



Empowered lives.
Resilient nations.

FCPF project: Support for the Completion of the REDD+ Preparation Phase in Kenya

GRANT MONITORING REPORT

Mid-Term Review

Atlas project ID (Award): 00099178

Atlas project ID (Output): 00102487

FCPF REDD+ Readiness Project Kenya
GRANT MONITORING REPORT

Purpose

- ☒ Review of the progress towards results
- ☒ Support to decision-making
- ☐ Problem-solving
- ☒ Learning
- ☐ Beneficiary satisfaction and feedback
- ☒ Accountability

A. ADMINISTRATIVE ACCOUNTABILITY

Framework documentation in place	What to look for	YES/NO	Remarks
Project Document	Is the prodoc signed, attached in Atlas? Is it available on IATI?	Yes	The PRODOC was signed by the implementing partner (Ministry of Environment and Forestry-MoEF) and UNDP on 6 July 2018, and posted in the UNDP Atlas and available IATI
LOA	Letter of Agreement signed? Implemented?	Yes	Is available in the UNDP ATLAS
LPAC minutes signed	Attached in Atlas?	Yes	Three meeting minutes available in the UNDP ATLAS
Minutes of the Project Board	Documented?	Yes	Three meeting minutes available in the UNDP ATLAS
Donor Reports	On time?	Yes	Available on the UNDP Project website and FCPE Kenya section website
Final Reports	On time?	No	The project is under implementation. Currently the project is under No Cost Extension until 31 December 2021
Finding on Project	Review the process of	No	The project is under

file	procurement and asset inventory		implementation. Currently the project is under No Cost Extension until 31 December 2021.
-------------	---------------------------------	--	--

B. MID TERM PROGRESS

In 2016, the World Bank provided Kenya with a REDD+ Readiness grant of USD 3.88 million from the Forest Carbon Partnership Facility (FCPF). In September 2018 Kenya started to implement Reducing Emissions from Deforestation and Forest Degradation (REDD+) Readiness Project. The REDD+ readiness project seeks to achieve four main goals: (i) Achieve the Constitutional and *Vision 2030* objectives of increasing national total forest cover to a minimum of 10%; (ii) Support the National Government's efforts to designing policies and measures to protect and improve its remaining forest resources; (iii) Achieve the National Climate Change Response Strategy goals; and (iv) Contribute to global climate change mitigation and adaptation efforts. The REDD+ project was planned to run from 01 September 2018 to 30 October 2020. However, following the approval of a No Cost Extension (NCE) the project will run until 31 December 2021.

The REDD+ readiness project is being implemented by the Ministry of Environment and Forestry (MoEF) in partnership with UNDP as the delivery partner, and in collaboration with a number of responsible parties in delivering key result areas through the National Implementing Modality (NIM). The aim of the REDD+ readiness project is to put in place mechanisms to enable Kenya to reach its overall REDD+ goal of improving livelihoods and wellbeing, conserving biodiversity, contributing to the national aspiration of a minimum 10% forest cover, and mitigating climate change for sustainable development. This will be achieved through four outcomes, namely:

- 1) An operational national REDD+ strategy and investment plan;
- 2) An operational safeguards information system for REDD+;
- 3) Functional multi-stakeholder engagement and capacity building for REDD+; and
- 4) Technical support provided for improvement to the National Forest Monitoring System and Forest Reference Level.

To deliver the project UNDP in partnership with the Ministry of Environment and Forestry sought collaboration with local and indigenous communities and the national partners including the Kenya Forestry Service (KFS), Kenya Wildlife Services (KWS), National Land Commission (NLC), Kenya National Commission for Human Rights (KNCHR), National Gender Equality Commission (NGEC), the Academia, Youths, the Indigenous People's representatives and the private sector through the Kenya Association of Manufacturers and the Kenya Private Sector Alliance (KEPSA).

In March 2021 the UNDP carried out a Mid-Term Review (MTR) to assess progress in meeting expected results and objectives of the Project. The review also assessed relevance, effectiveness, efficiency, sustainability, risks and cross-cutting issues. The review also identified lessons learned and made key recommendations to improve future project implementation. The main findings of the MTR are summarized in the following rating table:

Results Assessment Criteria

The assessment focused on progress made towards output indicators using the following six (6)-rating scales¹ based on UNDP evaluation quality assessment and rating guidelines².

The assessment was based on the progress made on the output indicators. Where quantitative data is generated, the rating was based on percentage as shown in table 2 below. In the case of qualitative data, the rating was based on the evaluator's qualitative assessment in light of available evidence as expressed by majority of key informants.

UNDP Results Rating Scale

Rating	Description	Color Code
Highly satisfactory	The output is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".	HS: ≥70%
Satisfactory	The output is expected to achieve most of its end-of-project targets, with only minor shortcomings.	S: 60%-69%
Mostly satisfactory	The output is expected to achieve most of its end-of-project targets but with significant shortcomings.	MS: 50%-59%
Mostly unsatisfactory	The output is expected to achieve its end-of-project targets with major shortcomings.	MUS: 40%-49%
Unsatisfactory	The objective/outcome is expected not to achieve most of its end-of-project targets.	US: 30%-39%
Highly unsatisfactory	The output has failed to achieve its midterm targets and is not expected to achieve any of its end-of-project targets.	HUS: ≤ 30%

Output 1: An Operational REDD+ National Strategy and Investment Plan

¹ Dark Green (Highly Satisfactory), Light Green (Satisfactory), Blue (Mostly Satisfactory), Yellow (Mostly Unsatisfactory), Orange (Un Satisfactory) and Red (Highly Un Satisfactory)

² UNDP Evaluation Guidelines, Independent Evaluation Office of UNDP, New York, Jan 2019.

Progress towards Operational National REDD+ Strategy and Investment Plan (NRS-IP)

Output Indicators	Progress Towards Results	Evaluation Assessment
1.1 Analytical work and studies for REDD+ National Strategy Options conducted.	The indicator had not been fully achieved. Five (5) national consultants were hired in December 2020 to undertake the "Analytical studies for the REDD+ National Strategy". Data collection coupled with virtual engagement with stakeholders was on going and the draft report was expected by mid-April 2021. The final report for the analytical study is expected in the first week of May 2021. The progress made on this indicator is rated as "Mostly Satisfactory".	Mostly Satisfactory
1.2 Private sector assessment conducted and their engagement in the REDD+ process strengthened.	The indicator had not been fully realized due to COVID-19 prevention restrictions. The national consultant hired in December 2020 to conduct studies on Private Sector Engagement in REDD+ Implementation was progressing with assessment. Data collection had been concluded, the mapping of the private sector actors finalized and value chain addition analysis on-going. The draft report and final report on private sector engagement are expected in April and May 2021, respectively. The progress made on this indicator is rated as "Mostly Satisfactory".	Mostly Satisfactory
1.3 Institutional Framework for REDD+ Implementation identified.	The Elgeyo Marakwet County Forest Management and Conservation Act and Policy was finalized and ready for printing while the first phase of Gender Inclusion and Vulnerability Assessment for Forest Dependent Communities in Kenya was completed by September 2020. The following National and County legislations and guidelines were in the final stages of development: The revised National Forest policy, National County Model Laws on forest policy, Bill and regulations on forest conservation and management, County Ethics and Integrity guidelines in forest governance, Nyeri County Forest Management and Conservation Bill and	Satisfactory

