described in 1b. The analysis will also draw on the work done during the SEA of the Kenya Forestry Act 2005 which identified key social and environment considerations related to implementation of the Act.

Further analytical work may include opinion surveys, cost benefit analyses, fiscal impact analyses, risk analyses, scenario analyses, multi-criteria analyses, and poverty and social impact analyses (PSIA). These analytical tools can be used to compare and prioritise options for addressing key considerations.

c) Gap analysis

Assess existing capacities and systems to manage the key environmental and social issues, and the capacity gaps in terms of the institutional, policy and legal environment for implementation of REDD+ strategies. The assessment will draw on the work of the SEA on the Forest Act 2005 which also analysed these aspects.

d) Assess opportunities and challenges for addressing the key social and environmental issues identified

Participatory and analytical tools will be used to assess threats and opportunities

e) Formulate policy, institutional, legal, regulatory adjustment and capacity building measures for the REDD+ strategy.

The recommendations will be based on the findings of the above analyses.

Environment and Social management Framework (ESMF) component

a) Establishing the Baseline

It is proposed to use a diagnostic tool to assess the baseline situation of forest governance and identify areas requiring reforms. The diagnostic tool recently developed and described in the WB report “Roots for good forest outcomes – An analytical framework for governance reforms” provides a framework for describing the current status of forest governance. This will be used to set a baseline, identify areas needing improvement, and formulation of interventions, as well as development of criteria and indicators for measurement and monitoring governance.

b) Assess the potential risks and impacts that the proposed adjustments, interventions and projects within the REDD+ strategy

The potential environmental and social risks and impacts of the proposed strategies and interventions will be assessed through stakeholder engagement at the planning stage as outlined in Component 1b. Risk analysis will assess the potential positive and negative impacts and assess the likelihood of positive and negative outcomes.

c) Scenario analysis

Scenario analysis will be used to enable stakeholders to better assess the social and environmental implications of proposed strategies and interventions. Different interventions will be compared and implications described.

d) Define the institutional, policy, legal and capacity requirements.

The diagnostic tool used to describe the governance baseline in step a) above will be used to identify areas needing improvement. The tool describes five broad building blocks for good governance¹⁰. The baseline helps to identify areas needing improvement and provides a basis for formulating interventions to improve governance and for designing and targeting capacity building interventions.

Initial Activities

Activity 2d-1: Refine the Terms of Reference and budget for the SESA

Activity 2d-2: Identify an expert team to lead the SESA process

Activity 2d-3: Design and launch of the SESA,

Activity 2d-4: Stakeholder and political economy analysis with a broad range of stakeholders. Organise further workshops at regional and local level aimed at reaching marginalised groups who cannot participate in the national workshop. Organise surveys and focal group discussions around the environment and social issues related to the proposed strategies.

Activity 2d-5: Gap analysis of existing capacity and systems using analytical tools

Activity 2d-6: Assess opportunities and challenges through stakeholder participation

Activity 2d-7: Formulate policy, institutional, legal, regulatory adjustment and capacity building measures for the REDD+ strategy.

¹⁰ The five building block under which the governance attributes are described are: 1) Transparency, accountability and public participation; 2) Stability of forest institutions and conflict management; 3) Quality of forest administration; 4) Coherence of forest legislation and rule of law; 5) Economic efficiency, equity, and incentives.

Activity 2d-8: Establish a governance baseline using diagnostics tools through a participatory process

Activity 2d-9: Assess risks and impacts of the proposed strategies through participatory process with stakeholders

Activity 2d-10: Carry out scenario analysis using analytical tools and through participatory process with stakeholders

Activity 2d-11: Define the institutional, policy, legal and capacity requirements to address the environment and social issues

Table 2d: Summary of Strategic and Social Assessment Activities and Budget

Activity	Estimated Cost in USD			
	2011	2012	2013	Total
Activity 2d-1. Refine the TOR and budget for the SESA	2,000			2,000
Activity 2d-2: Identify an expert team to lead the SESA process		3,000		3,000
Activity 2d-3: Design and launch of SESA	15,000			15,000
Activity 2d-4: Stakeholder and political economy analysis	10,000	10,000	10,000	30,000
Activity 2d-5: Gap analysis of existing capacity and systems using analytical tools	10,000	15,000		25,000
Activity 2d-6: Assess opportunities and challenges through stakeholder participation	10,000	10,000	15,000	35,000
Activity 2d-7: Formulate policy, institutional, legal, regulatory adjustment and capacity building measures for the REDD+ strategy.		10,000	50,000	60,000
Activity 2d-8: Establish a governance baseline using diagnostics tools through a participatory process		15,000	15,000	30,000
Activity 2d-9: Assess risks and impacts of the proposed strategies through participatory process with stakeholders		15,000	20,000	35,000
Activity 2d-10: Carry out scenario analysis using analytical tools and through participatory process with stakeholders	15,000	15,000	15,000	45,000
Activity 2d-11: Define the institutional, policy, legal and capacity requirements to		10,000	10,000	20,000

address the environment and social issues				
Total	65,000	100,000	135,000	300,000
Government	10,000	10,000	10,000	10,000
FCPF	55,000	90,000	125,000	290,000
UN-REDD if applicable				
Other Development Partner (name)				

Component 3: Develop a Reference Scenario

Objectives for Component 3

The overall objective of Component 3 is to develop a scenario for the reference level that projects emissions and removals of CO₂ into the future in the absence of REDD+ incentives. The REL, while based on historical information, will also reflect national circumstances and relevant policies as well as meet international standards and requirements. The REL will be developed in a way so that emissions and removals that are monitored in the future can be compared directly to the emissions and removals in the reference scenario—in other words there will be consistency between the approaches used for the REL and the MRV system. Additional background information on developing the REL is given in Annex 3-1.

Accomplishment of this objective involves two sub-goals:

- Quantification of *historic emissions/removals* from deforestation, degradation and enhancement of carbon stocks for the proposed period post 2000 to 2010+ at a national scale, using the IPCC framework, and spatially represented to reflect differences in sub national activities in use and cover of the land; and
- Development of *future trajectories* of emissions/removals over different time periods and under different economic and development scenarios. This will take into consideration such factors as Kenya's Vision 2030 goals, GDP, population growth, agricultural expansion, industry growth, sectoral development plans, specific investment programs, and/or adjustment coefficients otherwise derived from such factors and data.

Summary of Activities under Component 3

An outline of the activities and steps that need to be accomplished to attain the objectives of this component are presented in an outcome chain diagram in Figure 6 and the proposed timeline in Table 3.1. The proposed steps in Figure 6 are essentially the terms of reference that would need to be accomplished to meet the objectives of this component.

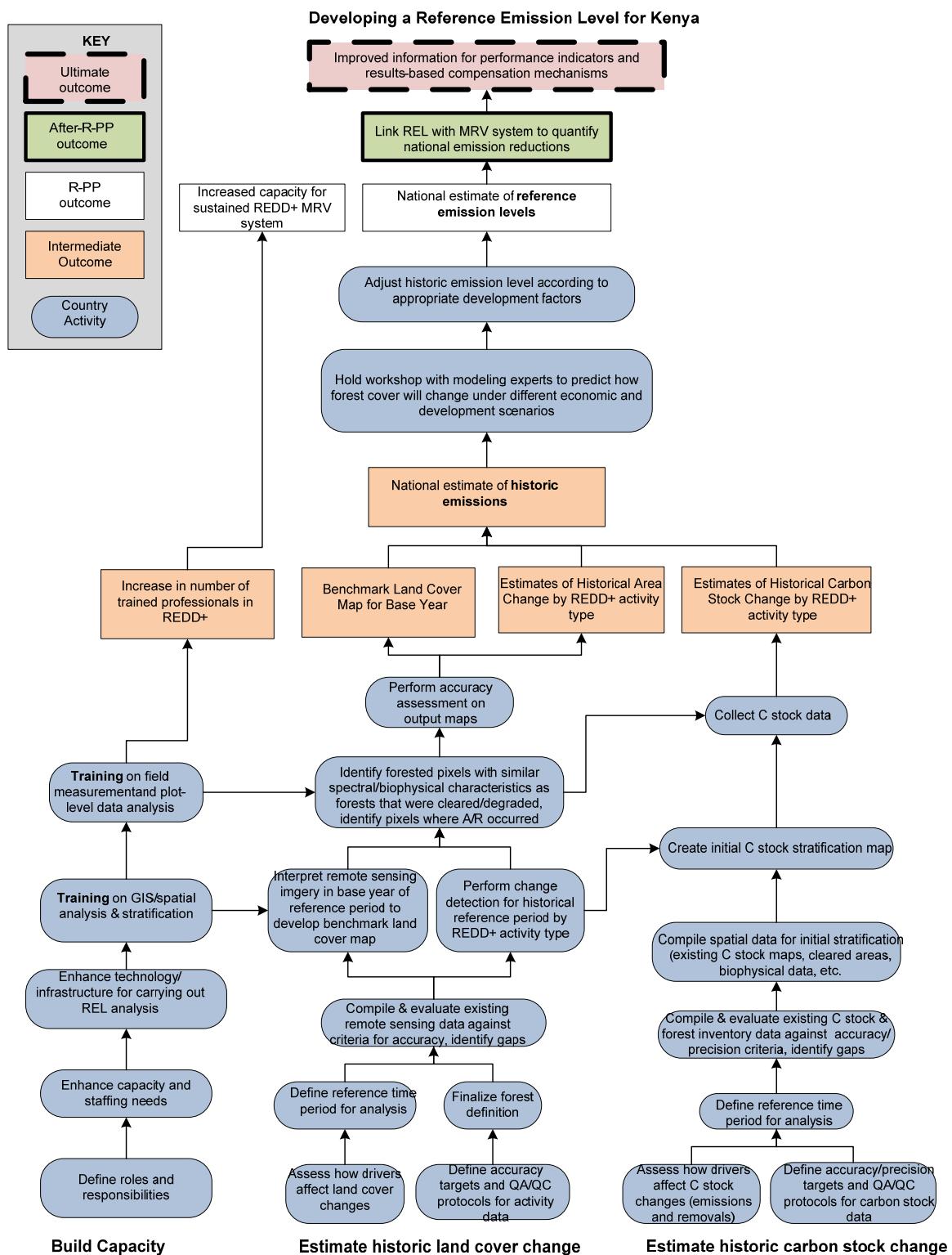


Figure 6. Outcome chain/TORs for developing the REL in Kenya.

Description of Activities

Activity 3-1. Enhance capacity, staffing and technological capabilities within relevant groups; define roles and responsibilities

A hierarchical management structure for developing the REL (and the MRV system) needs to be developed and roles and responsibilities of various institutions must be defined to ensure that groups are working together towards a common goal. A key aspect for this work will be the enhancement and formalization of existing collaboration and cooperation among key agencies and organizations (governmental and non-governmental) leading to improved sharing of data and information relevant to implementing a REDD+ strategy. How the various institutions and organizations will be coordinated is shown in Annex 3-2.

A consultation and working meeting with members of the Kenya REDD+ TWG as well as other people from the KFS, DRSRS, ERMIS, MMB, Clinton Foundation, FCPF's Facility Management Team, and UNDP, held in February 2010, assessed the current situation with respect to skills, expertise, and infrastructure needed to design and implement a plan to establish historic emissions/removals and how to use the historic emissions to project REL into the future. Although capacity exists to perform several of the steps needed to estimate historic emissions/removals and to project this estimate forward, all members of the group concluded that existing capacity to synthesize all components together is insufficient and that additional expertise in carbon stock assessment, remote imagery interpretation, and economic analysis is needed. Annex 3-3 presents a summary of Kenyan institutions and their expected roles in the development of the REL.

Technological capacity needs to be enhanced within relevant groups to develop a reference emission level and build a resulting MRV system (Component 4). Although capacity exists in Kenya in terms of remote sensing analysis, the number of staff trained specifically for REDD+ applications will need to be expanded. Hardware and software upgrades will be necessary for processing and interpreting imagery cost-effectively, and improved internet connections will be needed to enable fast transfer of large files among relevant stakeholders. Capacity and technology needed are outlined in Annex 3-3.

Various experts will be consulted to enhance Kenyan capacity in remote sensing/spatial analysis as well as in field measurements for carbon stock estimation to ensure Kenyan ownership of the process and a sustained capacity for future REDD+ monitoring. KFS staff will receive training on the application of IPCC methodologies for calculating GHG emissions and removals at the national scale. Kenya will invest in its staff and send various individuals to international remote sensing conferences, training sessions on the use of GIS software and new extensions for REDD+, and training sessions on emerging remote sensing methods for identifying forest degradation. Jomo Kenyatta University of Agriculture and Technology (JKUAT) will develop joint projects with other Universities and research institutions on application of remote sensing on REDD+ MRV system, providing an avenue for technology transfer. The programme will also involve KFS, KEFRI and DRSRS. Due to the large amounts of data that will need to be managed for the REDD+ process and the rapid evolution of technology, capacity will be built on information management and information technology to ensure that Kenya is up to speed on technological developments.

Activity 3-2. Define reference time period and finalize forest definition.

The REL for Kenya will be based on historic emissions from 2000 until 2010 or later (the exact end year could be as late as 2012 depending on availability of RS data during the R-PP implementation phase). The definition of forest that Kenya will use is based on the following thresholds: minimum crown cover of 15%, minimum height of 2 m and minimum area of 0.5

ha¹¹. Given the drivers of historic changes in forest cover and the proposed candidate REDD+ strategies, it makes sense to use this forest definition with low thresholds (see further discussion of forest definition in Annex 3-1).

Under the CDM, the minimum crown cover chosen by Kenya was 30% to allow all areas with less than that crown cover to potentially participate in CDM. The need to maximize the opportunities presented by the two mechanisms (CDM and REDD+) will require some internal discussions and adjustments. At present, Kenya has one BioCarbon Fund project (Green Belt Movement BCF Project). The GBM Project proposes to reforest 1,876 ha of degraded public and private land, specifically denuded and steep sloped, with high community access in the Aberdare Range and Mount Kenya watersheds in Kenya. Lands in the Reserve have been deforested for charcoal production or for conversion to illegal agriculture and cattle grazing. Given the nature of the project and the lands being reforested, it is unlikely that changing Kenya's definition from 30% to 15% crown cover will affect the amount of carbon credits that can be claimed.

Activity 3-3. Quantify activity data

Obtaining historic data for estimating emissions/removals from REDD+-related activities requires the application of different approaches and methods depending on the different drivers identified in Component 2. There are robust methods for using data from current optical sensors to detect distinct changes in forest cover, but the methods for detecting forest degradation and enhancement of carbon stocks in forests remaining as forests are more challenging.

The Landsat program has been the most useful of the many satellite systems designed for land cover monitoring because it is the longest running exercise in the collection of multispectral, digital data of the earth's surface from space. The long life of the program, along with its high spatial resolution (30 m pixels) and extensive archive of freely available data, makes Landsat data the ideal choice for mapping deforestation at the national scale for Kenya. Based on a search of the existing freely available Landsat archives, extensive (wall to wall coverage), low cloud cover data are available for Kenya from 2000 to 2010. The country covers approximately 33 Landsat scenes. In addition to Landsat data, there are other sources of inexpensive high quality satellite imagery from GEO (Group on Earth Observations), particularly the National Demonstrator Program¹². Therefore, activity data for determining rates of forest cover change for the historic period are not a limiting factor for developing a REL for Kenya.

In addition to mapping deforestation, remote sensing has also been useful for mapping and monitoring indicators of forest degradation such as logging roads, fire scars, other forest canopy damages, and secondary forest recovery¹³. However, the accuracy of mapping changes in forest cover for forests remaining as forests depends on forest stand characteristics,

¹¹ The definitions of forest and woodlands reported in Table 1 on p. 33 above are required by FAO for their reports, but as stated here the identification of forest in remote sensing imagery using lower than a 15% threshold for canopy cover is more difficult because as the cutoff gets lower, the accuracy of the remote sensing analysis declines

¹² The GEO Forest Carbon Tracking (FCT) Task was launched at the GEO-VI Plenary meeting and can be viewed on-line at www.geo-fct.org. The portal allows users to visualize the FCT National Demonstrators, the relevant Validation Sites and the inventory of the coordinated acquisitions of satellite and in-situ data.