Output Indicators	Progress Towards Results	Evaluation Assessment
	<p>Policy 2020 developed and assented by the Governor, and the development of training curriculum and manual on mainstreaming of Human Rights Based Approach (HRBA) in forest conservation, protection, and management for the Kenya Forest Service Board of Director. A National Consultant was hired in December 2020 to undertake the study on "Enhancing participation of the marginalized communities and forest dependent communities in the development and implementation of REDD+ in Kenya." At the time of writing this report, assessment of institutional mandates to identify areas of incoherence or complementarity for REDD+ was on going. The progress made on this indicator is rated as 'Satisfactory'.</p>	
<p>1.4 Investments to support implementation of REDD+ National Strategy, focusing on cross-sectoral issues in priority watersheds/ landscapes /counties identified.</p>	<p>The REDD+ National Strategy is still under-development. Investments to support its implementation will occur as soon as its development is completed and informed by several ongoing analytical studies. To this aim, a national consultant was hired in December 2020 to undertake Natural Resource Management and Policy analysis. The draft report on natural resources management and policy analysis has been produced and currently undergoing internal review by key stakeholders. The progress made on this indicator is rated as "Mostly Satisfactory".</p>	<div data-bbox="1232 1035 1429 1136">Mostly Satisfactory</div>
<p>1.5 Resource mobilization strategy for REDD+ National Strategy implementation developed.</p>	<p>The development of a REDD+ National Investment Plan (REDD+ NIP) is planned as a companion document to the REDD+ National Strategy. The REDD+ NIP will define the framework and approach to mobilize financial resources for the effective implementation of the REDD+ National Strategy. Analytical studies to inform the development of the REDD+ NIP are already</p>	<div data-bbox="1219 1570 1438 1671">Mostly Satisfactory</div>

Output Indicators	Progress Towards Results	Evaluation Assessment
	ongoing, notable the "Assessment of financing, incentives, and benefit sharing opportunities and options for REDD+ National Strategy implementation at national and county levels in Kenya" on going in April 2021. The progress made on this indicator is rated as "Mostly Satisfactory".	

Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+

Progress towards a Functional Multi-Stakeholder Engagement and Capacity Building

Output Indicator	Progress towards results	Evaluation Assessment
2.1 Multi-stakeholder consultations, including forest dependent and local communities, engagement integrated in all REDD+ processes and outcomes.	The planning and implementation of activities contributing towards REDD+ readiness process involved county staff, communities, and vulnerable populations. This resulted to several multi-stakeholder engagements leading to collective ownership of the REDD+ readiness process. Stakeholders are well versed with REDD+ and can meaningfully participate in the National Strategy and Investment Plan development process and can influence and effectively plan REDD+ decisions. The respondents also indicated that there were guidelines and tools in place for REDD+ implementation including Free, Prior and Informed Consent and Grievance Mechanisms. The progress made on this indicator is rated as "Highly Satisfactory".	Highly Satisfactory
2.2 National REDD+ governance system established and strengthened.	The National REDD+ governance system was established and operational. Through the Project Steering Committee and REDD+ TWG there is an effective and meaningful multi-stakeholder representation in decision-making bodies of in	Highly Satisfactory

	country REDD+ governance. The progress made on this indicator is rated as "Highly Satisfactory".	
2.3 Knowledge management (KM) and communication strategy developed and implemented around selected and strategic initiatives to support strategy implementation.	The indicator was planned to be achieved by December 2020. The REDD+ Communications Strategy was developed to guide engagement with various stakeholders through various platforms. The communication strategy was endorsed by the project TWG and is awaiting further validation by key actors and clearance by the Ministry of Environment and Forestry. Engagements with the media and general public was conducted with visibility and awareness created on REDD+ readiness process in Kenya. Additionally, a media campaign with media houses were conducted focusing on the 10% national tree cover initiatives being spearheaded by the Government of Kenya in partnership with development partners. The project has continued to engage on social media. It has an active page with an average of 17.9K impressions per month and over 600 followers. Additionally, several articles and stories have been posted on UNDP's websites (Country Office, UNDP Climate and Forests and Media). As part of media engagement, the Resident Representative has continued to showcase UNDP's support to the government towards the 10% tree cover through television interviews and panels at the national level. The progress made on this indicator is rated as "Highly Satisfactory".	Highly Satisfactory

Output 3: An operational safeguards information system for REDD+

Progress towards an Operational Safeguards and Information System for REDD+

Output Indicator	Progress towards results	Evaluation Assessment
3.1 National Safeguards Framework developed, including design of a	The national operational Safeguards Information System (SIS) is yet to be developed. Terms of reference were developed and are at the	Mostly Satisfactory

Safeguards Information System (SIS).	procurement stage. The progress made on this indicator is rated as "Mostly Satisfactory".	
--------------------------------------	---	--

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

Progress towards Technical Support Provided for Improvement of National Forest Monitoring System and Forest Reference Level.

Output Indicator	Progress towards results	Evaluation Assessment
4.1 Technical advisory support to consolidate and refine the National Forest Monitoring System.	The process of developing NFMS was ongoing under the leadership of the Kenya Forest Service with funding from the Government of Japan. The Project plans to facilitate awareness creation thereof among the different actors. The progress made on this indicator is rated as "Satisfactory".	Satisfactory
4.2 A reference level for Kenya and reporting requirements.	In collaboration with the Capacity Development Project for the Sustainable Forest Management, the Kenya's Forest Reference Levels (FRL) was finalized and submitted to UNFCCC for revision in January 2020. The FRL was developed with collaborative support from JICA. The FRL development process was informed by extensive interaction with the Technical Assessment Teams, that included Project. The progress made on this indicator is rated as "Highly Satisfactory".	Highly Satisfactory

Mid-term Review Findings

Relevance

With reference to relevance:

- The outputs of the project are designed to align with the National Strategy for the Attainment and Maintenance of 10% Tree Cover. The overall goal of the strategy is to accelerate actions towards the achievement of the Constitution, Vision 2030 and the constitutional 10% national tree cover, for environmental integrity and social economic development. It aims to restore 5.1 million hectares of deforested and degraded forests and other landscapes by 2022. The deforestation in the country is estimated at 103,368 ha per year (0.17% of the national area)

but conservation efforts achieve about 90,477 hectares of reforestation annually (0.15% of national area)³.

- The Project supports efforts toward the Nationally Determined Contributions (NDC) Implementation Framework by supporting the government in meeting its national targets to increase forest cover and reduce GHG emissions. The government has revised its Nationally Determined Contribution (NDC), in line with the requirements of the Paris Climate Change Agreement, increased its ambition, especially from the forest and land use sector. Kenya submitted its Forest Reference Level (FRL) in December 2019 to the UNFCCC.
- The Project acknowledges private sector as a key actor in REDD+ Readiness and implementation process. It further underscores the profound role played by the private sector in addressing deforestation and forest degradation. It is keen to explore ways of enhancing private sector engagement in REDD+ process and to promote GHG emissions reduction from forest related economic engagements.
- The Project is aligned with the Big 4 Agenda which is an economic blueprint developed by the government to foster economic development by providing solutions to various socio-economic problems in Kenya. Forest conservation in Kenya plays a key role in the success of - the 4 pillars (food security and nutrition, universal healthcare, affordable housing, and manufacturing) in the agenda.
- The Project is supporting the development of the Safeguards Information Systems (SIS) including the Summary of Information (SOI) which will allow Kenya to manage and reduce environmental and social risks, while ensuring that long term benefits, and safeguards are embedded in the implementation of the policies and measures.
- The Project was found to be aligned with the UNCT/UNDAF 2018-2022, Strategic Priority Area 3: Competitive and sustainable economic growth that is increasingly resilient, green, inclusive, equitable, and creating decent jobs and quality livelihoods for all; Outcome 3.3: By 2022, people in Kenya benefit from sustainable natural resource management and resilient green economy. Further, the Project contributes to UNDP Strategic Plan (2018-2021), Signature Solution 3 on Environment: nature-based solutions for development and Signature solution 4 on Clean, affordable energy.
- The project contributes to the National Forest Programme (NFP) and the National Forest Policy, 2016 as they focus on building national strategies that prioritize drivers of deforestation and degradation.