¹³ GOFC-GOLD, 2009, A sourcebook of methods and procedures for monitoring and reporting anthropogenic greenhouse gas emissions and removals caused by deforestation, gains and losses of carbon stocks in forests remaining forests, and forestation. GOFC-GOLD Report version COP15-1, (GOFC-GOLD Project Office, Natural Resources Canada, Alberta, Canada).

processes of degradation/enhancement, intensity of disturbance, timing of satellite imagery acquisition relative to the events, and spatial resolution of the imagery. Thus remote sensing can play an important role in mapping indicators that can be used to guide a field measurement program to understand the impacts of forest degradation and enhancements of carbon stocks. The remote sensing signal of small changes in canopy cover of forests can be short lived, thus it is important to map these signals annually.

Field verification of land cover and use maps based on remote sensing data is an essential component of mapping and is much improved by today's technology. Digital cameras allow field technicians to document land cover conditions on the ground and global positioning system (GPS) instruments ensure that each field measurement is located with high accuracy. Given the work ongoing with a number of community forest associations (CFAs) and community based organizations (CBOs), it is anticipated that training key local people in the use of these instruments will be a key component of the field verification of maps derived from remotely sensed data. Also, Kenya has a history of collecting aerial imagery, and collects it on an as-needed basis (see Annex 3-4 for more details). Such data will also be useful for verifying the remote sensing map products. Based on conversations from several methodology working group meetings, a summary of the remote sensing data that Kenya has in-house is given in Annex 3-5.

The following are the proposed series of sub-steps Kenya will take for mapping deforestation, forest degradation, carbon stock enhancement, and forestation from 2000 to 2010 to feed into estimating historic emissions/removals. It is expected that advice will be solicited from national and international experts as needed. Additional details for each step are elaborated in Annex 3-6.

Step 3-3a. Create benchmark land cover map and perform change detection for historical reference period

Step 3-3b. Classification quality control

Step 3-3c. Accuracy assessment

Step 3-3d. Mosaic and stratification of classification products

Activity 3-4. Develop emission and removal factors for REDD+-related activities

The IPCC provides default data for all forest carbon pools throughout the world—the use of such data would be considered a Tier 1 method. Kenya will use at least a Tier 2 level of data for its estimate of historic emissions/removals. The sub-steps below describe how we propose to collect Tier 2 level data for emission and removal factors to be combined with the activity data collected in Activity 3-3. These sub-steps are elaborated in Annex 3-7.

Step 3-4a. Identify key carbon pools to include in the historic estimate

Step 3-4b. Develop protocols for carbon stock change data collection including accuracy/precision targets and QA/QC protocols.

Step 3-4c: Inventory all existing historical data (carbon stocks, forest inventory data etc.) and evaluate against accuracy and precision targets.

Step 3-4d. Link field and remote sensing data

Step 3-4e. Carbon stock measurement

Activity 3-5. Combine activity data with emission factors to develop total historical emissions. This step will result in estimates of the annual historical emissions and removals, based on changes in carbon stocks, for the three time periods in the reference time frame. The IPCC framework will be used for this step, applying the stock change approach for deforestation and forestation—basically combining the area of change and the carbon stocks before and after the change event. For degradation and enhancement of C stocks, the gain-loss approach is likely to be the preferred approach. Carbon stock gains would be accounted for with rates of growth, and carbon stock losses would be accounted for with data on timber harvests, removals of trees for charcoal/fuel, and transfers to the dead organic matter pool due to disturbance.

For fire, the IPCC AFOLU 2006 report (Ch. 2) provides detailed methods (equations and combustion factors for both CO₂ and non-CO₂ GHGs) that would be used. This would combine the area burned with the carbon stock before and after a burn along with IPCC default values for combustion and efficiency factors.

Activity 3-6. Develop future trajectory under different economic and development scenarios.

After historical emissions and removals are estimated, modelling future reference emissions scenarios will require advice from national and international experts trained in financial and economic modelling, including impacts of development policies, global trends in demand and prices for Kenya's land based commodities, and other economic factors. A workshop will be held to consult with national and international modelling experts and Kenyan Ministries related to planning and finance. The outcome of this workshop will be a methodology by which the historic emissions can be projected over different time periods and under different economic and development scenarios, taking into consideration such factors as GDP, population growth, past and present agricultural expansion, forest industry growth, sectoral development plans, specific investment programs, and/or adjustment coefficients otherwise derived from such factors and data.

Work on this activity will require coordination and inputs from other government departments. In addition to KFS, national experts and university staff/researchers will be engaged and consulted with for their assistance in developing the data bases and models to derive adjustment coefficients to modify the historical emission levels for developing future trajectories.

Developing future trajectories will include such activities as:

- Organization by REDD+ TWG of an initial workshop to include staff from the relevant government departments, experts from national universities, and international experts to discuss the current thinking and methodologies for modelling future emissions scenarios based on historic emissions
- Convene a small focused national subgroup of experts from government, universities, and private sector in the REDD+ TWG and provide support as needed for them to design potential methodologies for modelling future projections (expected to develop at least 2-3 different methodologies to test appropriateness for Kenya's situation)
- Obtain and collate the required data bases to implement the methodologies, test methodologies, share results with REDD+ TWG, and decide on a plan forward.
- Stay abreast of the international discussions and decisions on how reference scenarios for REDD+ are to be established.

Table 3-1: Summary of Reference Scenario Activities and Timeline

Activity	Timeline			
	2011	2012	2013	
3-1. Enhance capacity, staffing, technological caps				
3-2. Define reference time period and finalize forest definition.				
3-3. Quantify activity data				
• 3-3a. Create benchmark land cover map and perform change detection				
• 3-3b. Classification quality control				

• 3-3c. Accuracy assessment				
• 3-3d. Mosaic and stratification of classification products				
3-4. Develop historic carbon stock change data for REDD+-related activities				
• 3-4a. Identify key carbon pools to include in the historic estimate				
• 3-4b. Develop protocols for carbon stock change data collection including accuracy/precision targets and QA/QC protocols.				
• 3-4c. Inventory all existing historical data and evaluate against accuracy and precision targets.				
• 3-4d. Link field and remote sensing data				
• 3-4e. Carbon stock measurement				
3.6 Combine activity data with emission factors to develop total historical emissions/removals				
3-7. Develop future trajectory				

Table 3-2: Summary of Reference Emission Level Activities and Budget

Activity	Estimated Cost in USD			
	2011	2012	2013	Total
3.1 Enhance Capacity	253,000	109,000	106,000	468,000
3.2 Define Ref. period & forest definition				
3.3 Quantify Activity Data	90,000	90,000	110,000	290,000
3.4 Historic C stock change data	237,000	177,000	119,000	533,000
3.5 Calculate historical emissions	15,000	15,000	15,000	45,000
3.6 Develop future trajectory			30,000	30,000
Total	595,000	391,000	380,000	1,366,000

Component 4: Design a Monitoring System

4a. Monitoring of Emissions and Removals

Objective for Component 4a

The overall objective of Component 4a is to develop a monitoring, reporting and verification (MRV) system that allows for transparent accounting of emissions and removals of CO₂ through time that can be compared against the projected reference scenario. The MRV system will be designed based on experience gained in developing and producing the estimated historic emissions. Much experience and capacity will be gained during implementation of component 3 with respect to detecting changes in forest cover caused by various activities, measuring carbon stocks and changes in carbon stocks, implementing QC/QA plans, archiving data, and the like—this experience and capacity will be invaluable for designing the MRV system.

The development of the MRV system is proposed to consist of two phases—a MRV development phase and a MRV implementation phase. The outcome of this component will be a functional MRV system for evaluating the performance of REDD+ interventions in Kenya. Background information regarding the development of an MRV system is given in Annex 4.

Linkages between REDD+ strategies and monitoring components

Although the specific methods and indicators in **Table 4a-1** below will be taken into account to monitor the particular needs of candidate REDD+ intervention strategies going forward, we propose that the essence of the MRV system will be to determine the degree to which the sum total of *all* REDD+ strategies implemented across Kenya have or have not resulted in a reduction in emissions from the land use sector at the national scale. Components of the monitoring system related to other benefits and to the effectiveness of program strategies are summarized in Components 4b and Component 6 below, respectively. Therefore, the data to be monitored as part of Component 4a include changes in the area of each REDD+ activity class (deforestation, forestation, forest degradation, sustainable forest management, enhancement of forest carbon stocks) and the resulting changes in carbon stocks. Emission reductions will be verified at the national scale, but monitoring and reporting may be implemented at sub-national and local scales. Data collected at subnational scales will be integrated into the national accounting structure via a national data clearinghouse, where NRCO performs additional quality assurance/quality control measures and ensures against double counting.

Table 4a-1. Proposed methods to monitor change in area and carbon stocks of lands targeted for REDD+ strategies.

Candidate REDD+ strategies	Methods to monitor area change of lands with emissions and removals	Methods to monitor carbon stock change on lands with emissions and removals
Reducing pressure to clear forests for agriculture -- Pilot management of trustland areas by CAs -- Encourage agroforestry and on-farm tree planting -- implementation of the taungya system in plantation forests (PELIS)	--Monitor trustland areas using Landsat data --Confirm with local community monitoring using GPS --identify regions where on-farm tree planting practice is common & design a sampling	-- implement forest carbon inventories in relevant areas, working with communities to collect data --develop allometric eqns for tree species commonly planted

--reduce forest fires	system using aerial imagery --monitor fires with latest RS products	-- work with farmers to sample survival and growth of trees --conduct field studies on forest types frequently burned to measure change in C stock & develop national factors
Promoting sustainable utilisation of forests Promote efficient charcoal making technology aimed at reducing waste Promote fuelwood plantations	--map areas used for charcoal and fuelwood production, stratify by forest types --monitor change in area of plantations in areas of fuelwood & charcoal production --develop & measure proxy factors that correlate to wood extraction rates	-- implement plan to measure C stocks of forest types where charcoal extracted -- implement plan to measure C stocks through time in fuelwood plantations
Enhancement of carbon stocks Tree planting campaigns Support to promotion of sustainable forest management (SFM) Support for forest protection that increases carbon stock, improves biodiversity and livelihood benefits Support to the GoK target to plant 10% of land with trees	--monitor change in area and canopy cover of national forest lands and changes in logging infrastructure using medium to high resolution RS imagery	--implement plan to monitor national forest carbon stock changes

Summary of Activities under Component 4a

An outline of the activities and steps that need to be accomplished to attain the objectives of Component 4a are presented in the outcome-chain diagram in Figure 7 and the timeline of activities in Table 4a-2. The proposed steps also can serve as the terms of reference that would need to be accomplished to meet the objectives of this component.

The timing of the activities and steps in producing an MRV system proceeds from the bottom of the diagram to the top, with intermediate outcomes and R-PP outputs/products clearly indicated. There are two main phases proposed for this component—a design phase and an implementation phase. The scoping phase has been accomplished during the preparation of the R-PP and the output from the scoping phase is Figure 7. The product of the design phase is an MRV Plan that is first tested in demonstration sites and revised as needed after field testing. The final product is a fully operational plan ready to be implemented.

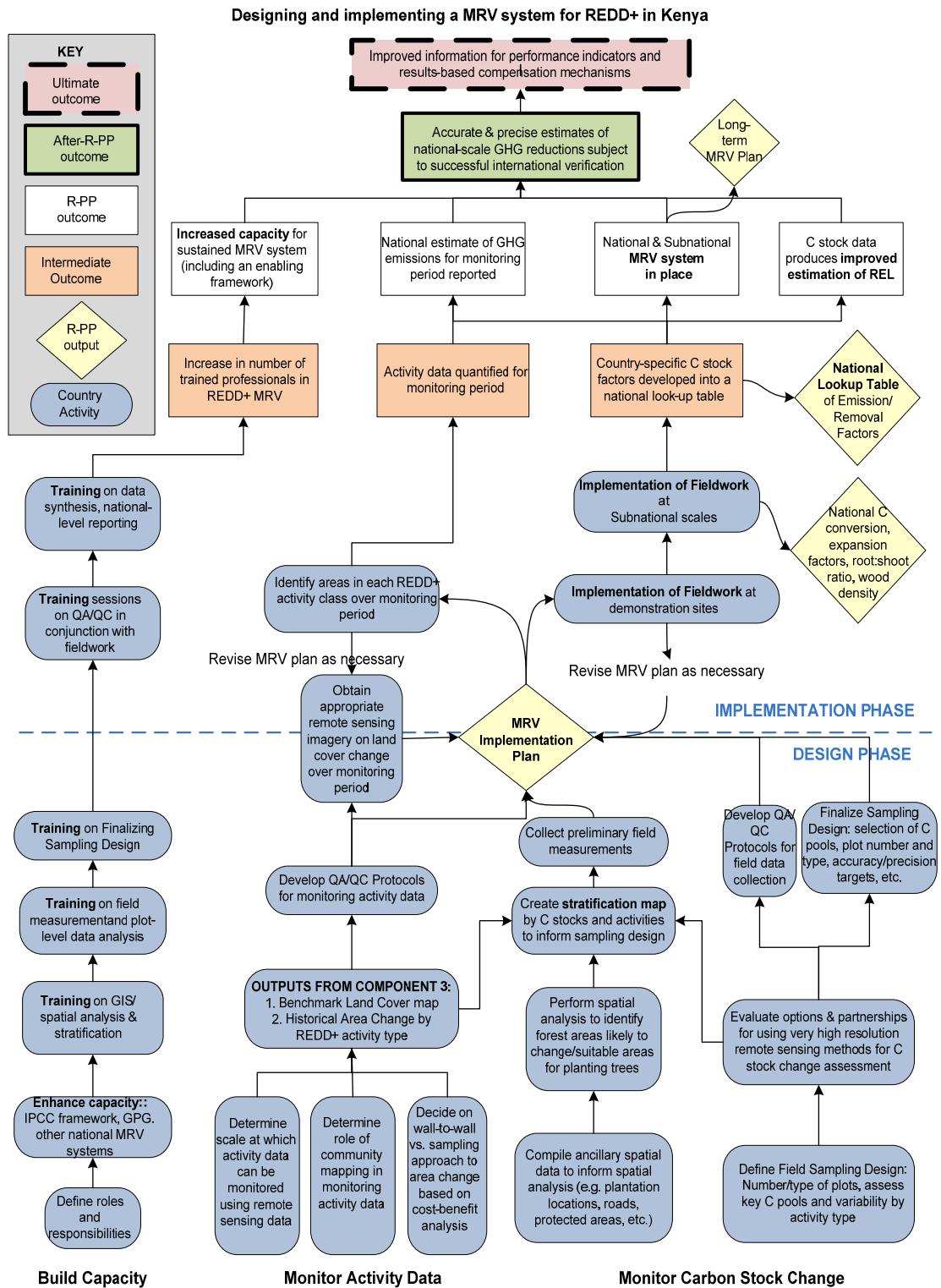


Figure 7. Outcome chain for designing and implementing a MRV system for REDD+ in Kenya.

Description of Activities

Activity 4-1. Define roles and responsibilities of various institutions in designing and implementing the MRV system and develop a system for collaboration.

The roles and responsibilities for Component 4a will be similar to those established in Component 3 (refer to Annex 3-3). However, the role of local communities is likely to be more significant in Component 4a because new data will need to be collected going forward and therefore these stakeholders will be important for collecting information on both area changes and carbon stock changes that are not detectable using remote sensing imagery, such as activities related to reductions in the extent of degradation, improvements in use and management of CFAs, tree planting activities outside forests, etc. The use of mobile phones is prevalent across Kenya (including within local communities), so collaboration among institutions will likely involve the utilization of this existing communication technology to develop a virtual network that links local community forest associations (CFAs) to a national database at KFS. Using a set of standard operating procedures for data input, information collected at the local level could be sent via SMS (text message) to be compiled and archived automatically using simple computer programming scripts. This would automate and streamline the data collection process and provide a linkage between data collected at project/sub-national scales and data compiled for the national monitoring system.

Activity 4-2. Enhance capacity and training for various stakeholders involved in monitoring.

Once roles and responsibilities are established by KFS, stakeholders engaged in monitoring efforts will be trained in relevant methods for monitoring land cover changes and carbon stock changes. Training will occur at multiple levels:

KFS: Engage with international experts to become more familiar with other national MRV systems already in place. Through this process, Kenya will be able to apply lessons learned when developing and implementing an MRV system for Kenya. Carbon stock measurement teams will be formed at the KFS conservancy level and will be trained by international experts in plot-level measurement and data analysis. The KFS should have high end capacity on RS/GIS in order to efficiently manage the MRV data achieve and registry.