Effectiveness

³ Ministry of Environment and Forestry: The National Forest Reference Level for REDD+ Implementation, December 2019.

The assessment of the effectiveness was anchored on six-point rating scale (Highly Satisfactory-HS, Satisfactory-S, Mostly Satisfactory-MS, Mostly Un-Satisfactory-MUS, Unsatisfactory-US, and Highly Unsatisfactory-HUS) as laid out in the UNDP Evaluation Guidelines⁴.

- The findings revealed that overall progress made towards the development of an Operational REDD+ National Strategy and Investment Plan was “Mostly Satisfactory”. The implementation status was found to be behind schedule mainly due to delays in the procurement of consultants to undertake analytical studies. Moreover, the onset of COVID-19 pandemic hampered the implementation of the analytical studies due to preventive measures like lockdowns and curfews imposed by the national government. This further delayed consultation processes, notably engagement with the private sector, youth, and legislative assemblies at national and county levels to engage on identification of strategic options for the REDD+ National Strategy.

Efficiency

- Overall, the Project’s quantitative outputs have mixed results, and this is rated as “Mostly Satisfactory”. However, approximately 45% the project delivery of available resources is rated as “Mostly Unsatisfactory”. This is directly attributable to delay in establishment of the PMU. While the project began in June 2018, the PMU was established in October 2019, and this has delayed the implementation of activities. It can also be attributed to the advent of COVID-19 pandemic which resulted in lockdowns and curfews imposed by the government as preventive measures. However, the management structure demonstrated requisite oversight capacity, efficient and responsive management commitment. Considering the COVID-19 prevention restrictions that prohibited in-person gatherings most parts of 2020, the management of the project by the PMU in terms of activity implementation was coherent as the project demonstrated low budget delivery efficiency but high expenditure efficiency of available resources.

Impact

- The Project made significant impacts at the national, county and community levels. The Project created a platform for policy development and regulations that will guide forest resources conservation and management at the national and county levels as evident in the review of the draft National Forest Policy 2016, the development of forest management and conservation policy for Elgeyo Marakwet and Nyeri counties. This has built traction to other counties, such as Wajir to adopt the laws for implementation. The Project supported the development of ethics and anti-corruption guidelines that will serve as a guide in REDD+ Readiness stage and during the implementation phase.

⁴ UNDP Evaluation Guidelines, Independent Evaluation Office of UNDP, New York, Jan 2019.

- With regards to livelihoods, communities, as well as women and youths in Kenya have continued to engage in innovative ways to improve their livelihoods through nature-based solutions. This was identified during experiential learning sessions that the project facilitated for the youth, women, and REDD+ experts. Participating groups visited the Wildlife Works in Kasigau Corridor REDD project in Voi. Participants were sensitized on how to conserve forests and to explore innovative ways of generating income. Some of the innovative ways that participants learned included: tailoring, beads work, mechanical work, ecotourism, and establishment of tree nurseries. Youth were drawn from the national and county levels to take part in the exchange learning sessions. These sessions enhanced the youth capacity to implement various innovations on how to create green jobs. A great example are youths in Kisumu who are working on the Bamboo sector. These youths are exploring how bamboo can be used to fight climate change and provide employment opportunities. Additionally, youths in Mombasa County are working with local communities in the conservation and management of mangrove forests. As a result of the youth engagements several youth groups are now engaging with KFS and counties on tree planting and tree growing.
- In collaboration with Kenya National Commission on Human Rights (KNCHR) and Kenya Forest Service (KFS), the Project facilitated the development of Human Rights Based Approach and tools on forest conservation, protection, and management. The training manual and tools aim to enhance awareness of the county and national governments officials, the CSO, local and indigenous people and the private sector on the link between forest conservation and human rights protection. The human rights-based approach curriculum and manual were approved by KFS board and adopted for training in the Kenya Forest College. This is the first time such a curriculum is integrated into forestry college training materials and references. Further to identify and mitigate social and environmental risks in the design and implementation of forestry programmes and projects, the project has supported the development of environmental and social safeguards guidelines for Kenya Forest Service projects and programmes. These are the first of their kind to be developed for the forest sector in Kenya. They were developed by a joint team from KFS, Kenya National Commission on Human Rights and National Land Commission.
- Due to wide and targeted stakeholders' engagement with all communities including the Indigenous Peoples (Sengwer of Embobut, Kiptani) and key stakeholders their participation in policy and bill development in Elgeyo Marakwet County, the Project managed to facilitate peaceful co-existence between the Sengwer, Embobut and Pokot communities who were previously warring ethnic communities. The collaborative conservation efforts by the county and KFS in Elgeyo Marakwet county to preserve Embobut water catchment have resulted in

more water on downstream side which has eliminated competition for water and led to reduced water related conflicts.

Sustainability

- The planning and execution of Project's activities was consultative and inclusive. There was clear evidence of the PMU consulting the Implementing Partner (Ministry of Environment and Forestry) and each of the relevant responsible party by activities in the design phase and the execution level. Indeed, relevant lead role in execution of activities was given to key Responsible Parties as summarized below.

Table 1: Relevant Responsible Parties by Activities.

Activity	Lead Responsible Party
Gender inclusion and vulnerability assessment	National Gender and Equality Commission
Ethics and integrity guidelines on forestry governance in Kenya	Ethics and Anti-Corruption Commission
County model laws on forest conservation and management	Council of Governors
Integration of human rights-based approach in conservation and management of forestry resources	Kenya National Commission on Human Rights jointly with Kenya Forest Service
Historical land injustices and land right claims	National Land Commission

- This has strengthened collective ownership of the project results. The partnership approach with responsible parties, including the local and indigenous communities cross pollinated different skills and knowledge which has created requisite capacity among the various actors across the country both at county and national levels. Although the wide consultative approach required lots of time, financial and human resources, the approach allowed consensus building around key issues of forest conservation, participation, human rights, management, access, and utilization of forest resources.
- The strength of the Project sustainability is drawn from its relevance to, and alignment with the national forest policy and other key national instruments, giving it a leverage to support the delivery of the national forest policy and legislative provisions.
- The involvement of the Indigenous People and Local Communities (IPLCs) has been a key achievement in the REDD+ Readiness activities, which assures its sustainability beyond the Project funding period. Further, the Project is well embedded in the local structures through Community Forest Associations (CFAs) in communities where REDD+ activities are being implemented. These communities have received sufficient capacity building support in forest

conservation, protection, and management from the Project. In addition, the Indigenous Peoples and Local Communities (IPLCs) have participated fully in capacity development initiatives through the Project's activities.

Recommendations

Overall, the evaluation found that the project progress is Satisfactory considering the achievements made up to September 2020. However, the evaluation is cognizant of the available high capacity within the PMU which has the potential to fast-track the Project delivery during the No Cost Extension (NCE) period running from 1 January – 31 December 2021. The evaluation made 15 key recommendations that if considered, should strengthen the project delivery.

Recommendation 1: Project should continue tapping into indigenous peoples and local communities (IPLCs) buy-in to identify outstanding issues to give the Project the necessary leverage and to foster and further strengthen sustainability among the communities. As the REDD+ Readiness process gets to phase two it would benefit the Project if existing and established feedback grievance redress mechanisms are scaled up to foster greater community buy-in to increase sustainability.

Recommendation 2: Deliberate efforts should be made to significantly strengthen gendered approaches with a focus on women and girls' participation in REDD+ Readiness processes and its implementation. The Project should focus on the findings of the gender vulnerability assessment, isolate the specific barriers to women's and girls' participation in forest conservation and managements and offer targeted capacity building initiatives to women and girls to enhance their participation in REDD+ Readiness process.