DRSRS: Staff will receive training on GIS/spatial analysis relevant to monitoring REDD+ activities, including how to apply various land change models (e.g., GEOMOD) and how to develop a field sampling design within a GIS.

Local communities (CFAs): After KFS staff who represent various conservancies across Kenya are trained in carbon stock measurement and monitoring methods, KFS staff will train local communities in these data collection methods including field plot measurement techniques and collecting land cover data.

Activity 4-3. Design and implement MRV plan for monitoring activity data.

Step 4-3a. Determine scale at which activity data can be monitored using remote sensing imagery.

Deforestation and afforestation/reforestation can be monitored easily with medium-resolution remote sensing data (e.g. Landsat), but other REDD+ interventions that occur at smaller spatial scales or that do not result in a change in land cover (e.g. forest degradation, enhancement of forest carbon stocks) may be more difficult or impossible to monitor remotely. High resolution satellite imagery and aerial photography are other options for monitoring small scale changes in land cover and forest condition. These options will be evaluated and a draft monitoring framework will be developed to identify gaps.

Step 4-3b. Determine role of community mapping in monitoring activity data.

For REDD+ interventions that cannot be monitored cost-effectively from satellite or other remote sensing imagery (e.g., monitoring trees outside forests), options will be investigated for incorporating community mapping into the monitoring framework. ERMIS, in conjunction with various communities, have developed 3-D models of land cover within regions of Kenya that could potentially be replicated across communities in Kenya to provide local-level monitoring support for area changes that cannot be detected remotely. If community mapping is incorporated into the MRV implementation plan, a sampling methodology, sampling design and QA/QC protocols will be developed during the design phase and incorporated into the final MRV Implementation Plan.

Step 4-3c. Decide on wall-to-wall vs. sampling approach to remote-sensing based area change based on cost-benefit analysis.

Some area changes are easy to measure and result in large changes in carbon stocks (e.g., deforestation) while others involve much more intensive measurement and may not result in large emissions (or emission reductions). Prior to finalizing methods for monitoring land cover change at various scales, pilot areas will be monitored to evaluate the costs of monitoring small changes and a cost-benefit analysis (costs of monitoring vs. carbon benefits generated) will be conducted.

Step 4-3d. Develop QA/QC procedures for monitoring activity data, test draft MRV plan at demonstration sites and revise MRV plan as necessary.

In collaboration with international experts, QA/QC procedures for monitoring area change will be developed including recommendations on expected standards and methodologies for mapping rates of land cover change, as well as methods for addressing the use of different data sources through time for quantifying activity data. A description of all decisions made and methods developed in steps 4-3 a through d will be compiled into an initial MRV implementation plan. (This plan will also include descriptions on carbon stock changes, summarized in Activity 4-4 below). The plan will be tested for demonstration sites and revised as necessary to ensure that the finalized MRV plan is functional and high quality.

During future monitoring periods, an assessment will be made during this step of opportunities for using the most up-to-date satellite-based or airborne-based methodologies for improved monitoring of performance of REDD+ activities at the national to regional scales and the MRV plan will be revised as necessary.

Step 4-3e. Obtain appropriate data on area change over monitoring period.

The MRV implementation plan, including collection of activity data and data on carbon stock changes, will be tested in demonstration sites and modified to adjust the plan as necessary to account for lessons learned. After this initial testing phase, appropriate data (including remote sensing data as well as other data collected by local communities as applicable) will be collected during each monitoring period.

Step 4-3f. Divide activity data by each REDD+ activity class over monitoring period.

Once activity data have been collected for the monitoring period, these data will be analyzed and broken down by the areas in each REDD+ activity class (deforestation, forest degradation, afforestation/reforestation, enhancement of forest carbon stocks) so that the area data can be combined with emission/removal factors developed in Activity 4-4 below.

Activity 4-4. Design and implement MRV plan for monitoring carbon stock changes.

Step 4-4a. Stratification of land area to be monitored.

Although national forest inventories are useful for many purposes, it is proposed that not all lands need to be monitored as part of an MRV system for REDD+, because monitoring lands that do not undergo changes in land cover and/or changes in carbon stocks over the

monitoring period – and therefore do not generate carbon benefits – would be resources poorly spent. Instead, we propose to stratify the land area to be monitored by potential REDD+ activity and potential change in carbon stocks.

Outputs from Component 3 (benchmark land cover map and historical area change by REDD+ activity type) will be needed to inform this stratification process. Combining historical area changes (deforestation, afforestation/reforestation, forest degradation, areas undergoing carbon stock enhancement) with other ancillary data that provide information about the likelihood of future changes will allow the identification of currently forested areas that are under threat of deforestation and forest degradation or that could undergo sustainable forest management or carbon stock enhancement, as well as the identification of currently non-forested areas that are suitable for supporting tree cover. Such ancillary data could include, but are not limited to, biophysical data such as elevation, rainfall, slope, soil type, etc. as well as data related to how people use lands, such as locations of existing forest plantations, charcoal-producing regions, roads, protected areas, previously burned areas, forest communities, areas under agricultural production, etc. A spatial analysis will be performed that combines all of these data layers together to identify which areas within Kenya are most suitable for each proposed REDD+ intervention.

Step 4-4b. Develop draft field sampling design.

The stratification map will be used to inform the sampling design for carbon stock assessment. Design considerations will include the type of plots to be measured in each stratum (permanent vs. temporary), the timing and frequency of different types of measurements (e.g., which measurements must occur up front vs. through time, which measurements must be collected once vs. once per monitoring period vs. once per year, etc.), an assessment of key carbon pools and pool variability by REDD+ activity type, desired accuracy/precision targets to achieve, and QA/QC protocols for field measurements. Standard operating procedures for all field measurements will be developed and incorporated into the MRV Implementation Plan.

Step 4-4c. Evaluate options and partnerships for using very high resolution remote sensing methods for C stock change assessment.

As mentioned above in Activity 3-3, high resolution remote sensing methods have emerged recently to map and monitor indicators of forest degradation such as logging roads, fire scars and other forest canopy damages, and secondary forest recovery. In addition, high resolution, airborne imagery has been used in combination with satellite imagery to estimate forest carbon stock changes over large areas¹⁴. The approach enables high resolution monitoring of forest cover and disturbance to estimate carbon emissions. This option for using state-of-the art methods for assessing carbon stock changes will be evaluated when making final decisions on sampling design.

Step 4-4d. Collect preliminary field measurements, finalize sampling plan and incorporate into draft MRV Implementation Plan.

Preliminary field measurements will be collected in each stratum to determine the number of plots that will likely be necessary to achieve desired accuracy and precision targets for measuring carbon stock changes. A description of all decisions made and methods developed in steps 4-4 a through c will be compiled into an initial MRV implementation plan.

Step 4-4e. Test draft MRV Implementation plan at demonstration sites and revise MRV plan as necessary.

¹⁴ Asner, GP. 2009. Tropical forest carbon assessment: integrating satellite and airborne mapping approaches. *Environmental Research Letters* 4: 034009.

The full MRV plan (that includes monitoring activity data and carbon stock changes) will be tested at demonstration sites (locations to be determined after REDD+ interventions are implemented) and revised as necessary to ensure that the finalized MRV plan is functional and of high quality. The monitoring system will ultimately allow for national-scale, (but reportable at sub-national scales), annual to bi-annual reporting of GHG reductions achieved as compared to the reference scenario. During future monitoring periods, an assessment will be made during this step of opportunities for using the most up-to-date methodologies for improved monitoring of performance of REDD+ activities at the national to regional scales and the MRV plan will be revised as necessary. After this initial testing phase, appropriate carbon stock data will be collected during each monitoring period at sub-national scales.

Step 4-4f. Develop national values for key default parameters

Once carbon stock data have been collected at sub-national scales, the data will be used to develop sub-national and/or national-level default values such as carbon conversion factors, biomass expansion factors (if applicable), allometric equations for biomass estimation, root:shoot ratios, wood density, etc. These default values will be compiled into one table so that calculations associated with monitoring will be able to be performed quickly and efficiently.

Step 4-4g. Compile sub-national database of emission/removal factors (“lookup tables”).

Activity data for each REDD+ activity class (deforestation, forest degradation, afforestation/reforestation, enhancement of C stocks) must be paired with a corresponding emission or removal factor to calculate total emissions or removals. Therefore, the carbon stock data collected within each stratum will be compiled into a sub-national database/lookup table of emission and removal factors (t CO₂/ha) by REDD+ activity class that can be used with activity data to quickly estimate emissions or removals across all REDD+ activity types.

Activity 4-5. Report national estimate of GHG emissions during monitoring period and subject this estimate to international verification.

In this activity, the outcome of the monitoring system will be synthesized and compared against the reference scenario to provide timely reporting of emissions/removals for REDD+ activities. The MRV implementation plan will be developed to allow for complete transparency so as to be open for verification and peer review.

Table 4a-2: Summary of MRV Activities and Timeline

Activity	Timeline		
	2011	2012	2013
4-1. Define roles and responsibilities			
4-2. Enhance capacity and training			
4-3. Design MRV plan for activity data			
4-3a. Role of remote sensing imagery (scale)			
4-3b. Role of community mapping			
4-3c. Wall-to-wall vs. sampling in remote sensing			
4-3d. Test MRV plan at pilot sites and revise			
4-3e. Obtain activity data for monitoring period			
4-3f. Divide activity data by REDD+ activity class			
4-4. Design/implement MRV plan for C stock data			

4-4a. Develop stratification map			
4-4b. Draft field sampling design			
4-4c. Evaluate options for use of RS data for C stock change			
4-4d. Prelim. field measurements, draft MRV plan			
4-4e. Test MRV plan at pilot sites and revise			
4-4f. Develop national values for key C factors			
4-4g. Compile subnational database of emission/removal factors by REDD+ activity			
4-5. Reporting net national emissions and internationally verify			

Table 4a-3: Summary of Monitoring Activities and Budget

Activity	Estimated Cost in USD			
	2011	2012	2013	Total
4.1 Define Roles/Responsibilities				
4.2 Enhance capacity/training	200,000	30,000		
4.3 MRV plan for activity data	75,000	75,000	75,000	225,000
4.4 MRV plan for C stock data	15,000	125,000	105,000	245,000
4.5 Reporting and Verification			40,000	40,000
Total	290,000	230,000	220,000	740,000

4b. Monitoring of Other Benefits and Impacts

Background

Component 4b outlines a monitoring and reporting system for social, environment and other impacts of increased forest cover resulting from implementation of REDD+ activities. According to the Kenya Atlas¹⁵, the key importance of increased forest cover will be its impact on water resources and improved sustainability of water catchments for hydropower, agriculture, municipalities, wildlife and tourism. Increased forest cover will also protect soils from erosion, increase biodiversity, and provide timber and fuel for local communities.

It is estimated that 530 000 forest-adjacent households (which amount to 2.9 million people living within 5 km from forests) derive direct benefits from indigenous closed canopy forests. This amounts to 10 per cent of Kenya's population. Estimates indicate that in some areas, the forestry sector contributes about 70 per cent of the cash income of forest adjacent households.

REDD+ strategies to reduce deforestation and degradation will have substantial social and environmental impacts beyond climate change and carbon accumulation. Those impacts will be felt at the national level (for example through improved water supply and electricity) and at local levels (for example through availability of firewood) and at various levels in between through other benefits such as jobs related to the forest industry, forest based tourism, etc. Some individuals or groups will be negatively impacted by the proposed REDD+ strategies and these impacts must also be identified and mitigated. For example, stopping agricultural encroachment and expanding the forest area will alter the patterns of land available for food crop production, while addressing unsustainable use of forests will reduce the quantities of forest products available for harvest in the short term. These social and environmental and other impacts of the REDD+ strategies will be monitored.

Component 4b builds on the Strategic Environmental and Social Assessment (SESA) described in component 2d. The SESA will use participatory processes and diagnostic tools to identify potential social and environmental impacts associated with reducing deforestation and degradation and will generate baseline information which can be used for monitoring. The environment and social management framework (ESFM) elements of the SESA will provide the basis for monitoring other benefits and impacts resulting from the planned interventions. However, the SESA will focus at the program level and as specific interventions or candidate strategies are selected for implementation on a pilot basis, more detailed baseline data collection and selection of indicators will be required which are specific to the selected strategies.

Monitoring social and environmental impacts

Building on the outputs of the SESA, and using participatory processes and diagnostic tools described in 2d, social and environmental impacts will be monitored through the following steps;

- 1) Identify potential social and environmental impacts (positive and negative) of specific interventions.
- 2) Identify stakeholders and their roles (individuals, groups, communities, institutions etc)
- 3) Select key variables to be monitored and the indicators that can be used
- 4) Identify capacities (including local capacities) and resources for monitoring and requirements (training, equipment, tools etc)
- 5) Collect relevant baseline data on selected indicators

¹⁵ UNEP 2009, Kenya" Atlas of Our Changing Environment. Division of Early Warning Assessment (DEWA), United Nations Environment Program, Nairobi, Kenya.

- 6) Assess baseline data and design a periodic data collection system to monitor change
- 7) Identify experiences and assess lessons learned from other programs in the forest sector. For example, -what is currently being monitored and who is doing what and what are their institutional strengths?

The REDD+ Task Forces/Working Groups will assess the types of coordination among the various groups needed to monitor impacts for each strategy and activity.

Monitoring governance factors relevant to REDD implementation

Poor governance was identified as one of the major drivers of deforestation and degradation and a number of candidate strategies are proposed to address this. The governance measures are considered essential to ensure the other measures have a lasting impact. Monitoring the impact of governance measures requires assessment of the success in applying those governance measures. Forest Law enforcement and governance indicators will be monitored within the framework of the EA-FLEG process and the issues that have been identified through a study conducted within the country with support from the Finnish Government, World Bank and IUCN. Four Key areas of focus have already been identified including:

1. Development of subsidiary legislations to support implementation of the Forests Act 2005
2. Harmonization of sectoral policy instrument to reduce conflicts
3. Enhancing capacity for forest law enforcement
4. Strengthening of KFS, including its capacity for generating revenue, to effectively implement its mandate
5. Strengthening community participation and private sector engagement in management of forest resources
6. Development and implementation of management plans for all forest areas in the country
7. Compliance with relevant regional and international treaties, agreements and protocols to which Kenya is a signatory, including UNFCCC, CBD, CITES, RAMSAR, UNFF and the AFLEG declaration.

At the program level, the SESA will provide a governance baseline using the analytical framework and indicators referred to in 2d. At the level of specific interventions, for example building the capacity of CFAs, the same framework and indicators will be used to assess the baseline governance status of the CFAs and for monitoring change. The monitoring system will need to go beyond governance indicators to include monitoring change in carbon stock resulting from governance interventions.

Methodology

The monitoring function will be managed by the NRCO but will involve stakeholders and various institutions engaged in monitoring in Kenya during design of the monitoring system, selection of indicators, data collection and interpretation. Specialist data collection will be required to provide information to support community and other stakeholder assessments.

The process will involve institutions in Kenya with specialist capacity and a track record of monitoring environmental impacts in various sectors (including the Water Boards, National Museums of Kenya, Kenya Wildlife Service and others). A strategy for monitoring three key environmental and socioeconomic benefits are described below—this includes water resources, biodiversity and human development index (HDI—composed of life expectancy, education, and per capita GDP).

The water sector of Kenya was reformed and a new Water Act was completed in 2002. The new Water Act provided for the separation of water resources management from water services. The Water Resources Management Authority (WRMA) is responsible for managing the water resources across the six catchments of the country. Regarding Water Resources Management, stakeholder participation of the resource was also provided for by the 2002 Act through regionally based Catchment Area Advisory Committees (CAACs) and the Water Resources Users Associations (WRUAs). The CAACs advise the WRMA on water resources issues at the catchment level, while the WRUAs, among other roles, assist in water monitoring and information gathering. The REDD+ TWG and SC will coordinate with the WRMA and Kenya Water Research Institute (KEWI) to develop a system for monitoring and sharing information on the effect of REDD+ activities on water quality and quantity in Kenya. The water monitoring network is currently in bad shape, but changes in the management of water resources resulting from the 2002 Act has been able to accomplish the following: i) rehabilitation of water resources data monitoring initiated, ii) involvement of WRUAs in water resources monitoring, water allocation and implementation of SCMPs; and iii) discharge measurements revitalized with modern equipment being used. This progress will continue and it is expected it will become more functional as progress on REDD+ implementation occurs. The coordination with the WRMA will provide the data needed for monitoring effects of REDD on water resources.