Recommendation 3: The prospects to indigenous communities' participation lie on the continuous flow of benefits and their active participation in management decisions. It's recommended that the PMU should:

- Scale up and enhance active involvement of indigenous people and local communities in key decision-making processes through the relevant project governance structure.
- Prioritise capacity building of indigenous people, incentive schemes and awareness creation to enhance project sustainability.

Recommendation 4: To enhance sufficient representation and participation of partners in meetings, the PMU should provide sufficient time for notices by sending invitations at least two weeks before the event.

Recommendation 5: To build coherence in the implementation process, the PMU should sustain the practice of keeping the Technical Working Group (TWG) informed of the changes in the project work plans and that such changes continue to receive approval from PSC. This will increase collective responsibility and demonstrate compliance and accountability as outlined in UNDP's Programmes and Projects Management guidelines.

Recommendation 6: Future project interventions should have clear plans with budget allocations; how to engage the youths in good time to allow them to participate effectively and create an impact. To enhance the potential for youths impact, Project should ensure capacity building and a clear gender disaggregated representation at the planning and implementation levels. Further, the Project should scale up full representation and participation of the youth and people living with disability.

Recommendation 7: The project should take advantage of the virtual platforms and create opportunities for linkages for networking and funding for youth lead conservation efforts for young people. This should be backed with opportunities for exchange and learning programmes by leveraging on the virtual platforms. Further, it's important to:

- Provide capacity building to the youth on the issues associated with carbon trading in order to take advantage of the opportunities around carbon trading.
- Enhance youth livelihoods by leveraging on UNDP's good relationship with the National Government to fast-track legislation and policies to regulate carbon trading.
- Support the youths to register the Kenya Carbon Project Developers Association to tap into the carbon market which they had wanted to register in November 2020 but could not be due to lack of policy regulations and supportive structures in the country.

Recommendation 8: Through existing strategic structures, the Project should allocate resources and support (influence) the formulation of Incentives and Benefit Sharing policies in the environment and forest sector.

Recommendation 9: The PMU should strengthen and allocate more resources to the communication department to scale-up the Project visibility at the grassroots, county, and national level.

- The PMU should fast track the approval of the Communications Strategy by the MoEF.
- To further increase REDD+ visibility in Kenya, create a social media account highlighting youth activities and innovative ideas on the REDD+ process. This should be independent from the UNDP twitter account but supported by UNDP at the technical level.

Recommendation 10: In the next phase of REDD+ project design, there is need to escalate cost sharing modalities and ensure that there is documented commitment by the Government of Kenya for the budgetary allocations for REDD+. Furthermore, other innovative ways of resources mobilization for REDD+ projects should be explored.

Recommendation 11: The Project should scale up the understanding of the value of nature-based solutions among the youths. All levels of government and the private sector need a greater appreciation for, and awareness of the potential for nature-based solutions to improve livelihoods. As the Project transitions into phase two more awareness is needed about the value of natural resources and the potential for social and economic impact of losing them.

Recommendation 12: Establish a clear monitoring and evaluation framework with clear monitoring and evaluation plan. This should have clear milestones, targets, time frames and reporting schedules to guide field monitoring activities. The project should leverage on the available technical capacity to engage more in research through the monitoring and evaluation wing to enable data and evidence-based planning.

Recommendation 13: The MoEF and UNDP should take advantage of the prevailing political good will at the national and county levels to strengthen the Project visibility at the community level.

- There is need for more sensitization in the counties to allocate more resources towards the conservation efforts and to facilitate the protection of water towers.
- The national and county governments should put into practice the provisions of the national forest and county laws and the county model laws which were developed through REDD+ Readiness process to enhance resources allocation for conservation of forest and water towers, as well as engagement of communities to prioritise conservation initiatives at the ward level.

Recommendation 14: There is need to focus efforts on privately owned forests alongside public forests to foster greater and stronger approach to tree planting and tree growing.

- Sensitize communities on tree growing through different communication channels.
- Conduct capacity building initiatives for communities on tree growing as a new concept.
- Support the establishment of a monitoring mechanism and a functional governance system for tree growing initiatives.

C. MANAGEMENT ACCOUNTABILITY

<p>C.1 Management Arrangements</p> <p>Does the project structure exist? Roles clearly defined? Staff is clear about their responsibilities?</p>	<p>The REDD+ Readiness Project governance and management is composed of the following levels:</p> <ul style="list-style-type: none">I) National REDD+ Project Steering Committee (PSC)II) Project Executive Board (Project Advisory Team).III) Technical Committees as neededIV) Project Management Unit/team <p>National REDD+ Project Steering Committee (PSC)</p> <p>The National Steering Committee (PSC) membership is composed of the Principle Secretaries from the Ministries of Environment and Mineral Resources, Agriculture, Energy, Local Government, Planning and National treasury. It included the Directors of KFS, KWS, Kenya Forestry Research Institute and National Environmental Management Agency, The National Land Commission, the Gender Commission, IUCN, WWF, the Kenya Forest Working Group, Representatives of Indigenous Forest peoples and The National Alliance of Community Forest Associations (NACOF), FAO, UN-WOMEN, UNOHCR, UN Environment, Donor Coordination Group Representative and Universities representative. The functions of the NSC are guided by the provisions in the TORs as follows:</p> <ul style="list-style-type: none">• Policy guidance on overall implementation of REDD+ readiness activities• Support to national coordination of inter/intra-sectoral REDD+ initiatives• Ensure REDD+ initiatives respond to National objectives including increased forest cover and climate change mitigation and respect for human rights• Resource mobilization to support readiness activities• Assure of timely delivery of a national REDD+ strategy, national reference emission level and an effective MRV and monitoring system• Ensure monitoring and evaluation of various activities and provide criteria for quality control of the project outputs• Provide a mechanism for international collaboration with other REDD+ processes.
--	---

The Project Executive Board (Project Advisory Team)

The PEB is chaired by the Principal Secretary (PS) of the Ministry of Environment and Forestry (MoEF) or PS appointed representative and is responsible for supervising project development and guiding project activities through technical backstopping and delivery of the project outputs. It approves work plans, manages budgets, and follows UNDP procedures and rules of programming as stipulated in the Results Management Guidelines (RMG). The PEB membership is comprised of technical officers from Kenya Forest Service (KFS), National Treasury, National Land Commission (NLC), the National Gender and Equality Commission (NGEC), National Environmental Management Authority (NEMA), National Climate Change Directorate, Ministry of Energy and Petroleum, Council of Governors, Ministry of Devolution and Planning, academic institutions representative, The National Alliance of Community Forest Associations (NACOFA), Private sector representative, CSOs representative, marginalised communities representatives, The Project Manager (NPM) Officer is an ex officio member of PEB responsible for taking minutes.

The roles of the PEB are to:

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

Technical Committees/Technical Working Groups (TWGs)

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

The Project Management Unit (PMU)

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

- Annual Project Reports (APR)
- Quarterly Technical and Financial Reports
- Project Terminal Report

The PMU constituted by the **Project Manager** and staff as well as a UNDP programme focal point who works closely with the UNDP Kenya Country Office and the UNDP REDD+ Africa Team to provide technical backstopping. S/he represents UNDP in technical committee meetings and other meetings as delegated. T

The National REDD+ Coordinator

The National REDD+ Coordinator is housed within the Ministry of Environment and Forestry. The National REDD+ Coordinator is appointed by the Principal Secretary in the Ministry of Environment and Forestry. The National REDD+ Coordinator represents the Principal Secretary in the routine activities of the Project including signing letters and approve documents on behalf of the Principal Secretary.

The Integrity and Governance Team (REDD+ anticorruption taskforce)

This taskforce established in 2014 to lead the anticorruption agenda in the REDD+ and is chaired by the Ethics and Anticorruption Commission and members are drawn from: The Ministry of Environment and Forestry, Kenya Forest Service,

	National Land Commission, The National Treasury, Climate Change Directorate, Transparency international Kenya, a representative of the marginalised communities, a representative of the private sector and a representative of NACOFA. This taskforce plays an oversight role in the implementation of the Project as a mechanism to integrate the anticorruption agenda in both implementation of the project and design of the REDD+ strategy.									
C.2 RRF (AWP) revised? Input: initial RRF <i>AWP signed?</i> <i>Implementable?</i> <i>(Delivery rate etc.)</i>	<p>All the Annual Work Plans (AWP) are prepared by the PMU and approved by the Project Steering Committee (PSC). This ensures that the activities proposed for implementation are in line with the Project results and resources framework.</p> <p>Following No Cost Extension, a review of the RFW was approved by the PSC in December 2020, that includes an adjusted timeline for indicators deadlines to secure the accomplishment of the goals/results on the time set for the Project.</p> <p>Based on the internal mid-term evaluation the achievements of the project results are outlined in UNDP Results Rating Scale based on UNDP Results Assessment Criteria.</p> <p>Resources Utilization</p> <p>Overall, the resources utilization in the Project was rated “Highly Satisfactory”. The evaluation explored the satisfaction level of the participants in the utilization of resources in the Project. The findings revealed that 74% of the participants felt that the resources were well utilized. With regards to resources utilization, the Project had low budget delivery efficiency but high expenditure efficiency of available resources. The Project design had appropriate structure, which enabled a well-managed and coordinated implementation process.</p> <p>Resources Utilization as of 30 September 2020.</p> <table><tr><th>Output</th><th>Available Resources (USD)</th><th>Expenditure (USD)</th></tr><tr><td>Output 1: National REDD+ Strategy and Investment plan.</td><td>1 568 000.00</td><td>427473.00</td></tr><tr><td>Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+</td><td>515 663.00</td><td>506003.00</td></tr></table>	Output	Available Resources (USD)	Expenditure (USD)	Output 1: National REDD+ Strategy and Investment plan.	1 568 000.00	427473.00	Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+	515 663.00	506003.00
Output	Available Resources (USD)	Expenditure (USD)								
Output 1: National REDD+ Strategy and Investment plan.	1 568 000.00	427473.00								
Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+	515 663.00	506003.00								

	Output 3: An operational safeguards information system for REDD+;	250 000.00	28850.00
	Output 4: Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level.	140 000.00	119298.00
	Project implementation	1 042 838.00	542553.00
	Monitoring and evaluation	83 500.00	0.00
	GMS (8%)	288 000.00	127200.00
	Total project cost	3888000.00	1751377.00
	Project Delivery as of 30 September 2020		45%
	<p>At 45% delivery the project efficiency in resources utilization was rated as “Mostly Un-Satisfactory”. However, the Project’s efficiency in turning the resources into results is rated at “Satisfactory” (60%). The low delivery in resources absorption can be attributed to late establishment of PMU and the COVID-19 prevention measures like curfews and lock downs imposed by the government. This grossly affected the Project delivery as can be observed in table 7 above. While the Project was to end on 31 December 2020, the Project delivery was at USD 1, 751,377 (45%) by 30 September 2020. With a balance of USD 2,136,623 (55%) to spend by 31 December 2020, it was clear the Project had to be implemented through a No Cost Extension (NCE) modality. The Project is already under NCE until 31 December 2021.</p>		
C.3 M&E Plan updated? Input: initial M&E Plan <i>Revisions of the initial M&E framework i.e. M&E Plan prepared?</i>	<p>The Project has established appropriate mechanisms, budget and other administrative or institutional arrangements to ensure adequate monitoring and follow-up for the early identification of problems that could affect project performance. These are clearly documented in the Project Risk log in ATLAS. The Project received at the assessment the rating of Moderately Satisfactory.</p> <p>The PMU meets on weekly basis and documents decisions taken related to the Project implementation and delivery. The PMU uses activity tracking tables and keeps updating accomplished tasks. Data collection tools have not been revised for updates. The Project uses UNDP recommended data collection tools. However, with the setting in of COVID-19 data</p>		

<p><i>Written track on decisions exist?</i></p>	<p>collection tools for risk management have been updated and data collection processes have been modelled to suit the current situation.</p> <p>Review of data collection tools for follow-up and monitoring activities have been reviewed following the advent of COVID-19. Tools for the M&E are based on the UNDP's methodological and technological approaches which have widely adopted virtual tools to conduct meetings and collection of data. Paper handing have been minimised for document approvals and electronic docuSign has been adopted instead.</p> <p>All stakeholder engagement meetings, recommendations and way forward are clearly documented and uploaded on the SharePoint for access by all stakeholders. The Project makes follow-ups and monitors the stakeholders' participation in the different activities, with a range of information disaggregated by gender and sector. This was also recognized as good practice by other stakeholders in some of the interviews.</p>
<p>C.4 MoV& Indicators exist? Input: Initial M&E plan</p> <p><i>Are they still relevant? Are the indicators easily obtainable and SMART? Will they be monitored further? Is data collected as planned?</i></p>	<p>The Project monitoring and evaluation indicators are clearly articulated in the Project M&E frameworks. The indicators are SMART. However, the tacking and monitoring of the indicators will cease when the Project comes to an end in December 2021. The continuous tracking and monitoring of the Project indicators allows for the progressive data collection to facilitate periodic reporting. Data collection methods and MoVs are well established in the project Monitoring and Evaluation framework in the Project Document (ProDoc).</p>
<p>C.5 Assessment dates</p> <p>Input: Initial M&E plan</p>	<p>The assessment of the M&E plan is carried out by the Project Steering Committee as planned in the ProDoc. The MTR was facilitated by UNDP through extensive consultative engagements of multisectoral implementing partners and was completed in early August 2021. However, assessment schedules/timelines were not adhered to due to challenges related</p>

<p><i>Adherence to assessment dates?</i></p> <p><i>Assessment results captured and communicated?</i></p> <p><i>Corrective actions taken (if needed)</i></p>	<p>to COVID-19 pandemic. Assessment results were captured and shared with relevant stakeholders.</p>
<p>C.6 Management of risks</p> <p><i>Have the foreseen risks materialized? Risks updated and management responses articulated? High risks escalated to Project Board?</i></p>	<p>The Project document outlines foreseen potential risks. Some of the foreseen risks which materialised like conflict between indigenous people and Kenya were resolved through established Feedback and Grievance Redress Mechanisms (FGRM). Risks were updated in the ATLAS risk log. Risks were continuously discussed in the weekly PMU meetings and changing status brought to the attention of the management and Project Steering Committee. New and emerging high risks like COVID-19 were escalated to the Project Steering committee for decision making.</p>
<p>C.7 Evaluations</p> <p><i>Any planned evaluation? ToR developed? Follow up actions defined (Management Responses)? Any</i></p>	<p>The mid-term evaluation of the Project was planned and conducted between March-June 2021.</p> <p>As in section B of this report 14 recommendations came out of the midterm evaluation.</p> <p>Management plan for the recommendations will be developed to guide management action based on the findings of the MTR to address all the findings with agreement of the national counterparts. Audits will be convened following the UNDP's audit policy to manage financial risk. A final evaluation for the REDD+ Readiness Project was planned to be undertaken between October – November 2020. However, the final evaluation was delayed until October-November 2021 since the</p>