With respect to monitoring biodiversity, there is a history of monitoring species by several groups within Kenya. Since February 2005, BirdLife International and its Partners in Kenya and Tanzania, (Nature Kenya and Wildlife Conservation Society of Tanzania respectively), have been coordinating a project that aims to institute a standardized sustainable biodiversity monitoring system in the Eastern Arc Mountains and Coastal forests of Kenya and Tanzania (EACF) region.¹⁶ This initiative is funded by the Critical Ecosystems Partnership Fund (CEPF) and is meant to steer a coordinated approach to biodiversity monitoring at species, sites, and habitats/landscape levels within the region. Besides just monitoring species, sites and habitats, it is envisioned that the project will provide a mechanism to evaluate the impact of conservation activities arising from the five-year CEPF investment within the region and how the conservation outcomes will have been achieved (i.e. avoiding extinction, protecting sites and creating corridors where necessary). The REDD+ TWGs will coordinate with this initiative and work together to establish a plan for coordinated efforts, including such issues as roles and responsibilities, resources available, key indicators, assessment of current data base, and analyses of data to evaluate the outcomes of implementing the REDD+ strategy..

In assessing social impacts network, standard indicators (such as HDI) will be used wherever possible to enable comparisons with other parts of Kenya and internationally and data collection on social impacts will involve Kenya National Bureau of Statistics.

An external mid-term review will include consideration of the environmental social and other impacts of the program to date and will provide independent assessment of the impacts of the interventions.

Initial Activities:

Next steps to be carried out during the R-PP implementation include the following:

Activity 4b-1: Design a M&E plan for environment, social and other impacts

Activity 4b-2: Assess capacities and resources for monitoring, identify requirements, build capacity

Activity 4b-3: Select indicators and collect baseline data

¹⁶ Birdlife International 2005. Instituting standardized sustainable biodiversity monitoring in the Eastern Arc Mountains and Coastal Forests of Kenya and Tanzania Region. Birdlife Africa Partnership Secretariats, Nairobi, Kenya.

Activity 4b-4: Test monitoring plan for co-benefit indicators in demo sites and revise plan as needed

Table 4b-1: Summary of Monitoring Activities and Budget

Activity	Estimated Cost in USD			
	2011	2012	2013	Total
4b.1 Design the M&E plan for other benefits and impacts	15,000			15,000
4b.2 Assess capacities and resources and build capacity	10,000	10,000		20,000
4b.3 Select indicators and collect baseline data		10,000	15,000	25,000
4b.4 Test monitoring plan for co-benefit indicators in demo sites			20,000	20,000
Total	25,000	20,000	35,000	80,000

Component 5: Schedule and Budget

Key Milestones of the R-PP:

2010		2011		2012		2013
	R-PP revised and accepted by FCPF	Funds released to initiate activities proposed in R-PP				
	RSC established TORs approved	First TWG meeting				
	Elaboration of REDD+ Task Force Workplans	Approval and funding for the REDD+ component Workplans by TWG and RSC	Implementation of REDD+ Task Force demonstration activities at the Conservancy level		Documentation of lessons learned from REDD+ Task Forces	Proposals for scaling up REDD+ Strategies evaluated by TWG and RSC
		NRCO staffed and operational	Launch of the REDD+ R-PP information clearinghouse	Educational cross site visits at demo sites	Evaluation of the Information clearinghouse	
			Institutional authority for early REDD+ action established		Evaluation of outcomes of REDD+ demo sites	

			Development of Capacity Building program for technical aspects of REDD+			Increased sustained capacity across key groups (e.g. KFS, DRSRS, ERMIS, MMB, CFA) in analysis of RS imagery and measurements and analysis of data for C stock estimation
				National estimate of historic emissions		Estimate of national reference level
				National to subnational data base on key parameters for carbon estimation and emissions and removal factors	Successful testing of draft MRV (emissions/removals and other benefits) at demonstration sites	Operational MRV plan at national to subnational scales for both emissions and removals as other key benefits

Activity	Timeline			
	2010-2011	2011-2012	2012	2013

Approximate time frame for Steps of R-PP Implementation. ¹⁷	Step 1: Analyse Prepare & Consult	Step 2: Piloting and Testing	Step 3: Becoming Ready
1a: Summary of National REDD+ Management Arrangements			
1a.1 - Establish and Operate the REDD+ SC			
1a.2 - Establish and Operate the REDD+ Technical WG			
1a.3 – National REDD+ coordination body			
1a.4 – Establish and operate work plans of the local conservancy officers			
1b: Summary of Consultation and Participation			
1b.1- Assign communications consultation specialist			
1b.2 – Assign a NACOFA representative to the REDD+ SC			
1b.3: Learning and dissemination activities			
1b.4: Assign representatives of impacted stakeholders to each of the REDD+ strategies proposed in Component 2b			
2.a Assessment of Land Use Forest Policy and Governance			
2a.1 Further Research as defined by the REDD+ Component Task Forces			
2b: REDD+ Strategy Options			
2b.1 Validation of R-PP to approve REDD+ component task forces			
2b.2: Initiate REDD+ component task force work			
2b.3: Begin early implementation of measures			
2b.4: Evaluate and monitor outcomes of early action testing			
2b.5: Elaborate proposal for scaling up REDD+ strategies			

¹⁷ It is anticipated that this timeframe may change and that activities within different areas of REDD+ readiness preparations may progress at different speeds

2b.6: Present REDD+ strategy at launch workshop				
2c: Summary of Arrangements for REDD+ Implementation				
2c.1 – Enable early action of REDD+ Activities				
2c.2 – Capacity Building for REDD+ implementation				
2c.3 – Develop financial management arrangements				
2c.4 - Legal analysis and arrangements				
2d: Summary of Social Environmental Impacts				
2d.1: Refine TORs and budget				
2d.2.- Identify expert team to lead SESA process				
2d.3.- Design/launch SESA				
2d.4 – Stakeholder/political economy analysis				
2d.5 – Gap analysis of existing capacity and systems				
2d.6 – Assess opportunities/challenges through stakeholder participation				
2d.7 – Formulate policy, institutional, legal, regulatory adjustment and capacity building measures for REDD+ strategies				
2d.8 – Establish a governance baseline				
2d.9 – Assess risks/impacts of proposed strategies through participatory process with stakeholders				
2d.10 – Carry out scenario analysis using analytical tools and through participatory process				
2d.11 – Define institutional, policy, legal and capacity requirements to address environmental/social issues				
3: Summary of Reference Scenario				
3.1 – Enhance capacity, staffing, technological gaps, define roles/responsibilities				

3.2 Define reference time period & finalise forest definition				
3.3: Quantify activity data				
3-3a. Create benchmark map, perform change detection				
3-3b. Classification quality control				
3-3c. Accuracy assessment				
3-3d. Mosaic and stratification of products				
3-4: Develop historical C stock change data				
3-4a. Identify key C pools				
3-4b. Develop QA/QC protocols				
3-4c. Inventory historical data				
3-4d. Link field and remote sensing data				
3-4e. Collect C stock measurements				
3-5: Combine activity data with emission/removal factors				
3-6: Develop future trajectory				
4: Summary of Monitoring				
4A-1. Define roles/responsibilities				
4A-2. Enhance capacity/training				
4A-3 Design/implement MRV plan for activity data				
4A-3a. Determine role of RS imagery (scale)				
4A-3b. Determine role of community mapping				
4A-3c. Wall-to-wall vs. Sampling approach				
4A-3d. Test MRV plan at pilot sites and revise				