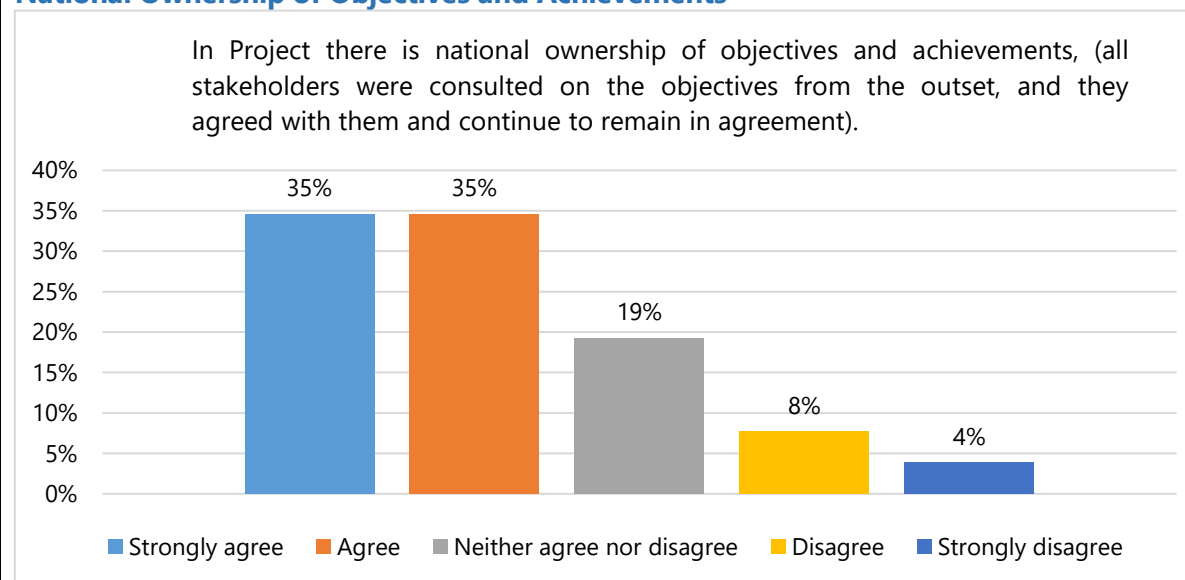
<i>delays/overdue actions?</i>	Project successfully applied for a one year No Cost Extension. Two consultants (International and National) will be hired to facilitate the final evaluation process.
C.8 Target Groups <i>Is it clear who they are? Is the feedback regularly collected, stored and used? Data disaggregated?</i>	<p>The implementation of the REDD+ Project is facilitated by UNDP as the delivery partner through partnership with the Ministry of Environment and Forestry. Key stakeholders that support the Project implementation include: local and indigenous communities and the national partners including the Kenya Forestry Service (KFS), Kenya Wildlife Services (KWS), National Land Commission (NLC), Kenya National Commission for Human Rights (KNCHR), National Gender Equality Commission (NGEC), the Academia, Youths, the Indigenous People's representatives and the private sector through the Kenya Association of Manufacturers and the Kenya Private Sector Alliance (KEPSA). Feedback is regularly collected and documented in project annual reports. Gender and sector disaggregated data are documented in project annual reports which are stored in UNDP public portal. Data collected has been used to feed into the development of National REDD+ Strategy and Investment Plan (NRS-IP).</p>
C.9 Capacity Development <i>Any capacity development activities? If yes, individual and institutional changes are observable? How?</i>	<p>410 members of communities (39% female, 61% male) from Elgeyo Marakwet County, with additional 4,000 members (28% female, 72% male) from Bungoma, Trans Nzoia, Elgeyo Marakwet, Baringo and Nakuru were sensitized on REDD+, land tenure systems and sustainable conservation and management of forests. The community members were also sensitized on how to lodge claims of historical land injustices through the justice system. This enhanced harmony between communities, Kenya Forestry (KFS), National Land Commission (NLC) and other government institutions working on forest conservation and management.</p> <p>35 community mobilizers (9 females, 26 males) were trained and capacitated to raise awareness to over 300 forest dependent households on REDD+ and forest conservation and management. These mobilizers are reaching out to communities to enhance their participation in forest conservation and management, and in REDD+ readiness processes.</p> <p>63 participants (29 females and 34 males) from the Ministry of Environment and Forestry, KFS, KNCHR, NGEC, NLC, EACC, NACOFA, Council of Governors, NETFUND, Academia, CSO, IPLCs, private sector and the youth have been sensitized on REDD+ Readiness Process through a National REDD+ Academy. The Academy focused on: i) REDD+ and the UNFCCC Forest, Carbon Sequestration and Climate Change; ii) Drivers of Deforestation and Degradation; iii) Devolved forestry</p>

	<p>functions (roles, challenges and opportunities); iv) REDD+ National Strategies or Action Plans; v) National Forest Monitoring Systems including Forest Reference Emission Levels (FREL); vi) Safeguards and Safeguard Information systems; vii) Importance of Stakeholder Engagement; viii) REDD+ Finance, and ix) Good Governance in relation to Forestry sector and REDD+.</p> <p>55 senior county government officials (11 females and 44 males), comprising 42 County Chief Officers, members of Council of Governors' Tourism and Natural Resource Management Committee and representatives of forest dependent communities, Indigenous Peoples and Local Communities (IPLCs) have been sensitized on REDD+ and its linkage to forest governance, conservation and management at the County level. The capacity building created awareness and understanding among the County Chief Officers on: i) REDD+ and the UNFCCC forest, carbon sequestration and climate change processes; ii) Drivers of deforestation and forest degradation; iii) Devolved forestry functions (roles, challenges and opportunities); iv) REDD+ National Strategies or Action Plans; v) National Forest Monitoring Systems including Forest Reference Emission Levels (FREL); vi) Safeguards and Safeguard Information systems; vii) Importance of Stakeholder Engagement; viii) REDD+ Finance, and ix) Good Governance in relation to Forestry sector and REDD+.</p> <p>More than 1200 community members (30% females) from Mau forest and areas inhabited by the Ogiek community have been engaged in discussions on human rights-based forest conservation and management through community consultative forums in various community stations. The consultations informed recommendations made by the National Taskforce for human rights-based conservation and management of forests. Two main deliverables from this Taskforce will contribute to the REDD+ Strategy as well as the safeguards information system. These are a) appropriate models for communities' participation in forest conservation and management and b) policy recommendations for sustainable management of community forests. The Taskforce incorporated these recommendations, completed its mandate and submitted the report to the government in January 2020.</p>
C.10 Sustainability <i>Transition and phase-</i>	<p>In assessing the sustainability of the Project, the evaluation sought to establish whether the positive outcomes of the Project and the flow of benefits are likely to continue after external funding ends or non-funding support interventions (such as: policy dialogue, coordination).</p>

out arrangements, including a sustainability plan are in place? National ownership exists? Potentials for scaling up?

The sustainability of the REDD+ Readiness Project was assessed through the mid-term evaluation. The overall sustainability rating of the Project was found to be "Highly Satisfactory". An online survey conducted as part of the midterm reveals that 70% (35% strongly agree, 35% agree) felt that in the REDD+ Project, there is national ownership of objectives and achievements (all stakeholders were consulted on the objectives from the outset, and they agreed with them and continue to remain in agreement). This is a profound finding that will give the project leverage as its transition in the next phase beyond 2021.