4A-3e. Obtain activity data for monitoring period				
4A-3f. Divide activity data by REDD+ activity class				
4A-4 Design/implement MRV plan for C stock data				
4A-4a. Develop stratification map				
4A-4b. Draft sampling design				
4A-4c. Evaluate C stock change options				
4A-4d. Preliminary field msmts, draft MRV plan				
4A-4e. Test MRV plan at pilot sites and revise				
4A-4f. Collect field data, develop national C values				
4A-4g. National lookup tables by REDD+ activity class				
4A-5 Reporting/Verification				
4b.1 Design M&E plan for other benefits and impacts				
4b.2 Assess capacities/resources and build capacity				
4b.3 Select indicators, collect baseline data and develop monitoring plan with partners				
4b.4 Test monitoring plan for co-benefit indicators in demo sites and revise plan as needed				
6: Program Monitoring				
6-1.Design and implement the Program M&E plan				
6-2. Develop output indicators				
6-3. Mid-term review				

Summary of REDD+ Readiness Preparation Budget					
Component	Sub-Component	Estimated Cost (in USD)			
		2011	2012	2013	Total
1. Organise and Consult					
	1.a National Readiness Management Arrangements	911,500	586,500	586,500	2,084,500
	1.b Stakeholder Consultation and Participation	157,000	200,000	255,000	612,000
2. Prepare the REDD+ Strategy					
	2.a Assessment of Land use, Forest Policy and Governance	40,000	100,000	100,000	240,000
	2.b REDD+ Strategy Options	1,165,000	1,788,000	1,580,000	4,533,000
	2.c Arrangements for REDD+ Implementation	105,000	135,000	175,000	410,000
	2.d Social and Environmental Impact Assessment	50,000	60,000	65,000	175,000
3. Develop a Reference Scenario		595,000	391,000	380,000	1,366,000
4a. Monitoring of Emissions System		290,000	230,000	220,000	740,000
4b. Monitoring of Other Benefits		25,000	20,000	35,000	80,000
5. Schedule and Budget					
6. Design a Program Monitoring and Evaluation Plan		10,000	35,000	15,000	60,000
Total		3,177,500	3,349,500	3,175,500	9,702,500
FINANCE SOURCES					
Government		\$	\$	\$	\$

FCPF	\$	\$	\$	3,400,000
UN-REDD Programme (if applicable)	\$	\$	\$	\$
Other Development Partner 1	\$	\$	\$	\$
Other Development Partner 2	\$	\$	\$	\$
Other Development Partner 3	\$	\$	\$	\$

Component 6: Design a Program Monitoring and Evaluation Framework

The Program M&E framework will monitor implementation of the readiness activities as outlined in the R-PP. It is thus separate from the monitoring system described in Component 4(a) which is concerned with monitoring carbon emissions and removals or 4(b) which will monitor social, environment and other impacts of the activities in the R-PP implementation.

The development and implementation of the Program M&E Plan is the responsibility of the National REDD+ Coordination Office (NRCO), working with outside entities to ensure balanced evaluation. It aims not only to ensure successful implementation of the R-PP, but do so while promoting learning and adaptive management.

Objective and Methodology of the R-PP M&E Framework

The Program M&E framework will be designed with the objective of helping achieve progress in the R-PP readiness milestones in the timeframe and within budget described in the R-PP. This will involve not only monitoring progress in the implementation of actions necessary to define, test and evaluate the REDD+ strategies, but also monitoring the management of the overall R-PP implementation. Thus the M&E framework will have both **process** components and **output** components.

The **process** components are aimed at tracking overall program performance so that readiness milestones are achieved at reasonable cost and in a timely manner. The milestones listed in Component 5 reflect monitorable measures to gauge the achievement of R-PP implementation. They involve for example i) operationalizing an entity according to the criteria defined in the R-PP components that describe them (RSC established and TORs approved, Elaboration of REDD+ Task Force Workplans); ii) carrying out an activity described in the R-PP according to the design that is ultimately approved by the NRCO, TWG and RSC (Launch of the REDD+ R-PP information clearinghouse, Implementation of REDD+ Task Force demonstration activities at the Conservancy level, Development of Capacity Building program); or iii) completing evaluations or analysis of specific outputs (SESA framework, Documentation of lessons learned from REDD+ Task Forces, Evaluation of the Information clearinghouse, Evaluation of outcomes of REDD+ demo sites).

The main steps for monitoring the process components will involve:

- 1) Establishing and utilizing a management information system (MIS) that includes:
 - Annual work plans for REDD+ component Task Forces, local Conservancies, and NRCO staff members that include time-bound activity targets and outputs linked to budgets.
 - Quarterly and annual reports where these actors show work progress against milestones and expenditure against planned budgets
- 2) Monthly management progress review and planning meetings at NRCO level
- 3) Quarterly management review meetings at TWG level and biannually at SC level
- 4) A mid-term review of the R-PP in early 2012 followed by necessary realignments of the program
- 5) A financial reporting system that summarizes performance against annual budgets using quarterly and annual financial reports and end of program financial reports.

The MIS will provide information to NRCO management on progress in implementing the readiness plan and provide transparency in the use of funds. It will assist management in

keeping the program on track to achieve its targets and highlight cost over-runs at an early stage so that corrective measures can be implemented to get the program back on track.

The **output** component of the M&E framework will report progress on the preparedness activities outlined in the components of the R-PP, focusing on the REDD+ strategies and activities to be implemented during the preparedness period. As REDD+ strategies are selected for pilot testing, specific performance indicators will be developed for each Component Task Force to monitor progress in implementation, impacts on carbon stock, social and environmental impacts, costs, and other impacts. Responsible stakeholders for the objectives of each will be included in the workplans, as well as specific relevant stakeholders to be consulted so that this can also be evaluated.

There are various risks expected in carrying out in the implementation of the R-PP. For each milestone and REDD+ strategy action, specific mitigation options will be defined when the workplan for that element is defined since at that time the specific parties responsible will be involved. Similarly, thresholds should be established above which recommendations by the TWG will be called upon to help resolve the situation.

Table 6.1 Examples of potential risks in R-PP implementation and mitigation opportunities.

RISKS	MITIGATION OPTIONS
Inability to carry out the management entities' decisions where other sectors are impacted	Bring the matter to the attention of the CC Secretariat for support in the resolution of the situation.
Implementation of REDD+ demonstration activities is more complex than R-PP time allows	Reduce the number of pilot sites
	Lengthen the timeline in which the component task force acts in order to enable robust demonstration implementation before the strategy proposal is written
Inability to maintain the timeline due to budget constraints such as unreleased but approved funding	Enable REDD+ financial platform to justify fungible use of REDD+ funding
Increased and sustained capacity not realized as newly trained technical people are hired away by other sectors	Set goals and reward staff appropriately, match salary offers from other sectors, provide opportunities for career advancement
International negotiations and policy decisions on modalities for developing reference scenarios and MRV systems under continuous debate with limited resolution	Representatives from GoK must be actively engaged in REDD+ policy discussions and actively participate in decision making process

Initial Activities

Activity 6.1: Design and implement the Program M&E plan

Activity 6.2: Develop output indicators

Activity 6.3: Mid term review

Activity 6.4: End of program review

Table 6-1: Summary of Programme M & E Activities and Budget

Activity	Estimated Cost in USD			
	2011	2012	2013	Total
Activity 6-1. Design and implement the Program M&E plan	10,000	5,000	5,000	20,000
Activity 6-2. Develop output indicators		10,000	10,000	20,000
Activity 6-3. Mid term review		20,000		20,000
Total	10,000	35,000	15,000	60,000
Government		\$	\$	
FCPF	10,000	35,000	15,000	60,000
UN-REDD Programme (if applicable)		\$	\$	
Other Development Partner 1 (name)		\$	\$	
Other Development Partner 2 (name)		\$	\$	

Annexes List

—see separate document

Component 1. Organize and Consult

1b-1: Consultation and Participation I information

1b-2: Consultation and Participation I workshop information

1b-3: KFS REDD+ website

Component 2: Prepare the REDD+ Strategy

2a-1: Forest Sector Background Paper

2a-2: List of on-going programs supporting the forestry sector in Kenya

2a-3: On-going climate change and REDD+ related projects in Kenya

Component 3. Develop a reference scenario

3-1: Background information for REL development

3-2: Coordination of various institutions and organizations for developing the REL

3-3: Proposed roles of Kenyan institutions in developing a REL/MRV system

3-4: Aerial imagery availability

3-5: Summary of remote sensing data in-house

3-6: Sub-steps for estimating activity data

3-7: Sub-steps for estimating emission/removal factors

Component 4. Develop a MRV system

4-1 Background information for MRV system development