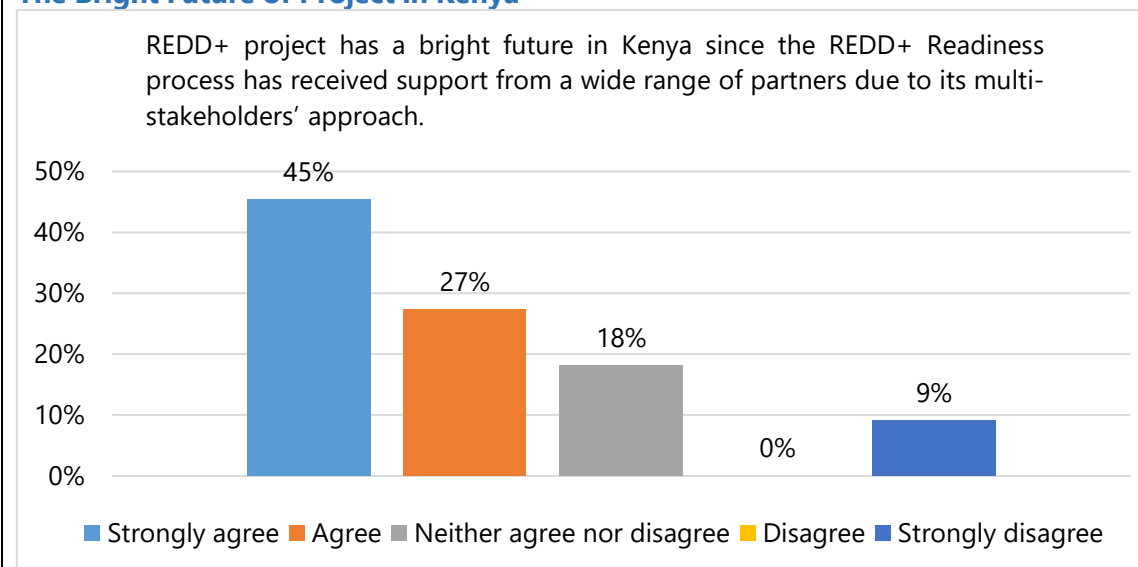
National Ownership of Objectives and Achievements



The respondents indicated that the entire Project design was consultative and inclusive. This strengthened collective ownership of the interventions like policies and regulations that were facilitated by the Project through wider consultative and inclusive approaches with the different stakeholders. The approaches adopted by UNDP through partners, local and indigenous communities brought in the different skills and knowledge, and this has promoted the knowledge and awareness

around the Project. The above evaluation findings are further backed by evidence which revealed that 72% of respondents feel that REDD+ project has a bright future in Kenya since the REDD+ Readiness process has received support from a wide range of partners due to its multi-stakeholders' approach.

The Bright Future of Project in Kenya



The Project has led to profound policy changes that address climate change. Initially issues of HR were in the back banner. However, through the Project issues of the indigenous peoples livelihoods, their forest use rights, and all policies related to forest have now been aligned with the international human rights standards through the Free Prior Informed Consent (FPIC). The new National Forest policy is aligned to the Free Prior Informed Consent (FPIC) principle, which is protected by international human rights standards, and which recognizes that all peoples have the right to self-determination and linked to the right to self-determination – all peoples have the right to freely pursue their economic, social, and cultural development.

	<p>Over the years, there has been no human rights monitoring in the budgetary allocations in the forest sector. However, this has been incorporated in the new Forest Policy. On the other hand, the KNCHR developed the Human Rights based manual to forest protection and management to be adopted by all forest conservation and climate change actors to enhance the fusing of the human rights in the Project to enable communities know their rights but also know their responsibilities. This will help boost the element of sustainable peace between the indigenous people and the national government.</p> <p>The strength of the Project sustainability stems from its relevance to, and alignment with the national forest policy and other key instruments, giving it a leverage to supporting the delivery of the national forest policy and legislative provisions, e.g. the harmonization of various forest policies into one national forest policy.</p> <p>The involvement of the indigenous people has been a key achievement in the Project which assures its sustainability beyond the Project funding period. Further, the Project is well embedded in the local structures through Community Forest Associations (CFAs) in communities where REDD+ is being implemented. These communities have sufficient capacities in forest conservation and management. However, there is need for the Project to be scaled up to other non-REDD+ counties. This has the potential to increase and spread the flow of benefits from the Project to the indigenous communities as witnessed in Voi county where they are implementing innovative ways of income generation to avoid dependency on forest resources for livelihoods.</p>
<p>Proposed actions</p> <p>Kenya is making the necessary preparations for the implementation of the National REDD+ Project. This requires that the following fundamental outputs are developed to inform the developing National REDD+ Strategy and Investment Plan (NRS-IP).</p> <ol style="list-style-type: none"> 1. National REDD+ Strategy and Investment Plan (NRS-IP): The REDD+ Readiness Project is currently in the process of developing National REDD+ Strategy and Investment Plan (NRS-IP). Once finalised, this will guide the implementation of National REDD+ Project in Kenya. A draft strategy is already produced and is undergoing review by key stakeholders. 2. National Forest Monitoring System (NFMS): A draft NFMS has been produced and is under technical review by key stakeholders. 3. National Forest Reference Level (FREL): In collaboration with the Capacity Development Project for the Sustainable Forest Management, 	

the Kenya's Forest Reference Levels (FRL) was finalized and submitted to UNFCCC for revision in January 2020. The FRL was developed with collaborative support from JICA. The FRL development process was informed by extensive interaction with the Technical Assessment Teams, that included Project. The progress made on this indicator is rated as "Highly Satisfactory".

4. **Strategic Environmental and Social Assessment (SESA): TORs have been developed and the hiring of a consultant has been initiated.**

D. PROJECT PERFORMANCE-IMPLEMENTATION RISKS AND ISSUES

The table below provides information on key risks and issues, including proposed dates of action and responsibilities.

Issues/risks	How to resolve it	Proposed date of action	Responsibility
Marginalized communities and some stakeholder might be left out of the REDD+ process	Representative of civil society, indigenous communities, forest-dependent communities and private have been included in the project board	Sept 2018-Dec 2021	MoEF, PMU
	Monitor continued engagement with IPLCs	Sept 2018-Dec 2021	PMU
	Continuous stakeholder engagement and public awareness	Sept 2018-Dec 2021	MoEF, PMU
	Groups considering community grievances as proposed in the 2020 PSC Meeting.	Sept 2018-Dec 2021	MoEF, PMU
Poor quality data for National Forest Monitoring System, National Forest Reference Emission Levels and general monitoring of REDD+ activities	Data quality control through the PSC or consultative meetings	Dec 2019-Dec 2021	MoEF, PMU
Multiplicity of analytical studies and plans - 10 analytical studies on REDD+, 2 on	Joint development and production	Dec 2019-Dec 2021	MoEF, PMU

Issues/risks	How to resolve it	Proposed date of action	Responsibility
safeguards and 6 action plans lined up for development			
Technological changes especially for safeguards information system	Consider open source, easily up-gradable software for SIS	Dec 2019-Dec 2021	MoEF, PMU
Exclusion of potentially affected stakeholders, marginalized groups and women in the design of policies and measures on the broader forestry sector	Develop and implement a robust stakeholder management plan	Dec 2019-Dec 2021	MoEF, PMU
	Develop a gender action plan and an indigenous peoples action plan	Dec 2019-Dec 2021	MoEF, PMU
Coordination gaps among government agencies	The Ministry of Environment and Forest to be IP for project	Dec 2019-Dec 2021	MoEF, PMU
	High level engagement between the RR and leadership of KFS, KWS, MEF, NLC, NGEC, EACC and KNCHR	Dec 2019-Dec 2021	MoEF, PMU
Delay implementation of key initiatives towards Kenya's REDD+ Preparedness process	Generate REDD+ Q2 workplan to reflect activities which can be implemented remotely	Dec 2019-Dec 2021	MoEF, PMU

Issues/risks	How to resolve it	Proposed date of action	Responsibility
Covid-19 and associated protocols and measures	Identify activities which can be undertaken through virtual channels	Dec 2020-2021	MoEF, PMU
	Undertake virtual weekly update meetings to review progress	Dec 2020-2021	MoEF, PMU
	Engage partners on remote platforms	Dec 2020-2021	MoEF, PMU
	Revised government number in adherence to prevention protocols (30 maximum)	Dec 2020-2021	MoEF, PMU
	Use of virtual platforms for consultations and M&E	Dec 2020-2021	MoEF, PMU
Insecurity around the forest areas may impede participation of some community members	Project spearheaded by the Ministry of Environment and Forestry with participation of the County leadership	June 2021	MoEF, PMU
Delay in finalization of the Mid-Term Review	Monitor procurement process for the consultant	June 2021	PMU
	Inform FCPF, regional and global offices on impending delay in submission of MTR	June 2021	PMU
UNDP agreement to mediate with communities restarting of EU funded WaTER project which has been stalled for a	Dec 2020- 2021	Dec 2020-2021	MoEF, PMU

Issues/risks	How to resolve it	Proposed date of action	Responsibility
while			
	Unfortunately, the discussions on the Water Program were halted	Dec 2020-2021	MoEF, PMU
Elite capture of forestry processes	Grievance and redress mechanisms will be developed and included in the TORs of the project board	Dec 2020-2021	MoEF, PMU
	Draft grievance and redress mechanisms developed.	Dec 2020-2021	MoEF, PMU

E. LESSONS LEARNED DURING MONITORING SESSIONS

Lesson 1: There is need for a more targeted and focused messaging and awareness about the REDD+ Readiness process, deforestation, and forest degradation among the youths. The youths can be more engaged and can play an effective role in REDD+ Readiness process; hence there is need for more involvement of youths in the project activities.

Lesson 2: The project has demonstrated that the two models of skills (external expertise and local skills) can be integrated to achieve the required results in forest management and skills transfer. This has been evident in the use of external expertise, while appreciating existing country institutional expertise and building on the indigenous and local knowledge relevant to the REDD+ Readiness process.

Lesson 3: The multi-stakeholder approach has proved to be the best strategy for Project delivery. The involvement of stakeholders with a wide range of expertise and experiences in different thematic areas has helped in developing capacity and a strong network of stakeholders focusing on the delivery. Multi-stakeholders approach leveraging on the comparative strengths of the individual partners has been a good signature for the project as it has enhanced cross pollination of technical skills in the various REDD+ Readiness process dimensions. The application of gender lens, the adoption of human rights approach, youth engagement, the private sector involvement to REDD+ Readiness process and forest resources management have all provided opportunities

for lessons learning, knowledge sharing and livelihoods enhancement. The wider consultative process provided a platform for stakeholder agreements, collective responsibility, and reaffirmation allowing understanding and consensus building among stakeholders on contentious issues.

Lesson 4: Free, Prior and Informed Consent (FPIC) guidelines have played a role in the success of in the Readiness process as it requires the National Government and its development partners to recognize the rights of indigenous people and local communities to FPIC, including REDD+ related programs. Further, when done in time, Free, Prior and Informed Consent (FPIC) and awareness creation at community level present opportunities for greater project acceptability and sustainability as it is a motivation mechanism that encourages indigenous communities buy-in and full participation in the project.

Lesson 5: The absence of legal, legislative and policy guidelines for benefit sharing and distribution is a potential source of conflict between the national government, the county government, and the indigenous people and forest communities. Such provisions would help to respond to questions on how to regulate access to forest resources - who gains access to such resources, how such access is made available, how the benefits accrue to those who depend on the forest resources, and how the benefits will be shared among the users of the resources.

Lesson 6: When conflicts appear, they can be turned into positive outcomes that help project success. There were conflicts between the KFS and indigenous communities (Sengwer Community of Embobut in Cherangani and Ogiek of and Elgon) arising from land right claims. These conflicts have been scaled down through dialogues (with Ogiek of Elgon and the Yaaku community of Mukogodo forest in Laikipia county) to understand the concerns and fears of the forest communities as the project pursued other options. KFS is now viewed as a key stakeholder and partner rather than a paramilitary, competitor, and the enemy within forest resources management and conservation. The Project created many opportunities for KFS to network with Indigenous Peoples and Local Communities (IPLCs) around the spheres of forest conservation and its potential benefits.

Lesson 7: The capacity for the country to reduce deforestation largely depends on people's livelihoods. Tapping into nature-based enterprises has created job opportunities for the youths and other communities through, for example, tree nursery establishment. This has the potential to further create job opportunities through carbon trade market for the youths and indigenous communities, as well as investment opportunities in climate smart agriculture for green markets.

Lesson 8: Involvement of independent commissions - National Commission on Human Rights, National Gender and Equality Commission, Commission for Administration of Justice, Ethics and Anti-Corruption Commission and National Land Commission - has contributed to steering the project towards compliance with state commitments both at the international, and national levels e.g. 10% forest cover as provided for in the Constitution of Kenya (CoK) 2010 and UNFCCC Agreement.

Lesson 9: The Project has proved wrong the perception that the indigenous people and local communities have no knowledge in forest conservation and management. The indigenous people and local communities have proved to have knowledge and skills in forest resources management and conservation. Further, the Project has proved that through dialogue, mistrust between the different stakeholders with competing interests can be resolved and the partners can foster collaboration in forest conservation, protection, and management.

F. COMPLIANCE WITH FCPF's COMMON APPROACH FOR MULTIPLE DELIVERY PARTNERS

Kenya continues to report on actions taken to comply with the various aspects of the Common Approach:

- the Delivery Partner's environmental and social safeguards, including the SESA/ESMF
- stakeholder engagement
- disclosure of information, and
- grievance and accountability.

Appendix 1: FCPF Project Status of Funds Utilization Readiness preparation activities; up to July 2020.

Uses of Funds (in US\$ thousands) July 2020							
R-PP Component	Total needed (A) ⁵	Funds pledged (B) ^{6*}	Funds used ⁷		Funds available (= B – C) ⁸	Delivery ⁹ (D)	Delivery ¹⁰ Rate (%) (D/B)*100
			Funds Committed (C)	Funds Disbursed			
Output 1: National REDD+ Strategy and Investment plan.	1 568 000	1 568 000	133 308.62	1 143 733.68	290 957.70	427 473	27%
Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+	515 663	515 663		535 663.00	(20 000,00)	506 003	98%
Output 3: An operational safeguards information system for REDD+;	250 000	250 000		28 849.94	221 150.06	28 850	11%
Output 4: Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level.	140 000	140 000		120 980.04	19 019.96	119 298	85%
Project implementation	1 042 838	1 042 838	9 207.96	854 704.03	178 926.01	542 553	52%
Monitoring and evaluation	83 500	83 500		-	83 500.00	0.00	0%
GMS (8%)	288 000	288 000		212 206.91	75 793.09	127 200	44%
TOTAL	3 888 001	3 888 001	142 516.58	2 896 137.60	849 346.82	1 751 377	45%

Prepared by:

- Evelyn Koech (Team Leader-Environment and Resilience Unit (ERU)), UNDP-Kenya
- Harun Warui (REDD+ Readiness Project), UNDP-Kenya
- Judy Ndichu, REDD+ Readiness Project Specialist, UNDP-Kenya
- Benard Abingo, REDD+ Readiness Project Monitoring and Evaluation Officer, UNDP-Kenya.

⁵ Total needed is the amount of resources necessary to complete a given component. All numbers in this table should be the latest numbers, which may not necessarily match the numbers in the original R-PP that was presented to the PC.

⁶ Funds pledged encompass the amount of funds promised by different donors and / or the national government to fund a specific component and available to the country.

⁷ Funds used refer to the amount of funds committed in signed contracts, and the portion of the funds committed that has already been disbursed.

⁸ Available funds equal pledges minus commitments.

⁹ Amount of grants used/expended

¹⁰ The percentage of used grants

